

New York State
Department Of Public Service

Electronic Tariff System

Utility Tariff Preparer's Guide

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Introduction

The Department of Public Service maintains utility tariffs in electronic format on its public website, as part of our overall electronic document initiative. The majority of utility tariffs are now included in our **Electronic Tariff System (ETS)**. All utilities are strongly encouraged to take advantage of this system.

Advantages:

1. All filings can be submitted electronically, using a form in your web browser;
2. No hard copy is needed at any step in the filing process;
3. Since no mailings, package deliveries, or personal visits are needed, filings are date-stamped immediately;
4. If any changes to a filing are needed, you can perform any required corrections quickly and with minimum effort.

The following guidelines will assist utility personnel in the preparation and submission of electronic tariffs.

Note: Because this guide is meant to supersede tariff filing requirements formerly specified in 16 NYCRR, provisions are also required to accommodate the continued submission of tariffs in paper format, pending conversion to an electronic submission. Accordingly, applicable provisions of 16 NYCRR are also included herein to address the requirements of paper tariff submissions.

General Requirements

- All submitted documents must be "PDF" files (Portable Document Format).
- PDF files should be produced using a word processor, or equivalent application. *Do not scan paper documents to produce your PDF files.*
- Margins: at least a one-inch margin on the top, bottom, left, and right sides.
- Page size: standard letter size, 8.5 by 11 inches
- Each submission must include a cover letter, and at least one of the following four document types: tariff leaves, supplements, statements, or addenda.
- Tariff files can contain more than one tariff page (referred to as a tariff “leaf”).
- Each statement, supplement and addendum must be in a separate PDF file.
- The file names must conform to the rules described later in this Guide.
- All documents associated with a particular filing must be included in a single submission.
- All tariff documents should be typed using standard fonts. Standard fonts include any of the following: Times New Roman, Arial, Courier New, Helvetica. Other than headings and footnotes, the Department recommends using font sizes of 9 to 14 points.

In addition to these basic requirements, each type of document has unique requirements. These will be described later in this Guide.

In order to submit a tariff to the Department using ETS2 you will need:

- Computer with word processing software (the brand of computer or software does not matter)
- Adobe Acrobat full version, or equivalent product
- Connection to the Internet
- Web browser (Internet Explorer, FireFox, Safari, Chrome, etc.)
- Registration with the Department of Public Service as a tariff submitter.

In order to register as a tariff submitter, you will need to contact Department staff for your industry. (see "Contacting DPS Staff for your Industry" below, on this page).

New Filers - Creating Tariff Page Data

When submitting an electronic tariff for the first time, companies often have a large number of pages ("leaves") to be filed all at once - sometimes hundreds of pages. Each page requires a row of data (leaf number, effective date, etc.). Although the ETS website provides a data entry form, it can be time consuming to enter large amounts of data; and for new tariffs, most of this data is repetitive.

In order to expedite the submission of new tariffs, the Department's staff have created short cuts that may help expedite this process. Your Department contact person can work with you in more detail, to determine if these shortcuts would be useful to you.

Contacting DPS Staff

Current staff names, phone numbers, and email addresses can be found on our ETS website, on the "Frequently Asked Questions" page:

<https://www2.dps.ny.gov/ETS/help/ETSFAQ.cfm>

Documents to Submit - Overview

1. *All documents must be submitted in PDF format.*
2. *The filename must end in ".pdf" or ".PDF"*

- **Cover letter**

Required. Every submission must have one cover letter. If you wish, you can include in the cover letter an itemized list of all documents submitted. The PDF filename must begin with "lett" or "LETT"

- **SAPA**

Certain filings require official notification through publication in the State Register. Such filings must be submitted in compliance with the "State Administrative Procedure Act" (SAPA). If this applies to your filing, you must include *one* SAPA document (only one of these per filing). The PDF filename must begin with "sapa" or "SAPA"

- **Supporting Documents**

Optional. Supporting documents can include any working papers, exhibits, etc. They are not part of the general tariff schedule.

NOTE - These documents are not confidential. They will be available to the public on the ETS website. Files can have any name, as long as they end in ".pdf" or ".PDF"

At least *one* of the following four document types must be included in every filing: Tariff leaves; Supplements; Statements; Addenda.

- **Tariff leaves**

Each page in a tariff is referred to as a "leaf." And conversely, a leaf must be only one page long. Individual tariff leaves usually comprise the bulk of a utility’s tariff.

Regarding page numbering and revision numbers, detailed instructions will be discussed later in this Guide. Files can have any name, as long as they end in ".pdf" or ".PDF"

- **Supplements**

Explains any change in the status or effective date of a leaf, statement, or addendum. Not part of the general tariff schedule. The PDF filename must begin with "supp" or "SUPP"

- **Statements**
Provides for the automatic adjustment of rates and charges. Not part of the general tariff schedule. The PDF filename must begin with "stat" or "STAT"
- **Addenda**
Provides additional information regarding utility rates, charges, rules and regulations. Not part of the general tariff schedule. The PDF filename must begin with "adde" or "ADDE"

Detailed instructions for individual document types begin on the following page.

Document Types – Detailed Descriptions

Cover letter (Letter of Transmittal)

- All submissions must contain a cover letter (letter of transmittal). A cover letter will consist of a single PDF file, which may be one or more pages in length.
- A cover letter must have a one-inch margin on the top, bottom, left and right of each page.
- A cover letter must be addressed to the Secretary of the Commission.
- A cover letter does not need to, but may, include a list of documents included in the filing.

1. The PDF file created from the cover letter must be saved with a file name that begins with “lett” (or "LETT") and ends in “.pdf” (or".PDF) For example, a valid cover letter name could be

LETT_PSC_123 .pdf

Punctuation marks in file names: use only the following characters:

period, dash, underscore.

A sample Cover Letter

ACME ELECTRIC CORPORATION
123 Sesame Street
Big City, NY 12345-6789

April 1, 2002

Jonathan P. Smith, Secretary
New York State Public Service Commission
3 Empire State Plaza
Albany, NY 12223-1350

Dear Secretary Smith:

TEXT OF LETTER

Sincerely,
John D. Owner
President

SAPA Notice

Certain filings propose changes to utility tariffs which require official notification through publication in the State Register, following the State Administrative Procedures Act (SAPA). If your filing requires SAPA notification, it should include a draft of a proposed notice. The draft SAPA notice will consist of a *one* document, which may be one or more pages in length. It will *not* appear on the public DPS website.

- A SAPA notice must have a one-inch margin on the top, bottom, left and right of each page.

2. The PDF file must be saved with a file name that begins with “sapa” (or “SAPA”) and ends in “.pdf” (or “.PDF”) For example, a valid SAPA file name could be

SAPA_PSC123_4567.pdf

Punctuation marks in file names: use only the following characters:

period, dash, underscore.

A sample SAPA Notice

(SAPA No.)

NYS DEPARTMENT OF STATE
NOTICE OF PROPOSED RULEMAKING

PUBLIC SERVICE COMMISSION

REMAINING TEXT OF SAPA

Supporting Documents

(formerly called "attachments")

- These are optional. They can include any working papers, exhibits, etc. They are not part of the general tariff schedule.

NOTE – such documents are not confidential. They will appear on the public website. *Do not attach any confidential or trade secret information that is not intended to be made public.*

- Documents must have a one-inch margin on the top, bottom, left and right of each page.
3. Any file name can be used, as long as it ends in “.pdf” (or“.PDF) For example, Exhibit_A_project.pdf

Punctuation marks in file names: use only the following characters:
period, dash, underscore.

Required Documents

You must submit *at least one* of the following four document types:

1. Tariff leaves
2. Supplements
3. Statements
4. Addenda.

Tariff Leaves

Each page in a tariff is referred to as a "leaf." And conversely, a leaf must be only one page long. Individual tariff leaves usually comprise the bulk of a utility’s tariff. Not all tariff filings require the submission of tariff leaves.

