

# **ELECTRONIC SUBMISSION**

## **USER GUIDE**

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# FTP INFORMATION

## **INTRODUCTION**

The Department For Natural Resources has established a FTP site for receiving electronic submissions. This section will describe how to establish that interface, plus various standards and protocols.

## **SOFTWARE REQUIREMENTS**

The free version of FTP Commander we previously recommended does not work with the new FTP site due to the requirement of setting a default directory. The Commonwealth Office of Technology recommended Filezilla which can be down loaded from: <http://filezilla-project.org/download.php> . If you want to continue to use FTP Commander you will need to purchase an upgrade to at least the Pro version. See the section on how to upload on page 4 for configuration settings for the new FTP site.

## **FOLDER NAMING SPECIFICATION**

The Department requires that everyone place their file(s) into a folder and then upload that folder to the FTP site. This ensures we have everything grouped together that is submitted since there are many people uploading information to the FTP site. Below are the naming conventions for the folder names:

### **Mine Permits**

#### **APPLICATIONS**

PermitNumber\_Type\_SeqNo

where

- PermitNumber is the number of the application/permit number being submitted.
- Type is the type of submittal.
  - NW New
  - MI Minor Revision
  - MA Major Revision
  - MT Mid-Term
  - AM Amendment
- SeqNo is the submittal number

**Example:** 8980000\_MI\_01 for a minor submittal

### **Mine Reclamation**

#### **MONITORING REPORTS**

PermitNumber\_Year\_Quarter\_DMR

where

- PermitNumber is the number of the application/permit number being submitted.
- Year is for the year the report is submitted for

## CERTIFICATIONS

- Quarter is which quarter in the year

PermitNumber\_StructureType\_FacilityID\_CertificationType\_Date  
Where

- PermitNumber is the number of the application/permit number being submitted.
- Structure Type as defined in appendix
- FacilityID is the facility being certified
- Certification Type as defined in appendix
- Date is the date of the report

## MINOR FIELD REVISIONS

PermitNumber\_Type\_SeqNo where

- PermitNumber is the number of the application/permit number being submitted.
- Type is the type of submittal.  
MFR Minor Field Revision
- SeqNo is the submittal number

**Example:** 8980000\_MFR\_01

## BLASTING

PermitNumber\_Type\_Date where

- PermitNumber is the number of the application/permit number being submitted.
- Type is the type of submittal.  
PBS PreBlast Survey  
ADV Advertisement
- Date is the date of report

**Example:** 8980000\_PBS\_02\_07\_2012

## BLASTING - SMP-61 and SMP-60

PermitNumber\_Blasting\_Type where

- PermitNumber is the number of the application/permit number being submitted.
- Type is the type of submittal.  
SMP61 Surface Blasting Design  
SMP60-61 MSHA Joint Approval

**Example:** 8980000\_Blasting\_SMP60-61

## ELECTRONIC BOND RELEASE - SMP- 87A and SMP-23

PermitNumber\_Phase\_Date\_87A\_Bond\_Release where

- PermitNumber is the number of the application/permit number being submitted.
- Phase is one of the following:  
I, II or III
- Date is desired date of release  
MM\_DD\_YYYY

**Example:**

8980000\_II\_04\_11\_2013\_87A\_Bond\_Release

## **WHAT TO UPLOAD**

The Department will only accept the submittal file, within the defined folder, and a file called FTPCover. FTPCover will include the following information:

- Name the file(s) being uploaded and their size.
- E-mail address of the person to receive confirmation that the Department received the electronic submission.
- E-mail address of the person to receive information from the Department as the electronic submission is processed. Where applicable, this will include receiving letters through email, automatic notifications of where the electronic submittal is in the process, etc.

