**ALTERNATIVE RATE ADJUSTMENT (ARF)**

Filing Requirements Checklist

(Applicable Regulation: 807 KAR 5:076)

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| --- | --- | --- | --- | --- | --- | --- | --- |
| Case No. |  | Applicant Name |  | Received Date |  | Form Circulation Date |  |

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| 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.** |

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| Reviewed by following Divisions: | Date | Staff Member |
|  |  | Filings  |  |  |  |
|  |  | Financial Analysis |  |  |  |
|  |  | Legal |  |  |  |

| Division Responsible | Law/Regulation | Filing Requirement | RequirementMet | WaiverRequested | ApproveWaiver? |
| --- | --- | --- | --- | --- | --- |
|  |  |  | Yes | No |  | Yes | No |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  | 807 KAR 5:076: |  |  |  |  |  |  |
| Legal | Section 4(1)(a) | Completed ARF Form-1 signed by applicant or officer & under oath |  |  |  |  |  |
| FinancialAnalysis | Section 4(1)(b) | Copy of all outstanding evidences of indebtedness, such as mortgage agreements, promissory notes, and bond resolutions |  |  |  |  |  |
| FinancialAnalysis | Section 4(1)(c) | Copy of amortization schedule for each outstanding bond issuance, promissory note, and debt instrument |  |  |  |  |  |
| FinancialAnalysis | Section 4(1)(d) | Depreciation Schedule for all utility plant in service |  |  |  |  |  |
| 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.  |  |  |  |  |  |
| 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 |  |  |  |  |  |

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.

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| \*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.
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