- Tariff leaves must have at least a one-inch margin on the top, bottom, left, and right sides
- Tariff leaves must contain lines at the top of the page that indicate the following basic information about the page: Company Name , Service Type, PSC Number, Initial Effective Date, Section Number (if applicable), Leaf Number, Revision Number, Superseding Revision Number,
- If a leaf is issued in compliance with a Commission order, the following phrase should be placed on the leaf. It must *not* be placed in the one-inch margin.
"Issued in compliance with order in Case (the PSC case number) dated (mm/dd/yyyy)" For example,
Issued in compliance with order in Case 12-M-1234 dated 12/31/2012
- Section numbers are optional. Not all tariffs will include sections. If a tariff includes sections, section numbers must contain only whole numbers (zero “0” is acceptable. If a tariff contains sections, each section will begin with page 1 and have sequentially numbered pages within the section.
- Leaf numbers may only contain the digits 0 through 9 and periods. Letters and special characters are not allowed as part of a leaf number.
- Leaf numbers must use the following page numbering conventions:
 - ✓ All leaves must be numbered. This includes cover pages, title pages, etc.
 - ✓ An initial tariff filing must contain only sequentially numbered leaves, beginning with number "1" and using only whole numbers: 1,2,3,... etc.
 - ✓ Subsequently, new leaves may be added to the existing tariff through the use of leaf numbers next in sequence (e.g. if the last tariff leaf currently in effect is labeled leaf 22, new leaves may be added beginning with leaf 23.

- ✓ Leaves may be inserted between existing leaves by expanding the numbering sequence using decimal points. For example, if it is necessary to add a leaf between existing leaf 6 and leaf 7, the new tariff leaf should be designated leaf 6.1. If the material being inserted requires more than one leaf, the numbering sequence should continue with leaf 6.2, etc. Likewise, a new tariff leaf between leaf 6.1 and leaf 6.2, should be designated as leaf 6.1.1.
 - Revision Numbers: The original of each leaf will be designated as Revision 0. Subsequent revisions to a particular leaf would be sequentially designated, e.g. Revision 1, Revision 2, etc.
 - Tariff pages must contain a line at the bottom that indicates by whom the page was issued.
 - When revising a tariff, the PDF file containing the tariff leaves for the submission must contain *only* the leaves that are being revised.
 - In that vein, Adobe Acrobat is able to print a subset of the pages in a word processing file (i.e. just the revised leaves). You would create your PDF file by using the print dialog box, and “print” only pages 8 and 9 (for example). Adobe Acrobat also provides tools for splitting a large PDF file into smaller files, and for merging two or more PDF files into a single file. Refer to the help information included with Adobe Acrobat for details about how to do this. (Other products may have similar functions; refer to the product’s documentation.)
 - Create a PDF file containing just the leaves you will be submitting. Refer to the instructions for Creating a PDF file, later in this Guide.
4. The PDF file created from the leaves must be saved with a file name that that ends in “.pdf” or “.PDF” Unlike other document types, leaf files do *not* require any specific prefix. For example, a valid file name for leaves would be
- Any_File_Name.pdf
- Punctuation marks in file names: use only the following characters:
period, dash, underscore.

A sample tariff page:

PSC NO: 12 GAS
The Great Gas Company
Initial Effective Date: 12/31/2012

Section: 1 Leaf: 1
Revision: 1
Superseding Revision: 0

TEXT OF
TARIFF LEAF

Issued by: Alfred Gore, Vice President and General Counsel, Brooklyn, NY

Supplements

- Supplements explain any change in the status or effective date of a leaf, statement, or addendum. They are not part of the general tariff schedule.
 - Supplements must contain lines at the top of the page that indicate the following basic information about the page: PSC Number, Service Type, Supplement type, Supplement number, Company Name, Initial Effective Date.
 - There must be a one inch margin at the top, bottom, left and right of each page
 - Supplements must be sequentially numbered. Use whole numbers only (no decimals). For example, if the last filed Supplement was numbered 12, the next Supplement must be numbered 13.
5. Create a separate PDF file for each Supplement in a filing.
 6. The PDF file must have a file name that begins with “supp” (or “STAT”) and ends in “.pdf” or “PDF” For example, a valid supplement file name would be SUPP_postpone_201206.pdf
- Punctuation marks in file names: use only the following characters:
period, dash, underscore.

Sample Supplement

PSC NO: 12 GAS

Supplement type: POST

The Great Gas Company

Supplement number: 1

Initial Effective Date: 10/01/98

POSTPONEMENT OF CHANGES PENDING IN CASE 99-G-9999

TEXT OF
SUPPLEMENT

Issued by: I.M DeBoss, President, Big Town, New York

Statements

- Provides for the automatic adjustment of rates and charges. Not part of the general tariff schedule.
- Statements must contain lines at the top of the page that indicate the following basic information about the page: Company Name, Service Type, PSC Number, Statement type, Statement number, Initial Effective Date.
- There must be a one inch margin at the top, bottom, left and right of each page.
- For any given statement type, statement numbers must be sequentially numbered. Use whole numbers only (no decimals). For example, if your most recent GAC Statement was numbered 12, the next GAC Statement must be numbered 13.
- Unlike leaves, Statements are revised in their entirety. An entire new PDF file must be submitted every time, even if only one page is being revised.
- Create a separate PDF file for each Statement you are submitting. Refer to the instructions for creating a PDF file later in this Guide.
- The PDF file must have a file name that begins with “stat” (or “STAT”) and ends in “.pdf” (or “.PDF”) For example, a valid statement file name would be: `STAT_GAC_13.pdf`
Punctuation marks in file names: use only the following characters:
period, dash, underscore.

Sample Statement

PSC NO: 12 GAS

Statement type: GAC

The Great Gas Company

Statement number: 1

Initial Effective Date: 10/01/98

NOVEMBER 2002 GAS ADJUSTMENT CLAUSE STATEMENT

TEXT OF
STATEMENT

Issued by: I.M DeBoss, President, Big Town, New York

Addenda

- Provides additional information regarding utility rates, charges, rules and regulations. Not part of the general tariff schedule.
 - Addenda must contain lines at the top of the page that indicate the following basic information about the page: Company Name, Service Type, PSC Number, Addendum type, Addendum number, Initial Effective Date.
 - There must be a one-inch margin at the top, bottom, left and right of each page.
 - For any given Addendum type, numbers must be sequential. Use whole numbers only (no decimals). For example, if your most recent MET Addendum was numbered 12, the next MET Addendum must be numbered 13.
 - Unlike leaves, Addenda are revised in their entirety. An entire new PDF file must be submitted every time, even if only one page is being revised.
 - Create a separate PDF file for each addendum you will be submitting. See the instructions for creating a PDF file on later in this Guide.
 - The PDF file must have a file name that begins with “adde” (or “ADDE”) and ends in “.pdf” (or “.PDF”) For example, a valid addendum file name would be ADDE_MET_13 . pdf
- Punctuation marks in file names: use only the following characters:
period, dash, underscore.

Sample Addendum

PSC NO: 12 GAS

Addendum type: GAS

The Great Gas Company

Addendum number: 1

Initial Effective Date: 10/01/98

SPECIAL CONTRACT No. 2 FOR GAS DELIVERIES

TEXT OF
ADDENDUM

Issued by: I.M DeBoss, President, Big Town, New York

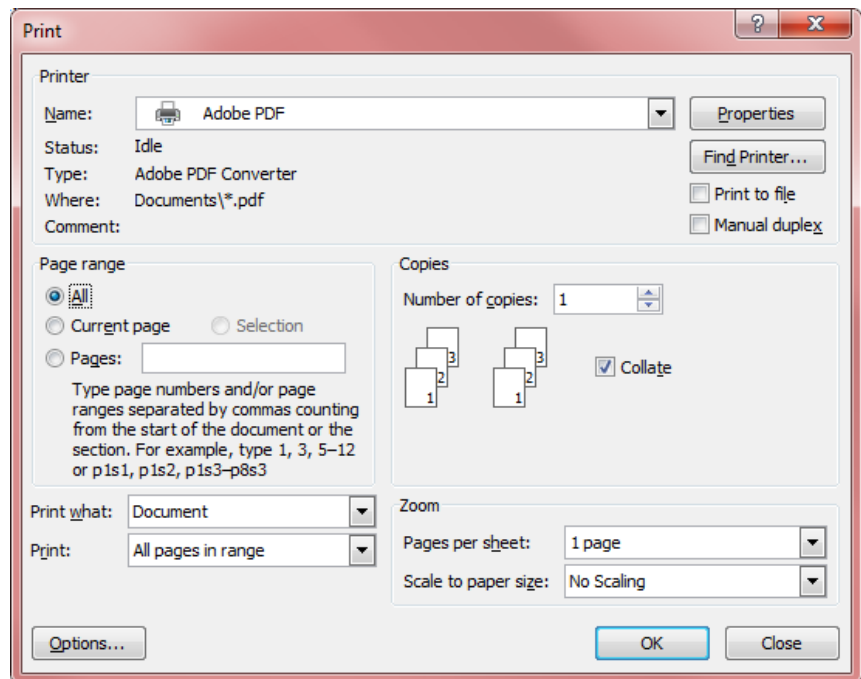
How to create a PDF file

Pre-requisite: You have purchased and installed Adobe Acrobat *full version* - or equivalent product - on the computer you are now using. (Instructions and screens may vary somewhat, depending on your product.)

