



Kentucky  
Department for Surface Mining  
Reclamation and Enforcement

# Reclamation Advisory Memorandum

From: Carl E. Campbell, Commissioner

Date: March 2, 1999

Subject: Standards for Electronic Filing of  
Ownership & Control Applications

## RAM # 130

Attached is a guidance document titled "Standards for Electronic Filing of Ownership & Control Applications." It provides information that is extremely important if you intend to submit mining applications to DSMRE electronically.

The document describes the acceptable format for applications that are submitted electronically. The standard format is necessary to ensure proper filing and retrieval of the application by DSMRE.

We trust the attached document is clear and self explanatory. If you have questions, please contact Jim Adamson, Manager, Information Systems Support Branch, Department for Surface Mining, 2 Hudson Hollow, Frankfort, Kentucky 40601. Telephone (502) 564-6940, ext. 617; or e-mail to Jim.Adamson@mail.state.ky.us

Please visit our website (under construction) at <http://kydsmre.nr.state.ky.us>

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# STANDARDS FOR ELECTRONIC FILING OF OWNERSHIP & CONTROL APPLICATIONS

The goal of these standards is to provide a simple but predictable format for electronically submitted applications. Such standards are necessary to ensure proper filing and retrieval of the applications by DSMRE.

## General Information

The following instructions outline the standards for filing applications for Renewals, Transfers, all Ownership & Control applications including Corporate Changes, Corporate Updates, MPA-02's and MPA-01's for all permit application types. At this time the technical portion (MPA-03 and MPA-04) of New, Amendment, or Revision applications will not be accepted electronically.

**Applicants must use current versions of these forms as posted on the Department's web page. A copy of these forms on CD may also be obtained on request.**

Applications that are submitted without using these standards will not be accepted.

There will be two acceptable methods of submitting electronic applications. Microsoft Binder and Office 97 Software Components (Microsoft Word, Excel, etc.)

Both methods require the use of Microsoft Office 97, or components thereof such as Word 97 and Excel 97.

Both methods require the use of the DSMRE file naming conventions. (See page 3 for File Naming Conventions)

For both methods, if the application consist of several individual files as will be the case for the filing of an application with multiple parts such as a transfer or renewal, the MPA-01 must be one file and the MPA-07 or 09 as well as any other prepared attachments such as an excel spreadsheet must be separate individual files.

Both methods require that for applications submitted on electronic media, all parts of the application requiring original signatures such as signature pages, waivers, bonds, etc. or documents such as certificates from the Secretary of State, official corporate documentation, etc. be submitted on paper in addition to electronic media. The paper documents must be originals. The applicant shall not submit scanned copies of such documents, they will be scanned by DSMRE upon receipt. All such documents must be bound in one binder along with the electronic media being submitted.

The electronic media currently accepted is a non-rewritable CD or 3.5" floppy.

A label must be placed on the disk that identifies the applicant name, application number, type, sequence and engineer if appropriate.

All applications must be submitted with a cover sheet included as the first page inside the application binder. The cover sheet shall at a minimum identify the following:

Application Number	Applicants Address
Application Type & Sequence Number	Engineers Name
Applicants ID Number	Engineers Address
Applicants Name	Original or Resubmittal

All applications must otherwise be submitted following standard submittal procedures currently required by DSMRE.

**Method One** ----- Microsoft Binder

Each part of the application, (MPA-01, MPA-07, Various Attachments, etc.) must be placed in separate documents. Once the application is complete the applicant should create a Microsoft Binder document into which all electronic portions of the application should be placed. They should be placed into Binder in the logical order that the review will be conducted.

An example of this for a transfer application would be that the MPA-07 would be first with all attachments in their correct sequence number based on the item of the application in which they are requested, followed by the MPA-01 and its attachments. (See Example, page 4)

The Binder file should be saved using a name that identifies the application number and type with no modification to the extension to the right of the period, such as **888-1234 SU.OBD**. This file must be placed at the root of the CD. **Do not place the Binder file in the directory structure used in Method 2.**

**Method Two** ----- Office 97 Software Components, (Microsoft Word., Excel, etc.)

Individuals who do not choose the Microsoft Binder approach may submit applications using the individual software components of Office 97. The documents must be submitted using the directory structure and directory naming conventions outlined below and illustrated on page 4.

Directory Structure and Directory Naming Conventions  
For Applications Not Using Microsoft Binder Format.

This directory structure will consist of the following three levels.

Level 1      County Code

A folder (directory) will be created at the root of the disk identified by the first three numbers of the application number. An example of this would be **898**.

Level 2      Application Number

Within Level 1 folder a second subdirectory should be created identified by the application number. No blanks, hyphens or other punctuation should be used. An example of this would be **8985555**.