## **Mine Reclamation**

### **MONITORING REPORTS**

- Three files. KPDES Excel file, SW file, GW file

### **MINOR FIELD REVISIONS**

- Two files: SME-80, Permittee Authorization

### **BLASTING (PBS and ADV)**

- Two files: Electronic PBS, Affidavit
- One file: ADV with notification schedule

### **BLASTING (SMP-61 and SMP-60)**

- Two files: SMP-60, SMP-61 if MSHA joint approval is required
- One file: SMP-61 if joint approval is not required

### **BOND RELEASE (SME-87A)**

- Two files: SME-87A with attachments and SME-23 if a phase I or additional planting has occurred.
- One file: SME-87A with attachments if phase II or III and no additional plantings.
- Attachments to the SME-87A include:
  1. Copies of letters sent as required by 405 KAR 10:040 Section 1 (b)
  2. Sample advertisement
  3. Map showing disturbed and undisturbed areas for a phase I release. A map is only required for a phase II or phase III release if there has been a post mining land use change or if acreage has been added to the permit since approval of the phase I release.
  4. Permittee authorization for bond release (signature page).

## **HOW TO UPLOAD FILE(S)**

The following is a step by step of how to upload information to the FTP site. It's assumed you have already created a folder, with the submittal files, to be uploaded. These instructions show it from the Filezilla perspective, but the process will be similar for any FTP software package.

. The first time you use Filezilla you will want to create a new Site.

- A. Open the Filezilla Client.
- B. On the File menu select "Site manager"
- C. Select the "New Site" button.
- D. Rename your site to whatever name you prefer
- E. You will need to do this first part for each office you plan on uploading to.