Using your word processor, open the file you wish to make into a PDF file.

Choose “File/Print”

At the print dialog box, choose “Adobe PDF” as the printer.



Click OK.

You will be prompted to choose a location, and a file name.

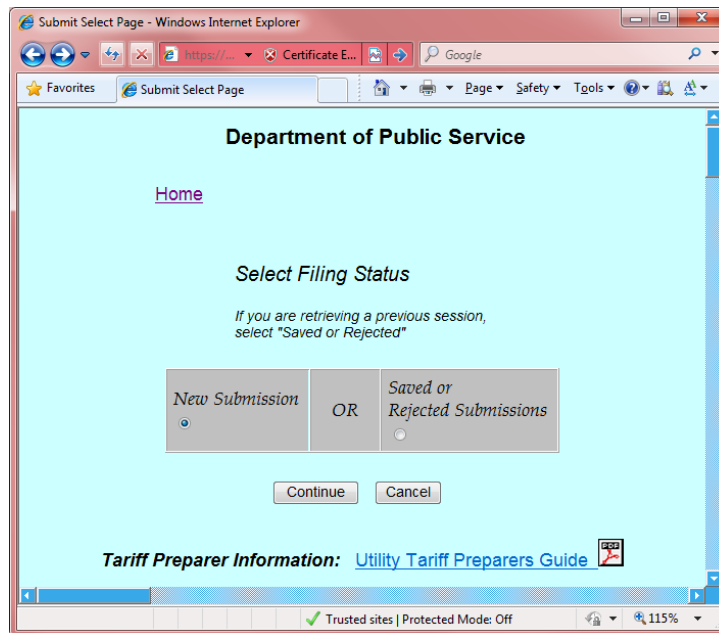
Submitting your Filing

- Start your web browser and connect to the web at <https://www2.dps.ny.gov/ETS/home/index.cfm>
- Click on the “Registered Users” link
- Enter the Log On ID and temporary Password that were issued to you by the Department,
- click the “Log On” button.



- Create Permanent Password
The first time you use the system, you will be prompted to create a permanent password for yourself. **Rules:**
 1. Minimum length: 8 characters
 2. Maximum length: 15 characters
 3. At least one letter
 4. At least one *non*-letter
 5. Letters are "case sensitive" (capital letters are different from lower case).
- Click the “Log On” button
- Click the "Submit" link at the left.

Select the filing Status



- Choose “New Submission” if you will be filing a new submission.
- Choose “Saved or Rejected Submissions” if
 - ✓ you are fixing a rejected submission for re-submission, or,
 - ✓ if you have previously saved a submission to be completed later.
- Click on the “Continue” button.

Note –

New submissions will be discussed first.

Saved or Rejected will be discussed later.

Filing Information, for New Submissions

ETS2 Home Page - Windows Internet Explorer

Department of Public Service

[Help](#)

Filing Information

Service Type: COMMUNICATIONS

Document Type: Number of PDF files for each document type you are submitting

Document Type	Number of PDF files for each document type you are submitting
Cover Letter	1
SAPA Notice	<input type="text"/>
Supporting Document(s)	<input type="text"/>
Tariff Leave(s)	<input type="text"/>
Supplement(s)	<input type="text"/>
Statement(s)	<input type="text"/>
Addenda	<input type="text"/>

[Help with Document Types](#)

Done Trusted sites | Protected Mode: Off 115%

- **Service Type:** You have been registered to submit one or more of the following types of tariffs: Electric, Gas, Communications, Water, Steam. Select *one* service type for this submission.

- **Number of PDF files, for each document type**

The number of PDF files

- ✓ Must be a whole number – no decimal points or letters
- ✓ Must be greater than zero
- ✓ Cannot begin with a zero
- ✓ Cover letter - since one cover letter is required, the number "1" is entered for you in advance
- ✓ If you are including a SAPA, only one such document can be included; the number must be "1"

Note re: tariff leaves:

In general, there will be only one PDF file, which will contain all of the leaves being submitted in this filing.

Exception: If you are submitting a very large number of tariff leaves, you may prefer to break the PDF file into smaller pieces, and submit more than one PDF file. The first file would contain the first x number of leaves, the second file would continue from there; and so on.

Note re: Supplements, Statements, and Addenda

- ✓ Each must be submitted as a separate PDF file
- ✓ Each *type* must be a separate PDF file. For example: if you were submitting an RPS statement *and* an SBC statement, you would submit two separate PDF files. You would enter a "2" in the box next to "Statements."

If you make an error and wish to start over, click "Reset."

Click on the "Continue" button.

General Information, for New Submissions

The information you provide in this form will apply to the entire filing.

The screenshot shows a web browser window titled "Submit Control - Windows Internet Explorer". The address bar shows a URL starting with "https://xyz2.d...". The page content is for a "DPS Electronic Tariff Submission" and is on "Step 1 of 9" under the "General Information" section. There is a "Help" link and two buttons: "Next >>" and "Start Submission Over". The form fields are as follows:

- Company Name/Code:** Village of Brocton ---- 2039
- Type of Service:** ELECTRIC
- PSC Number(s):** Select one or more PSC numbers. PSC 1 is checked, PSC 2, PSC 3, and PSC 4 are unchecked. There is a link "Add a New PSC Number".
- Effective Date:** Format: MM/DD/YYYY. There is a "Help about Effective Dates" link.
- Subject:** An empty text input field.
- Compliance with Commission Order:** Radio buttons for "Yes" and "No", with "No" selected.

Company Name

You have registered to submit tariffs for one or more companies. This drop down box will show the companies available to you for submission. Use the drop down list to choose a company. If you will be submitting tariffs for additional companies, contact the Department of Public Service.

Type of service

This value is carried forward from the previous step. No action is needed.

PSC Number(s):

Check at least one box.

If you are submitting documents for more than one tariff, check all the PSC numbers that apply.

Adding a new PSC number:

If you have never submitted a particular tariff before, the PSC number for the tariff will not be shown. You will need to add the number at this time.

Click on the “Add a New PSC Number” link

Observe the "PSC Numbers So Far"

Make sure that the number isn't already on the list.

Observe the rules re: PSC numbers:

1. Whole numbers only
2. No decimal points
3. No letters

Type the new PSC number in the box.

Click the "Add" button.

You will be returned to the General Information page.

Your new PSC number's box will already be checked off.

(If you came to this form by mistake, just leave the box blank, and click "Add." You will go back to General Information and no action will be taken.)

- **Effective Date:**

Enter the effective date, in mm/dd/yyyy format.

For example, 12/31/2012

Usually the same date will apply to all leaves and all documents. If necessary, individual dates can be changed later, when filling in the forms for specific documents.

- **Subject:**

Enter a subject that describes this specific filing.

- **Compliance with commission order:**

Click the “Yes” radio button if this filing is being submitted in compliance with a Commission order.

- **Basic/Non-basic Notice - Telecommunications filings only**

Indicate if this filing represents a change to basic service.

Click the “Next” button.