Level 3      Application Type and Sequence Number

Within the Level 2 folder, a second subdirectory will be created. It will be named according to the application type, sequence number. Again, no blanks, hyphens or other punctuation shall be used. Following is abbreviations that must be used for the various application types.

<u>Abbr.</u>	<u>Type</u>	<u>Abbr.</u>	<u>Type</u>
NW	New	OC	Corporate Change
AM	Amendment	UPA	Address Change
MA	Major Revision	UPR	Resident Agent Change
MI	Minor Revision	UPN	Corporate Name Change
SU	Transfer	UPC	Application incorporating a combination of UPA,UPR, or UPN
RN	Renewal		
OPR	Operator Revision		



An example of this folder name would be AM2, which represents Amendment 2.

Level 4 O & C / Technical (with Resubmittal Number if needed)

Within this Level 4 folder, up to two additional subdirectories must be created, one named **OC** (Ownership & Control) and the second **TECH** (Technical). When appropriate, the OC or TECH will be followed by the resubmittal number. As stated in the General Information section, technical applications will not be accepted at this time, therefore the Technical folder will not be necessary. All files that make up the Method 2 submittal will be saved in the OC level.

An example of this folder name (reflecting a second resubmittal) would be: OCresub2

**Method 2 must also include an "Index" file. The Index is necessary to provide a hyperlink to a standard file structure, which will be used by DSMRE and must be located at the root of the CD. The Hyperlinks required in the index must conform to the following link. (See page 5 for Example of Index file)**

Example of Hyperlink:

\\County Code\Permit No\Application Type & Sequence\OC\TECH Folder(Resubmittal No.)\OCFile Name  
898 8981234 AM 2 OC Resub2 MPA01.DOC

898\8981234\AM2\OC Resub2\MPA01.DOC

**File Naming Conventions** -----For All Electronic Applications

The following naming conventions must be used for all files placed in Binder or the OC directory. *The default extension, the last three characters to the right of the period, is defined by the software the document is created in and must not be changed.*

For Applications

<u>Application Form</u>	<u>File Name</u>
Permittee Information	MPA01.DOC
Operator Information	MPA02.DOC
New/Amendment Application	MPA03.DOC (Not accepted at this time)
Revision Application	MPA04.DOC (Not accepted at this time)
Update of Permittee/Operator Information	MPA05.DOC
Corporate Change	MPA06.DOC
Transfer	MPA07.DOC
Operator Revision	MPA08.DOC
Renewal	MPA09.DOC

For Attachments

If the applicant uses attachments, they must be saved as separate files and not saved into the application form. Attachments must be named as follows:

The first two characters of the name must refer to the application form number that the attachment goes with, 01 for MPA-01, 02 for MPA-02 AND SO ON.

The second two characters will be AT, to clearly identify the file as an attachment.

The last part of the name must be the item number in the application that the attachment goes with. If multiple attachments are needed for a single item they must be labeled a, b, c, etc.

An example of this for an attachment to item 2.3 in the MPA-01 application would be:

01AT2.3.DOC

## EXAMPLE OF METHOD ONE

### Microsoft Binder File

The screenshot shows a Microsoft Office Binder window titled "Microsoft Office Binder - Binder Elect". The binder contains several files in the left pane: MPA-07, 07AT3, 07ATS, 07ATSa, MPA-01, and 01AT1.7. Annotations on the left side indicate:

- File Containing the MPA-07 Application:** Points to the MPA-07 file.
- Attachment Files to the MPA-07 Application:** Points to 07AT3, 07ATS, and 07ATSa.
- File Containing the MPA-01 Application:** Points to the MPA-01 file.
- Attachment Files to the MPA-01 Application:** Points to 01AT1.7.

The main content area displays a form titled "PERMITTEE INFORMATION FOR A MINING PERMIT". The form includes a header section and a table with the following data:

This form clearly identifies the applicant for a mining permit. This form must be filed in conjunction with MPA-03 for all Original and Amendment permit applications.		PERMIT NUMBER	898-1234SU
		DSMRE ID NUMBER	012345

Section 1. Identification of Applicant and Owners' Interests

1.1 Applicant Name: Coal Company Inc  
 Mailing Address: PO BOX 333  
 If P. O. Box, indicate Street Address: 123 South Main Street  
 City: Frankfort State: KY Zip: 40601  
 Telephone No ( 502 ) 564-2320  
 Employer ID No. 405557723  
 Coal Severance Tax No. 123456

1.2 Identify resident agent in Kentucky for service of process:

## EXAMPLE OF METHOD TWO

### Office 97 Software Components

The screenshot shows a Windows Explorer window titled "Exploring - E:\898\8981234\SU\O&C". The file hierarchy is as follows:

- Level 1: County Number (8981020\_1431 (E.))
- Level 2: Application Number (898)
- Level 3: Application Type & Sequence Number (Su)
- Level 4: O & C / Technical (Tech)

The right pane shows the contents of the "Tech" folder:

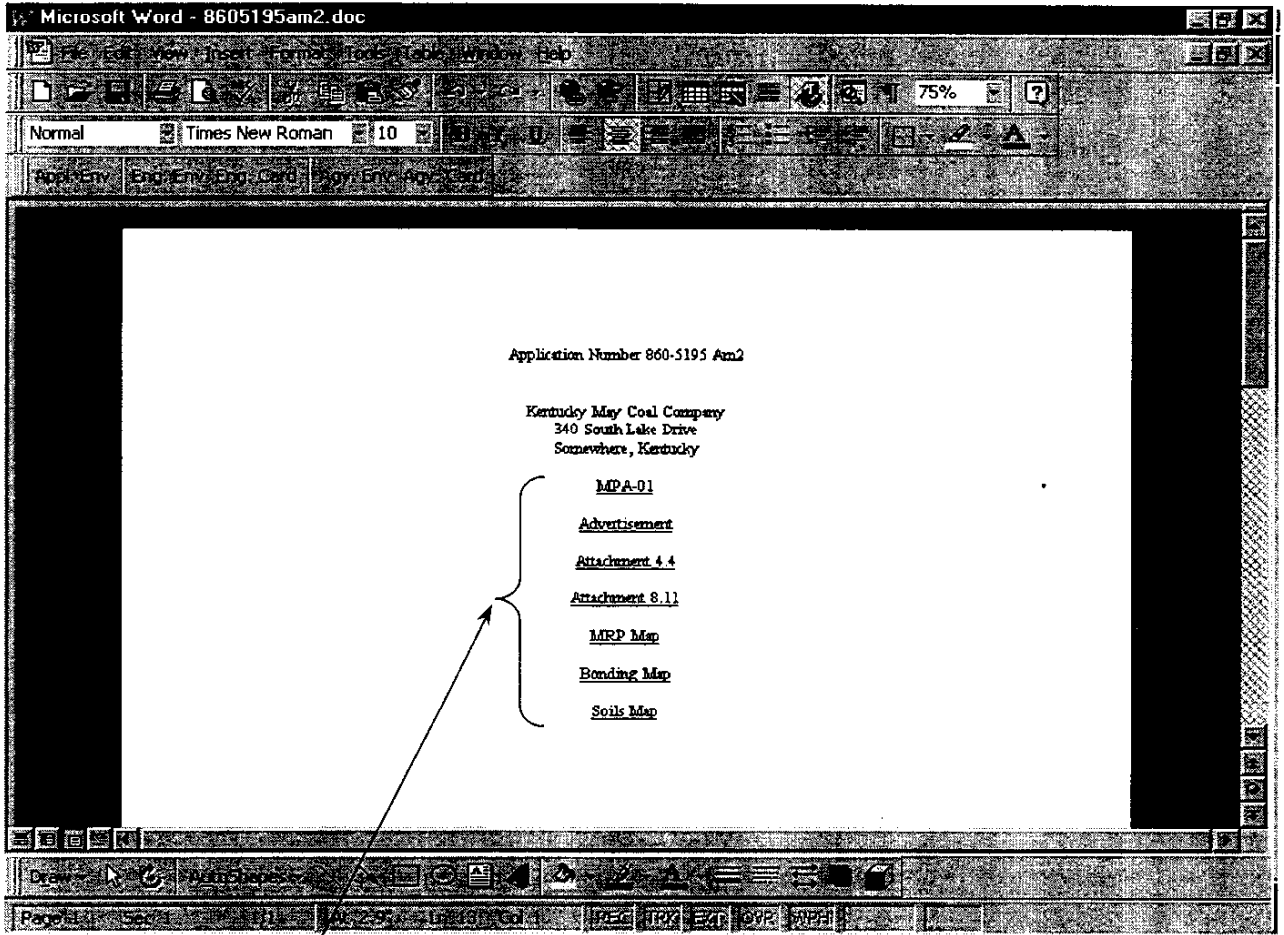
Name	Size
01AT1.14.xls	14KE
01AT1.9.doc	52KE
Coverletter.doc	28KE
mpa01.doc	501KE

Annotations on the left side indicate:

- File Containing Hyperlinks is at Root Level:** Points to the root folder.
- Files Containing Application and Attachments Filed at Level 4:** Points to the "Tech" folder.

# EXAMPLE OF INDEX FILE

## *Office 97 Word Document*



Hyperlinks to Application  
Files and Attachments