**CERTIFICATE OF PUBLIC CONVENIENCE AND NECESSITY ‑ FEDERALLY FUNDED CONSTRUCTION PROJECTS**

Filing Requirements Checklist

(Applicable Authority: KRS 278.023, KRS 322.340, 807 KAR 5:001, Section 4, 7(1), 14 and 807 KAR 5:069)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 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 5:001: |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| Filings | Section 14(1) | Full name, mailing address, and e-mail address of applicant and a reference to KRS 278.023. |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| Legal | Section 4(3) | Paper signed by submitting party or attorney. |  |  |  |  |  |
| Legal | Section 4(3) | Name, address, telephone number, fax number, and e-mail address of submitting party or attorney. |  |  |  |  |  |

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| Legal | Section 4(10) | Has submitting party redacted – |  |  |  |  |  |
| All filings with the Kentucky Public Service Commission which contain personal information must be redacted bythe filer pursuant to 807 KAR 5:001 Sec. 4 (10). Filings which are not in compliance will be rejected. | All social security numbers |  |  |  |  |  |
| All birthdates |  |  |  |  |  |
| All financial account numbers |  |  |  |  |  |
| All other personal identification information |  |  |  |  |  |
| Legal | Section 8(4)(b) | Has submitting party optimized pdf document – |  |  |  |  |  |
| **(Electronic Case Filing only)**  |  | - Making all text pages searchable or OCR’d |  |  |  |  |  |
|  |  | - Bookmarks added to distinguish sections of the paper |  |  |  |  |  |
| Legal | Section 14(2) | If a corporation, the applicant shall identify in the application the state in which it is incorporated and the date of its incorporation, attest that it is currently in good standing in the state in which it is incorporated, and, if it is not a Kentucky corporation, state whether it is authorized to transact business in Kentucky. |  |  |  |  |  |
| Legal | Section 14(3) | If a limited liability company, the applicant shall identify in the application the state in which it is organized and the date on which it was organized, attest that it is in good standing in the state in which it is organized, and, if it is not a Kentucky limited liability company, state whether it is authorized to transact business in Kentucky. |  |  |  |  |  |
| Legal | Section 14(4) | If the applicant is a limited partnership, a certified copy of its limited partnership agreement and all amendments, if any, shall be annexed to the application, or a written statement attesting that its partnership agreement and all amendments have been filed with the commission in a prior proceeding and referencing the case number of the prior proceeding. |  |  |  |  |  |
|  | 807 KAR 5:069: |  |  |  |  |  |  |
| Financial Analysis | Section 2 | (2) A copy of the documents from the federal lending agency stating approval of the project and including all terms and conditions of the agreement, including all amendments |  |  |  |  |  |
| Financial Analysis |  | (3) A copy of the letter of concurrence in contract award. |  |  |  |  |  |
| Financial AnalysisLegal |  | (4) A copy of the preliminary and final engineering reports and bid tabulations(5) One (1) copy of each set of plans and specifications on electronic storage medium in portable document format. |  |  |  |  |  |
| Legal |  | (6) Certified statement from an authorized utility official confirming: |  |  |  |  |  |
| Legal |  | (a)(1) If the construction project involves facilities to treat or distribute water a statement that the proposed plans and specifications for the project have been designed to meet the minimum construction and operating requirements set out in 807 KAR 5:066, Section 4(3) and (4), Section 5(1), Sections 6 and 7, Section 8(1) through (3), Section 9(1) and Section 10(a)(2) If the construction project involves facilities to collect or treat sewage a statement that the proposed plans and specifications for the project have been designed to meet the minimum construction and operating requirements set out in 807 KAR:071, Section 5 and Sections 7(1) through (3) |  |  |  |  |  |
|  |  |  |  |  |
| Legal |  | (b) That all other state approvals or permits have been obtained; |  |  |  |  |  |
| Financial Analysis |  | (c) That the proposed rates, if any. shall produce the total revenue requirements recommended in the engineering reports; and |  |  |  |  |  |
| Financial Analysis |  | (d) Dates upon which construction will begin and end. |  |  |  |  |  |
| Legal |  | (7) If applicable, a statement that notice meeting the requirements of Section 3 of this administrative regulation has been given, together with a copy of the notice;\* |  |  |  |  |  |
| Financial Analysis |  | (7) A copy of the notice shall be included in the application if a rate adjustment is requested. |  |  |  |  |  |
| Legal |  | (8) If applicable, a motion requesting approval to deviate from a minimum construction standard or operating condition required by subsection (6)(a) of this section, together with supporting evidence to identify and explain the reasons that the minimum requirements cannot be met |  |  |  |  |  |