The screenshot shows a web browser window titled "Submit Control - Windows Internet Explorer". The address bar shows a URL starting with "https://ny2.d...". The page content is titled "DPS Electronic Tariff Submission" and "General Information Step 1 of 9". There is a "Help" link and two buttons: "Next >>" and "Start Submission Over". The form fields are as follows:

Company Name/Code	Village of Brocton ---- 2039
Type of Service	ELECTRIC
PSC Number(s) <small>Select one or more PSC numbers</small>	<input checked="" type="checkbox"/> PSC 1 <input type="checkbox"/> PSC 2 <input type="checkbox"/> PSC 3 <input type="checkbox"/> PSC 4 Add a New PSC Number
Effective Date <small>Format: MM/DD/YYYY</small> Help about Effective Dates	12/31/2011
Subject	Economic Development Collaborative Report
Compliance with Commission Order	<input type="radio"/> Yes <input checked="" type="radio"/> No

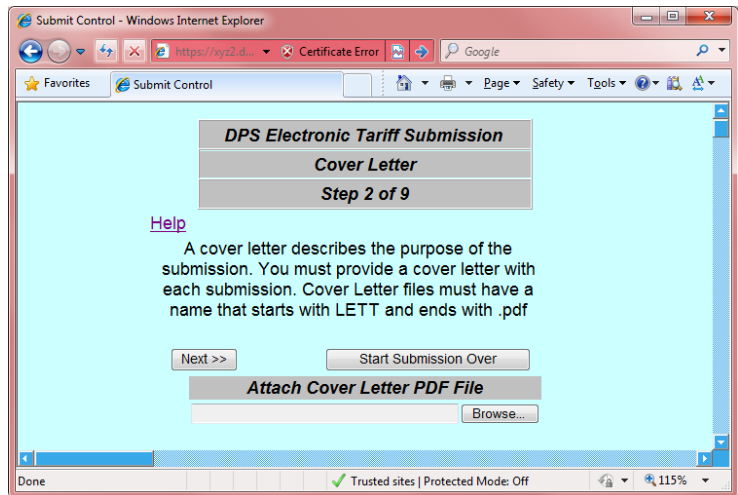
Cover Letter

CAUTION – the "Start Submission Over" button, at the right side, will delete all data from this filing. Be sure that you really do want to start all over again.

This applies to any document types where this button appears.

Every filing *must* have a cover letter.

The cover letter PDF must have a file name that starts with “lett” (or “LETT”) and ends in “.pdf” or “PDF”



Click the “Browse...”

button at the lower left, to browse to the folder containing the cover letter.

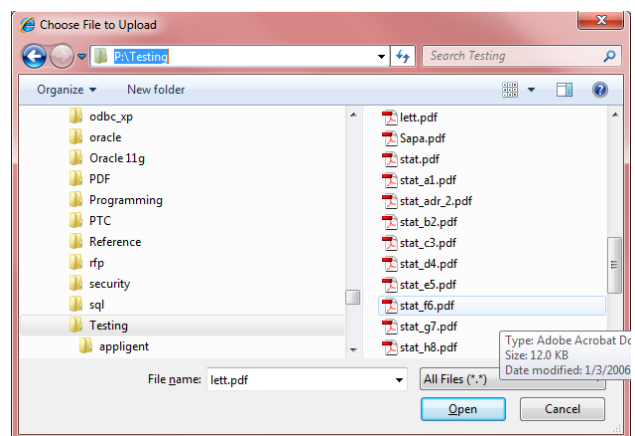
(Note - the "Browse" function works the same for all document types, so it will not be illustrated during the rest of this Guide.)

Click on the file name.

Click "Open"

You will now be back in the Cover Letter form.

The file name will be visible inside the box.



Click the “Next >>” button.

Note:

- *In your own filings, you may not see all of the examples on the following pages. You will only see the forms for document types that you are actually filing.*
- *From this point on, if your session "times out" (logs you out automatically), your data will still be available in the Saved / Rejected list. You can identify the filing by the Subject.*

Supporting Documents

(formerly called "attachments")

Document Description

Enter a brief description.

For example, "Revenue Estimates for 2010"

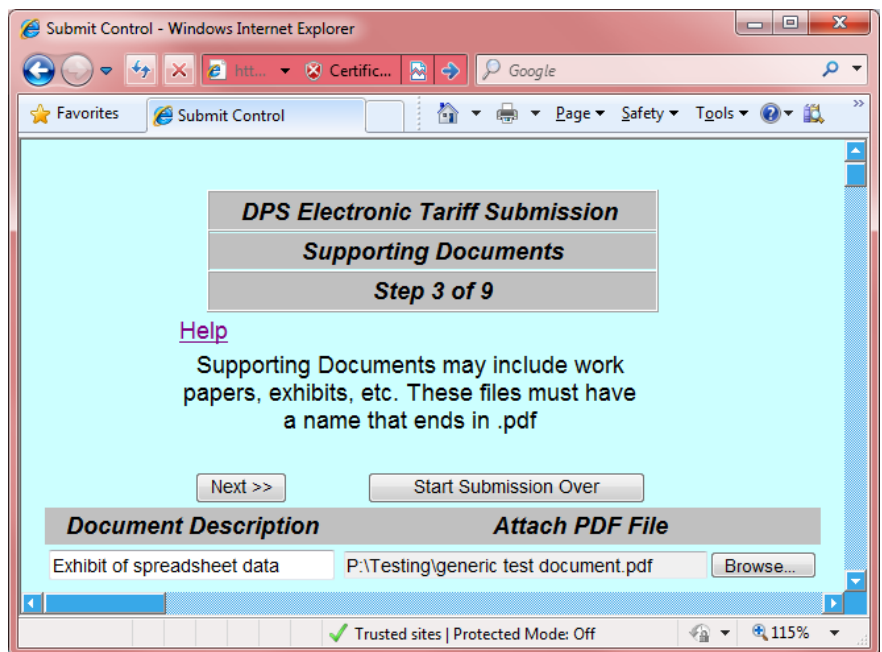
If you have multiple supporting documents, each document should have a different description.

Click the “Browse...”

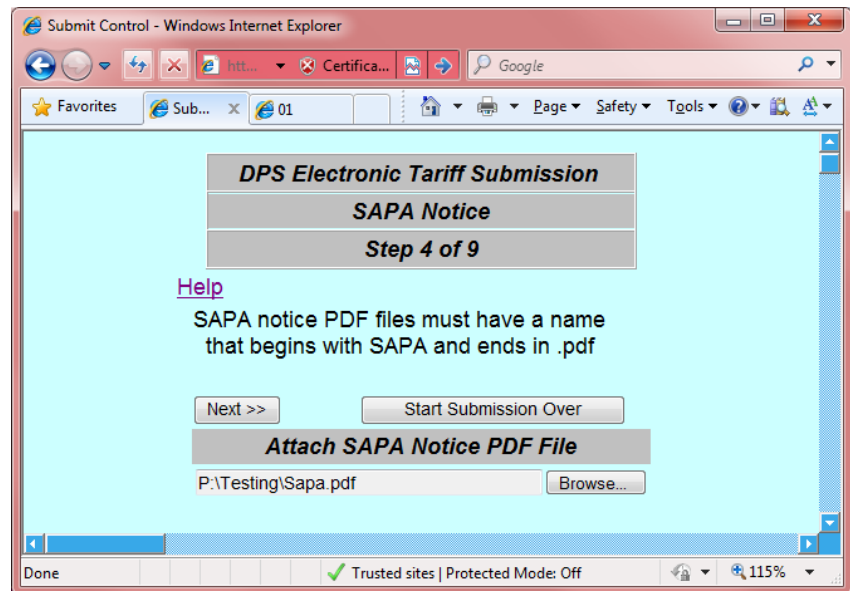
button to browse to the location of the document..

The PDF file can have any name, as long as it ends in ".pdf" or ".PDF"

Click the “Next >>” button.



SAPA Notice



The PDF file must have a name that starts with “SAPA” and ends in “.pdf”

Click the “Browse...” button to browse to the location, and attach the file, as usual.

Click the “Next >>” button.

Reminder

The final four document types, on the following pages, are:

leaves, supplements, statements, addenda.

You must submit *at least one* of those types.

Save button:

- **From this point on, there will be a Save button at the top of every page.**
 - **You can save your work at any time, and resume it later.**
 - **You will need to fill in all relevant lines in the form, before you Save.**
 - **If the system logs you out while you are away from your desk, your data from the preceding forms will still be automatically saved.**
-

Tariff Leaves

The PDF file(s) containing the Tariff leaves must have a file name that ends in “.pdf”
The beginning of the file name can be anything.

You will attach one PDF file containing all of the leaves being submitted for this filing, and *only* the leaves being submitted for this filing.

PSC Number	Section (Leave blank if there are no sections)	Leaf Number	Revision Number	Superseding Revision Number	Effective Date
1		1	1	0	12/31/2011
1		2	1	0	12/31/2011
1		3	1	0	12/31/2011
1		4	1	0	12/31/2011
1		5	1	0	12/31/2011

Exception:

If you are submitting a very large number of tariff leaves, you may prefer to break the PDF file into two or more pieces and submit more than two or more PDF files. For example, the first file could contain the first half of the leaves, and the second file could contain the rest of the leaves.

- ✓ When you begin your filing, on the Filing Information form, you would enter a "2" in the box for tariff leaves.
- ✓ On the form above, where you see the "Next" button, you would see a "Next PDF" button.

