

ALTERNATIVE RATE ADJUSTMENT (ARF)

Filing Requirements Checklist

(Applicable Regulation: 807 KAR 5:076)

Case No. _____ Applicant Name _____ Received Date _____ Form Circulation Date _____

Instructions:

- 1) Each division noted by checkmark () is to complete its review and return within three business days of receipt.
- 2) This form is to list only the specific filing deficiencies as identified in the regulations. If additional information is needed, an information request must be issued.
- 3) Staff member should use initials and list date review is completed.
- 4) **Return by email to Filings Branch following review and copy all team members.**

Reviewed by following Divisions:

Date

Staff Member

_____	Filings	_____	_____
_____	Financial Analysis	_____	_____
_____	Legal	_____	_____

Division Responsible

Law/Regulation

Filing Requirement

Requirement Met

Waiver Requested

Approve Waiver?

Yes	No		Yes	No

807 KAR 5:076:

Legal	Section 4(1)(a)	Completed ARF Form-1 signed by applicant or officer & under oath
Financial Analysis	Section 4(1)(b)	Copy of all outstanding evidences of indebtedness, such as mortgage agreements, promissory notes, and bond resolutions
Financial Analysis	Section 4(1)(c)	Copy of amortization schedule for each outstanding bond issuance, promissory note, and debt instrument
Financial	Section 4(1)(d)	Depreciation Schedule for all utility plant in service

Division Responsible	Law/Regulation	Filing Requirement	Requirement Met		Waiver Requested	Approve Waiver?	
			Yes	No		Yes	No
Analysis							
Legal	Section 4(1)(e)	Most recent state and federal tax returns (not applicable to water districts)					
Financial Analysis	Section 4(1)(f)	Detailed Analysis of Applicant's customers' bills showing revenues from present and proposed rates from each customer class (Attachment BA-DB or Attachment BA-FR is attached to ARF Form-1)					
Legal	Section 4(1)(g)	Notice of the proposed rate change to customers					
Legal	Section 5(4)	Does notice of proposed rate adjustment meet regulatory requirements?*					
Legal	Section 4(1)(h)	Completed ARF Form-3 for each member of board of directors/commissioners, CEO or general manager, ownership of 10% or more.					
Legal	Section 4(2)(b)	A copy of application has been delivered, mailed or e-mailed to Office of Rate Intervention, Office of Attorney General					
Legal	Section 4(1)(a)	A completed Attachment SR (Reasons for Application) is attached to ARF Form-1					
Legal	Section 4(1)(a)	A completed Attachment CPR (Current and Proposed Rates) is attached					
Financial Analysis	Section 4(1)(a)	A completed Attachment SAO (Statement of Adjusted Operations) is attached.					

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>
Financial Analysis	Section 4(1)(a)	A completed Revenue Requirement Calculation Form (Attachment RR-DC or Attachment RR-OR) is attached to ARF Form-1

Requirement Met		Waiver Requested	Approve Waiver?	
Yes	No		Yes	No

All filings with the Kentucky Public Service Commission which contain personal information must be redacted by the filer pursuant to 807 KAR 5:001 Sec. 4 (10). Filings which are not in compliance will be rejected.

*Section 5
Notice

If a utility has twenty (20) or fewer customers or is a sewage utility, the utility shall mail a written notice to each customer no later than the date on which the application is submitted to the commission.

If a utility has more than twenty (20) customers and is not a sewage utility, it shall provide notice by:

1. Including notice with customer bills mailed no later than the date the application is submitted to the commission;
2. Mailing a written notice to each customer no later than the date the application is submitted to the commission;
3. Publishing notice once a week for three (3) consecutive weeks in a prominent manner in a newspaper of general circulation in the utility's service area, the first publication to be made no later than the date the application is submitted to the commission; or
4. Publishing notice in a trade publication or newsletter delivered to all customers no later than the date the application is submitted to the commission.

A utility that provides service in more than one county and is not a sewage utility may use a combination of the notice methods.

Each notice shall contain:

1. Dates proposed rates are expected to be filed with the Commission.
2. The present rates and proposed rates for each customer classification to which the proposed rates will apply;
3. The amount of the change requested in both dollar amounts and percentage change for each customer classification to which the proposed rates apply.
4. The amount of the average usage and the effect upon the average bill for each customer classification to which the proposed rates will apply.
5. That a person may examine this application at the main offices of (name of utility) located at (the utility's address).
6. That a person may examine this application at the Commission's office at 211 Sower Boulevard, Frankfort, KY Monday – Friday, 8 a.m. – 4:30 p.m. or through the Commission's website at <http://psc.ky.gov>.
7. Comments regarding the application may be submitted to the Commission through the Commission's Website or via mail at Public Service Commission, P.O. Box 615, Frankfort, KY 40602.
8. That the rates contained in this notice are the rates proposed by (name of utility) but that the Public Service Commission may order rates to be charged that differ from the proposed rates contained in this notice;
9. That a person may submit a timely written request to intervene to the Public Service Commission, P.O. Box 615, Frankfort, Kentucky 40602, establishing the grounds for the request and including the statutes and interest of the party.
10. If the Commission does not receive a written request for intervention within 30 days of initial publication or mailing of notice, the Commission may take final action on the application.