Click the “Browse...” button to browse to the location of the PDF file

For each tariff leaf in the PDF file, fill in one row on the screen, as indicated by the column headings. *These rows must be in exactly the same order as the leaves in your PDF file.*

PSC Number: Select the PSC number (tariff number) that the leaf is a part of. Your choices are carried over from the “General Information” screen.

Section Number: Leave the section number blank if your tariff has no sections; otherwise provide the section number; whole numbers only.

Leaf Number: The numbers corresponding to each leaf you are submitting. Only numbers and periods are allowed. For details about leaf number rules, refer to the detailed document descriptions earlier in this Guide.

Revision Number: The original leaf will be designated as Revision zero (0). Subsequent revisions to a particular leaf would be sequentially numbered, e.g. Revision 1, Revision 2, etc. Only whole numbers are allowed.

Superseding Revision Number: Leave blank if this is an original leaf. Otherwise, indicate the revision number of the leaf that the current leaf will supersede. If the leaf is a revision of the original leaf, put a zero (0) in the Superseding Revision Number field.

Effective Date: The date the leaf will become effective, in mm/dd/yyyy format. The default value of this date is carried forward from the “Filing Information” screen, but you can change it if necessary.

More Lines:

- You will see room for twenty (20) leaves on the form.
- After filing out information about the first 20 leaves in the PDF file, if you have more leaves in the PDF file, click on the “More Lines” button at the bottom of the screen.
- You will see a fresh screen, with 20 additional lines, just like the first screen.
- Continue filling out each row, as described above, for the remainder of your leaves.
- If you have less than a full screen, leave the remaining lines blank.
- If you still have additional leaves, click the More Lines button again. Repeat the process until you have entered a row of data for each leaf in your PDF file.

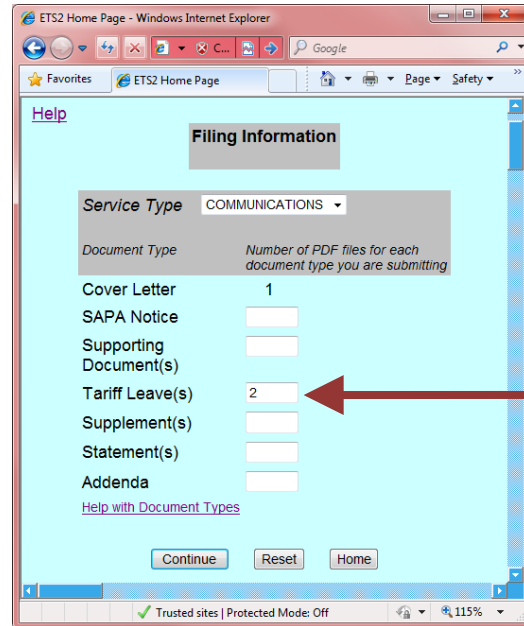
Click the “Next >>” button.

Submitting More Than One PDF File at a Time

In most cases, you will be including all of your tariff leaves in one PDF file. However, on some occasions you may need to include two or more PDF files in the same submission.

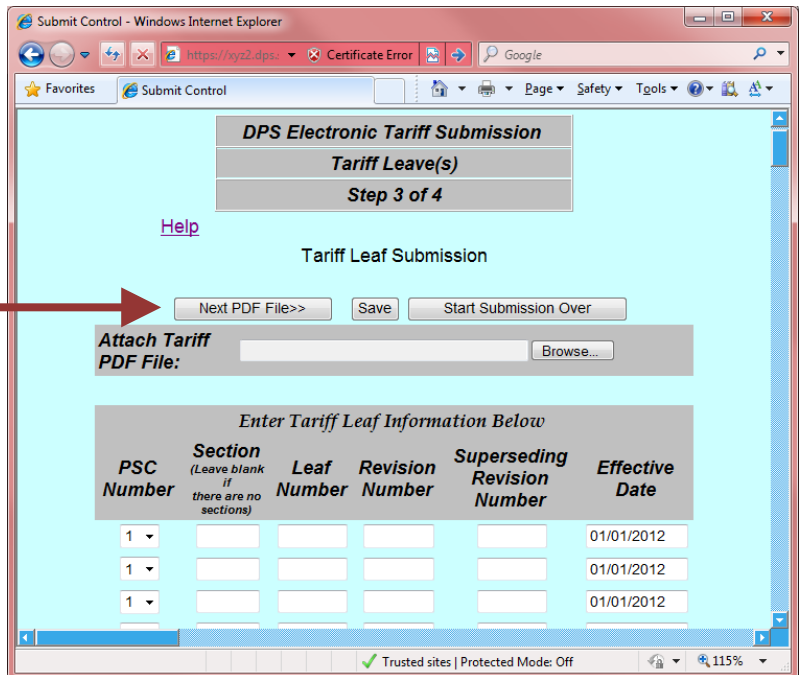
Example – submitting two PDF files:

When you are beginning your submission, on the "Filing Information" page, enter a "2" in the box next to the Document Type



When you get to the leaf data form: fill in *only* the data for your *first* PDF file.

Click the button "Next PDF File." You will see a second leaf form, with blank boxes.



Fill in the data for your *second* PDF file.

(If you have additional PDF files, you would repeat that process – click "Next PDF File" and fill in the blank form.)

You can tell when you are on your *final* PDF file - the button will just say "Next."

Supplements

DPS Electronic Tariff Submission
Supplement(s)
Step 6 of 9

[Help](#)

Supplement PDF files must have a name that starts with SUPP and ends in .pdf

PSC Number	Type	Supplement Number	Effective Date
1	ADOP---Adoption Supplement	1	01/01/2012

Attach a Supplement PDF File

The PDF file containing a Supplement must have a file name that begins with "supp" (or "SUPP") and ends in ".pdf" (or ".PDF")

PSC Number: Choose one PSC number from the drop-down list (for most filings, there is probably only one choice available).

Type: Choose the correct Supplement type.

Supplement Number: Enter the supplement number for this supplement type. If you are filing your first supplement, its number will be "1" (one). The next supplement will be "2." Use whole numbers only.

Click the “Browse...” button to browse to the location of the PDF file

Click the “Next >>” button.

Statements

DPS Electronic Tariff Submission
Statement(s)
Step 7 of 9

[Help](#)
Statement PDF files must have a name that starts with STAT and ends in .pdf

PSC Number	Type Help	Statement Number	Effective Date
1	ADR--Area Development Transportation Phase-out Rates	1	01/01/2012

Attach a Statement PDF File

The PDF file containing a Statement must have a file name that begins with "stat" (or "STAT") and ends in ".pdf" (or ".PDF")

PSC Number: Choose one PSC number from the drop-down list (for most filings, there is probably only one choice available).

Type: Choose the correct Statement type. If the type of statement you wish to submit is not on the list, click on the "Add New Type" button and follow the instructions.

Statement Number: The first statement of *this type* will be number "1" (*one*). Subsequent numbers will be one greater than the previous number *for this type*. (number 2, 3, etc.) Use whole numbers only. Remember, the *entire* statement is replaced at once.

Click the "Browse..." button to locate your PDF file, and attach the file.

Click the "Next >>" button.

Addenda

DPS Electronic Tariff Submission
Addenda
Step 8 of 9

[Help](#)
Addenda PDF files must have a name that starts with ADDE and ends in .pdf

PSC Number	Type	Addendum Number	Effective Date
1	FRS---FRS subtype	1	01/01/2012

Attach an Addendum PDF File

P:\Testing\adde.pdf

The PDF file containing an Addendum must have a file name that begins with "adde" (or "ADDE") and ends in ".pdf" (or ".PDF")

PSC Number: Choose one PSC number from the drop-down list (for most filings, there is probably only one choice available).

Type: Choose the correct Addenda type. If the type of addenda you wish to submit is not on the list, click on the "Add New Type" button and follow the instructions.

Addendum Number: The first addendum *of this type* will be number "1" (*one*). Subsequent numbers will be one greater than the previous number *for this type*. (number 2, 3, etc.) Use whole numbers only. Remember, the *entire* addendum is replaced at once.

Click the "Browse..." button to locate your PDF file, and attach the file.

Click the "Next >>" button.

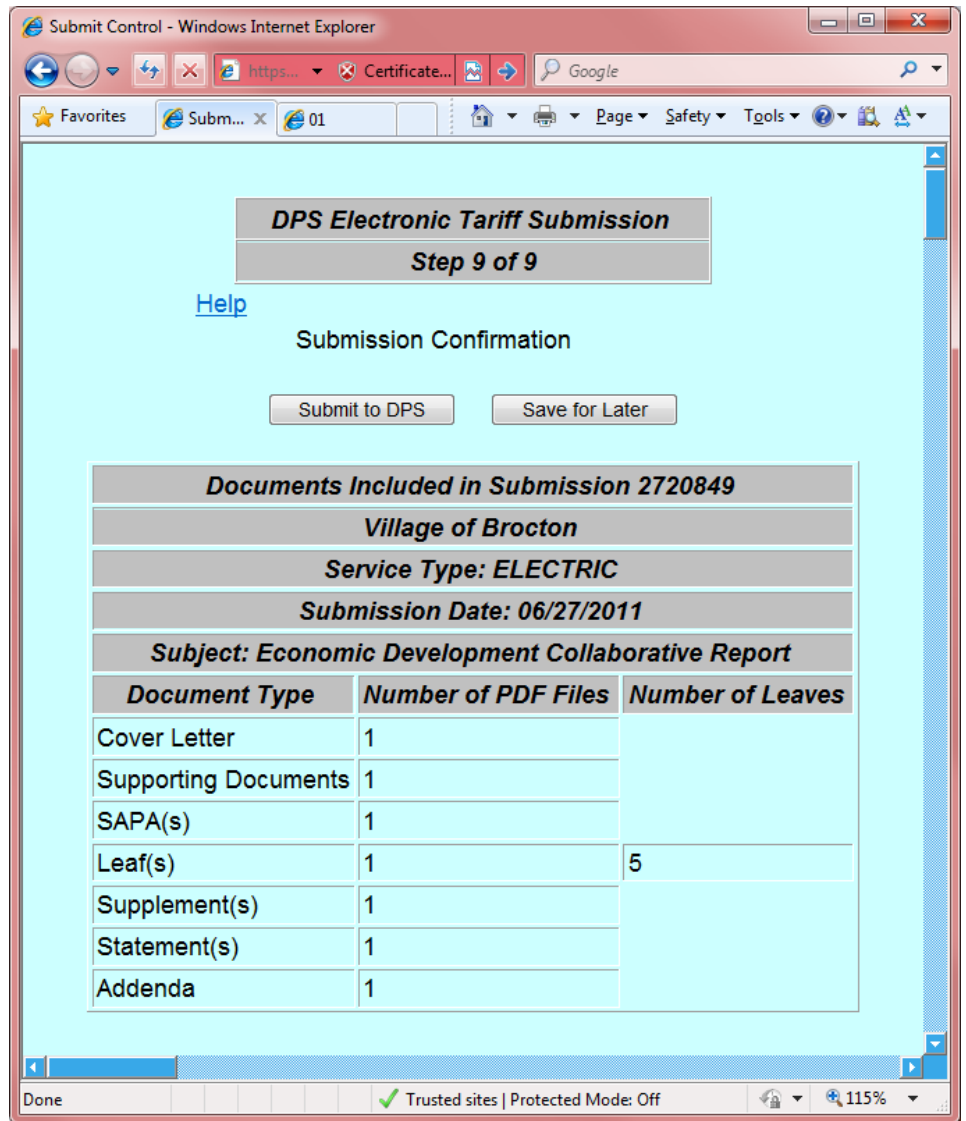
Submission Confirmation

This page describes the documents that you are about to submit.

In most cases, you will click the “**Submit to DPS**” button to complete the submission.

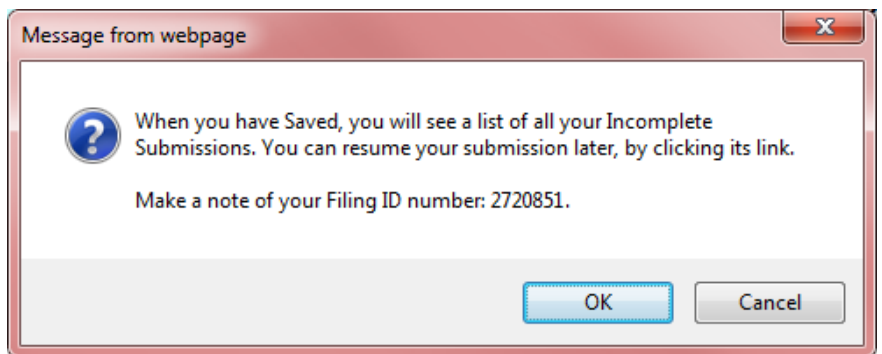
If you wish to resume this filing later, write down the Submission number in the first row under the buttons at the top.

Click “**Save for Later**”



You will see the message at the right:

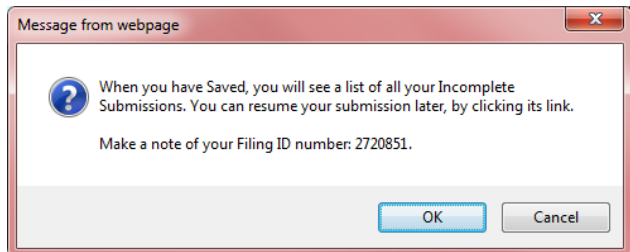
When you click OK, you will be taken to a list of all your incomplete filings. The current filing should be the first one on the list. The resubmit process will be described in the following pages.



Resubmitting a Saved or Rejected Filing

There are two ways that you can access saved-or-rejected filings:

- On the Submission Confirmation form described on the previous page, you clicked the "Save for Later" button. When the pop up message appeared, you clicked OK. This took you to the list of all your incomplete filings from previous sessions.

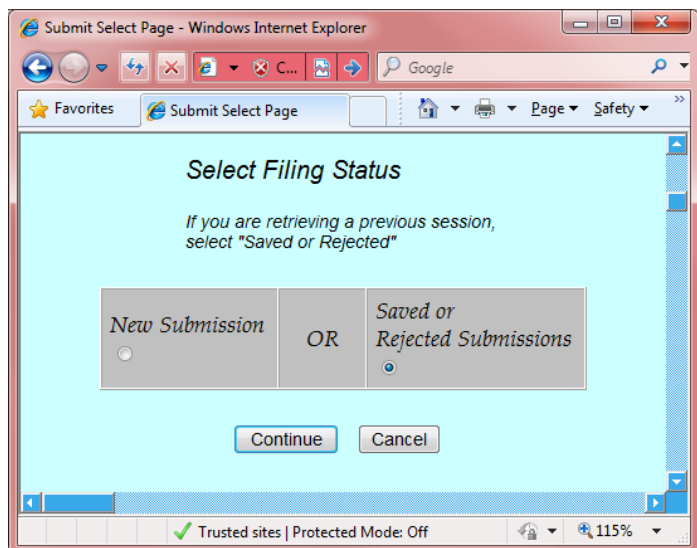


- On the very first Submit menu, there are two buttons:

You would select the **Saved or Rejected Submissions** button, at the right.

Click "Continue"

This takes you to the list of all your incomplete filings from previous sessions.



List of your Incomplete Filings

Submitting an ETS filing - Windows Internet Explorer

https://xyz2.dps.state.ny.us/ETS/submit_nn/ Certificate Error Google

Submitting an ETS filing

Department of Public Service

Resume a Saved or Rejected Submission [Home](#) [Help](#)

To resume a submission, click its "Filing ID" number, in the far-left column

Filing ID	Company Name	Service Type	PSC No.	Subject	Date Modified	Status
2720851	Village of Brocton	Electric	1	Revised SIR - Case 10-E-0406	06/28/2011	Saved
2720849	Village of Brocton	Electric	1	UBP Compliant with Commission Order	06/28/2011	Rejected
2720847	Village of Brocton	Electric	1	Economic Development Collaborative Report	06/27/2011	Saved

[Home](#) [Help](#)

Done Trusted sites | Protected Mode: Off 115%

- Every filing has a unique "Filing ID" number. This number always stays the same throughout the filing process. It is the first column at the left.
- You can also identify the filing you want to resume by observing all the columns of data in a particular row.
- The current status is in the far right column – Saved or Rejected. If it was rejected, an email was sent to you describing the reasons for rejection.

To resume a filing, click its Filing ID Number link, at left.

Filing Information, when Resubmitting

When resubmitting, there are *three* columns of data, not two.

The new column is the middle column: "PDF Files Uploaded So Far"

In this example, there was one PDF file for each document type, during the previous session.

Since these numbers are just for information, they cannot be changed.

The Cover Letter was included last time, so, "1" file has been uploaded so far. This number is *always preset to "1" when you resubmit.*

The right-hand column works somewhat differently from new filings:

- These boxes are **only** for indicating **additional** PDF files. In other words, PDF files not included during any previous sessions.
- *If you are using the same number of PDF file(s) as in your previous session, leave the box(s) blank.*

In this example:

- You already included a SAPA last time. Only one SAPA is allowed, so there isn't any box for adding more SAPA's.
- You are adding one additional statement. Therefore, you put a "1" in the statement box **only**. All of the other boxes are left blank.

The screenshot shows the 'Filing Information' section for 'ELECTRIC' service. The table below is a representation of the data shown in the image:

Document Types	PDF Files Uploaded So Far	Additional PDF Files That You are Uploading This Time
Cover Letter	1	0
SAPA Notice	1	0 (only one SAPA allowed)
Supporting Documents	1	<input type="text"/>
Tariff PDF(s)	1	<input type="text"/>
Supplement(s)	1	<input type="text"/>
Statement(s)	1	<input type="text" value="1"/>
Addenda	1	<input type="text"/>

Buttons at the bottom include 'Continue', 'Reset', and 'Home'. A red arrow points to the '1' in the 'Statement(s)' box.

General Information, When Resubmitting

The following two items always remain the same throughout a filing:

- **Company**
- **Type of Service**

PSC Number

can be changed (perhaps you made a mistake last time). If so, simply uncheck the current PDF, and check a different box. (You can also check additional boxes if necessary.)

The screenshot shows a web browser window titled 'Submit Control - Windows Internet Explorer'. The address bar shows 'https://xyz2.dps.state.ny.us/ETS/su'. The page content is a form titled 'DPS Electronic Tariff Submission' with a sub-header 'General Information Step 1 of 8'. There are 'Next >>' and 'Start Submission Over' buttons. The form fields are as follows:

- Company Name/Code:** Village of Brocton ----- 2039
- Type of Service:** ELECTRIC
- PSC Number(s):** Select one or more PSC numbers. PSC 1 is checked. There are checkboxes for PSC 2, PSC 3, and PSC 4. A link 'Add a New PSC Number' is present.
- Effective Date:** Format: MM/DD/YYYY. A note says 'If you want to use the same effective dates as last time, leave the effective date blank:'. The field is empty. A link 'Help about Effective Dates' is present.
- Subject:** UBP Compliant with Commission Order
- Compliance with Commission Order:** Radio buttons for 'Yes' and 'No', with 'No' selected.

Effective Date

This field works very differently from new submissions.

- You may want to *retain the same effective dates* as your previous session. If so, leave the effective date field **blank**.
- If you want to *change all of the effective dates*, enter a new date. Bear in mind that this will change **every** effective date, on every leaf and every document.

Subject

You can modify the subject if desired.

Compliance with Commission Order

If you chose the wrong buttons last time, you can select the other button now.

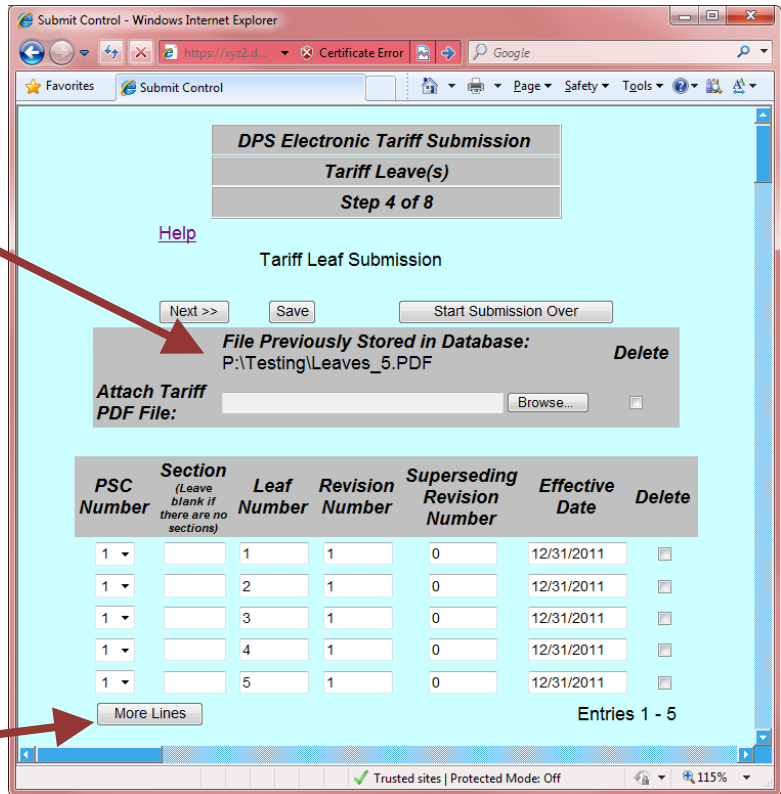
Tariff Leaves, Resubmitting

Notice the "File Previously Stored" caption. If you chose the wrong PDF file last time, you can browse for a different one.

You will only see rows for the leaf data that you entered on previous sessions. Therefore, you might not see 20 rows this time.

In this example, you only entered five rows last time.

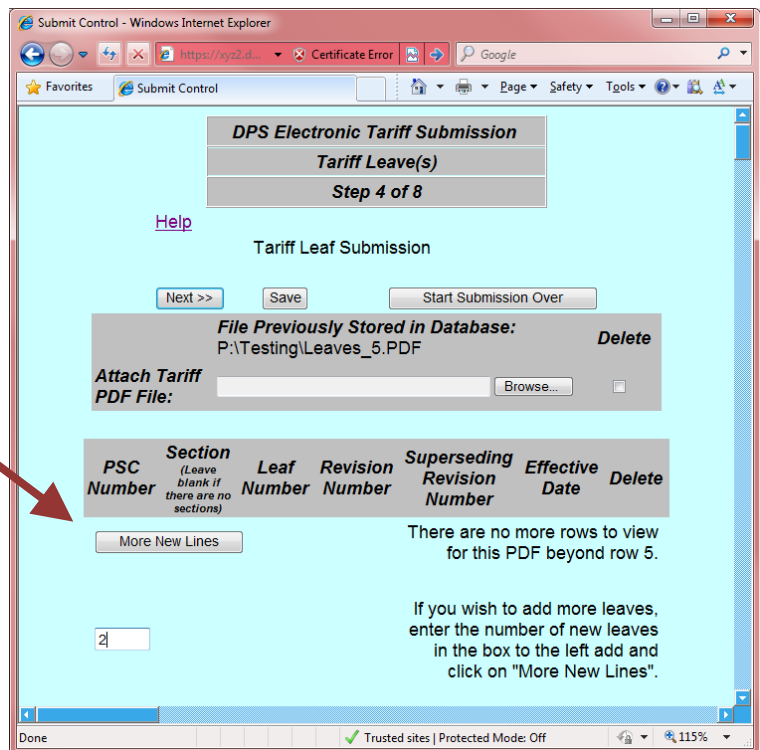
If you need to enter additional leaf data, click the More Lines button at the bottom of the screen.



In the box at the bottom left corner, enter the number of additional rows of data that you want to add now.

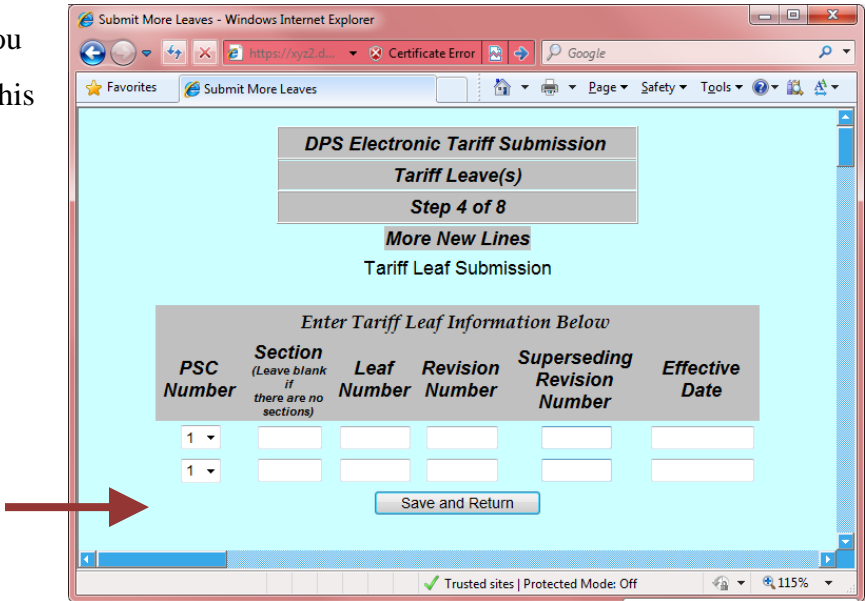
Click the More New Lines button.

Reminder: You always have the option to *Save* your work, if you have more leaf data than you can finish during your current session. You can save and resume, as many times as you want.



Here are the two new rows. You will only see the *new* rows in this form. Bear in mind that these rows come at the *end* of your previous data.

Click the Save and Return button.

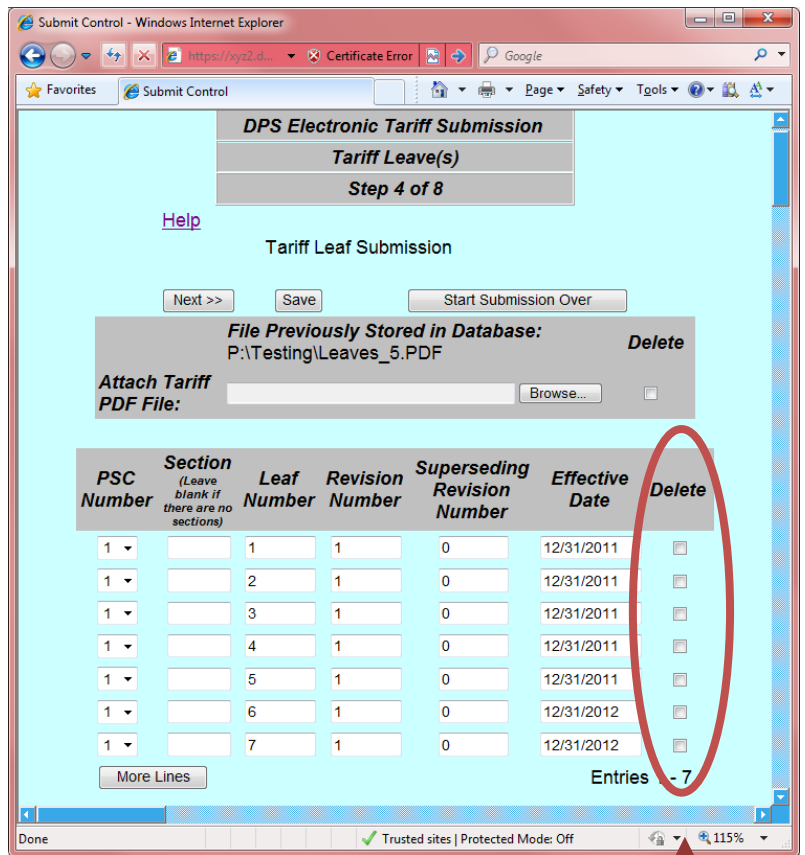


You will now see the previous data, plus your new data.

You can repeat that process if you need additional leaf records.

Caution! Make sure that all the rows are in exactly the same order as the leaves in your PDF file.

If there are any *extra* rows, you can remove them by clicking the "Delete" check box at the far right.



However, it is *not* possible to insert additional rows of data in the middle.

Adding an Additional Statement or Addendum, during Resubmission

For example:

to add *one* additional statement document to this submission:

When you begin resubmitting, you enter a "1" in the right column, "*Additional* PDF files that you are uploading at this time."

Document Types	PDF Files Uploaded So Far	Additional PDF Files That You are Uploading This Time
Cover Letter	1	0
SAPA Notice	0	<input type="text"/>
Supporting Documents	0	<input type="text"/>
Tariff PDF(s)	0	<input type="text"/>
Supplement(s)	0	<input type="text"/>
Statement(s)	1	1
Addenda	0	<input type="text"/>

When you get to the statement form, you will see one *additional* line on this form.

PSC Number	Type	Statement Number	Effective Date	Delete
1	ADR--Area Development Transportation Phase-out Rates	1	01/01/2012	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

In this example, the date is initially blank. That's because you left the date blank on the General Information form, in order to preserve the previous dates, for all your existing documents from last time. (If you had entered a *new* date, to override previous dates, you would see that date in the box.)

Replacing a PDF file, if you Picked the Wrong One

Notice the "Current Statement PDF File" caption. This is the file name that you used on your previous session.

DPS Electronic Tariff Submission
Statement(s)
Step 3 of 4

[Help](#)
Statement PDF files must have a name that starts with STAT and ends in .pdf

Next >> Save Start Submission Over

PSC Number	Type	Statement Number	Effective Date	Delete
1	ADR---Area Development Transportation Phase-out Rates	1	01/01/2012	<input type="checkbox"/>

Current Statement PDF File is: P:\Testing\stat_a1.pdf
To Replace Current PDF File: Browse...

If the Current PDF File above is correct, no further action is needed.

On the line where it says "To replace Current PDF File:" click the Browse button, and select the correct file.

If the "Current Statement PDF File" is correct, no action is needed. You do not have to browse for it again. It will be retained automatically.

Deleting an extra document

You would put a check mark in the box in the far right column, underneath the Delete caption, in that row.

Supplements and Addenda

They work the same way as Statements during resubmission, so they are not discussed separately here.

Submit your Filing

After proceeding through all the document forms, you will come to the Submission Confirmation page. This page works the same for new submissions, and for resubmissions.

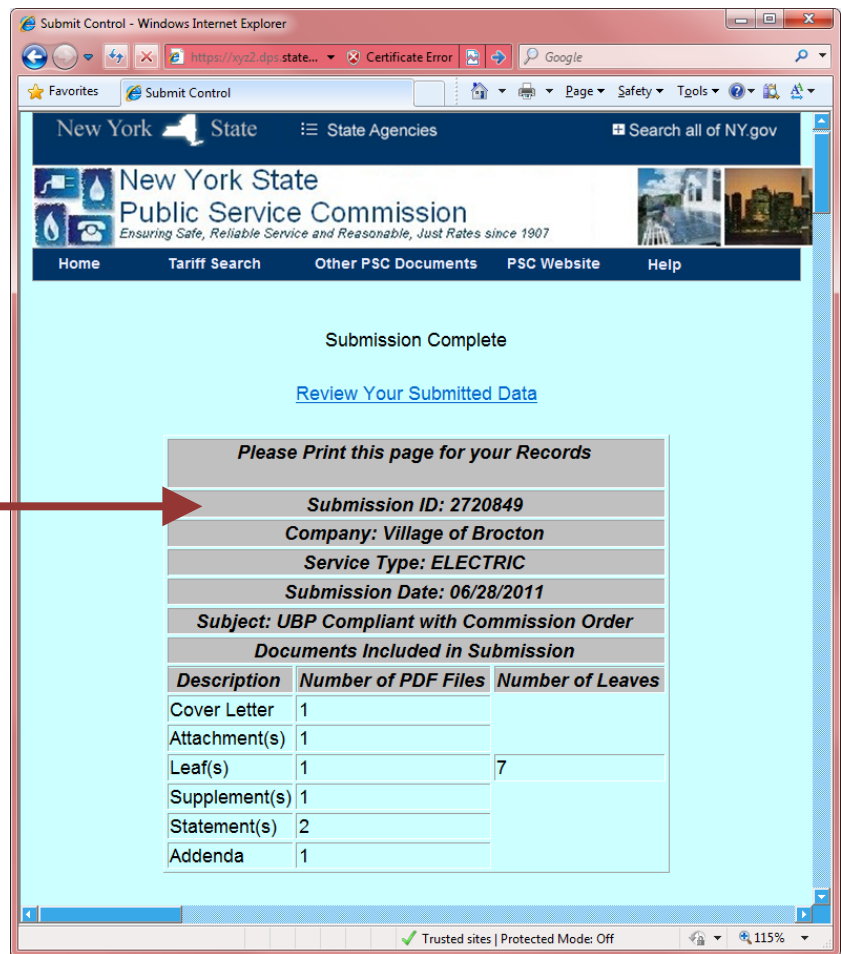
To submit your filing, click the "Submit to DPS" button.

You will now see a summary of all the data pertaining to your filing.

As mentioned earlier, the "Submission ID" (sometimes referred to as Filing ID) is a unique number that identifies your filing.

Write down the Submission ID number.

- You will need the number during correspondence with DPS tariff analysts.
- It will also appear on any emails that the system sends you.



<<<< This concludes the Utility Tariff Preparers Guide >>>>