FTP Server: FTP.COT.KY.GOV

FTP Port: 21

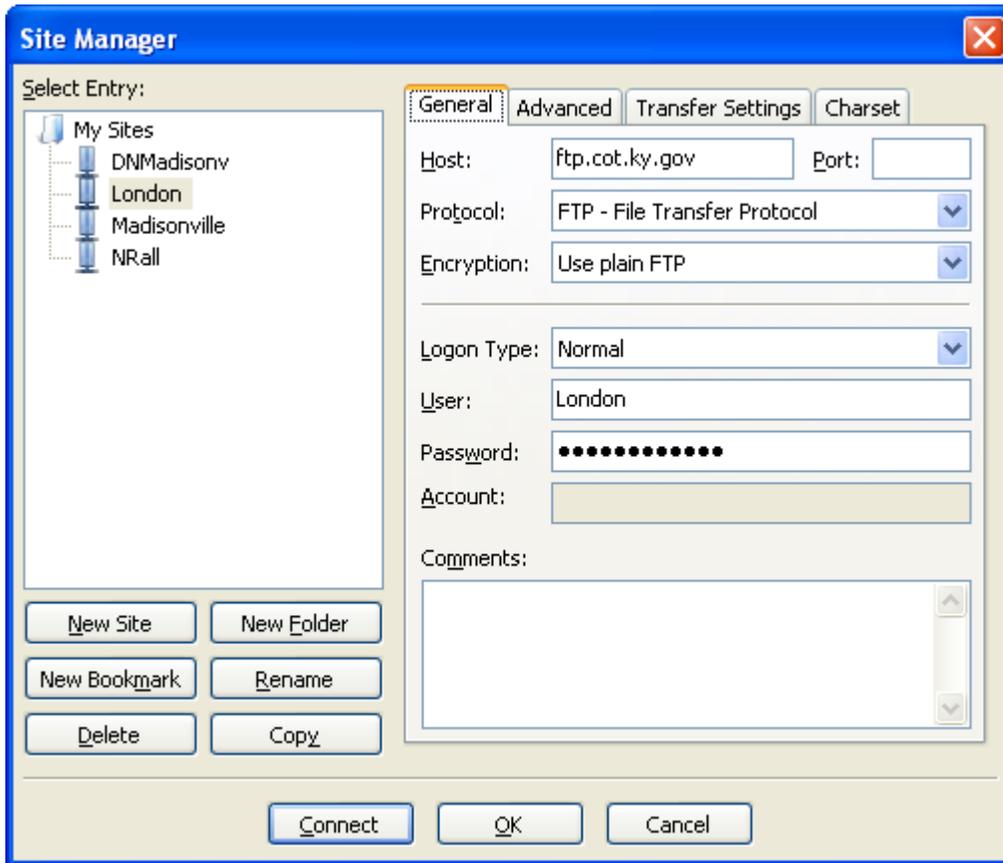
Username: See below for usernames

Password: All usernames will have the same password of **UJM<ki87^YHN**

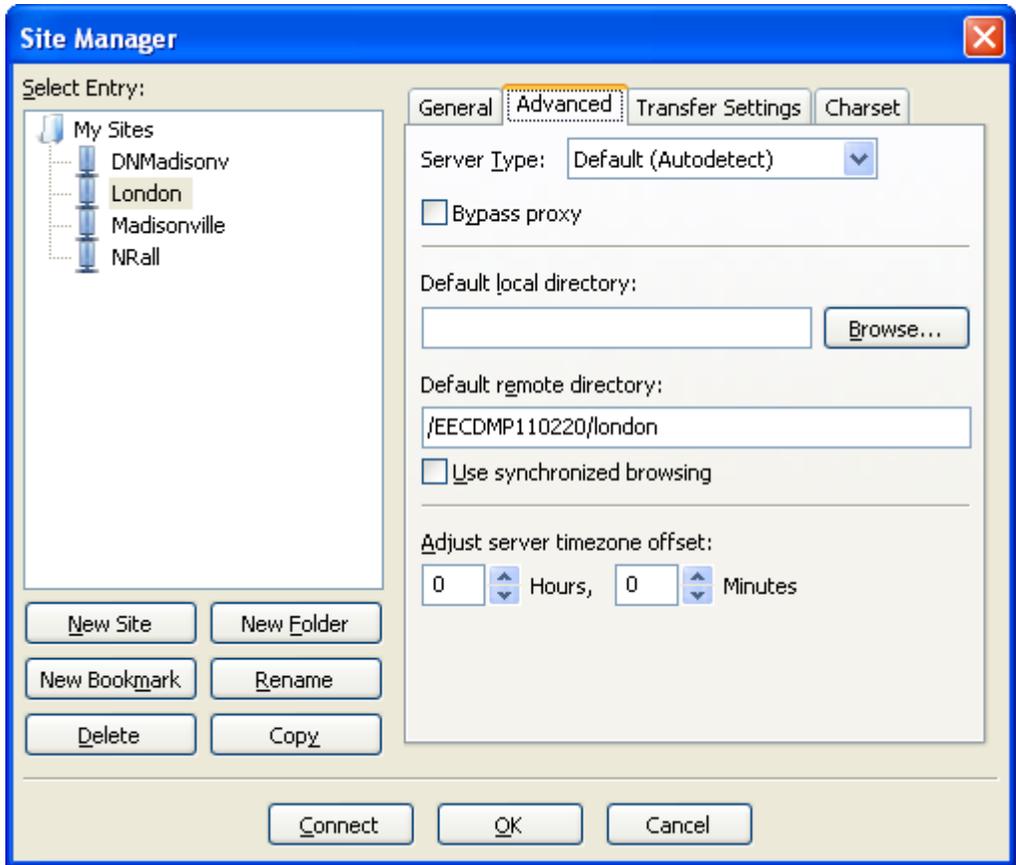
There is a username for various types of uploads. The username and password are case sensitive. Below is the list of usernames and what they mean:

User Name	Default Folder	
Madisonv	/EECDMP110220/madisonv	Upload files to the Madisonville field office
Frankfort	/EECDMP110220/frankfort	Upload files to the Frankfort DMRE office
London	/EECDMP110220/london	Upload files to the London field office
Middlesb	/EECDMP110220/middlesb	Upload files to the Middlesboro field office
NRupload	/EECDMP110220/nrupload	Upload files to the Frankfort DMP office
Pikeville	/EECDMP110220/pikeville	Upload files to the Pikeville field office
Prestonb	/EECDMP110220/prestonb	Upload files to the Prestonsburg field office

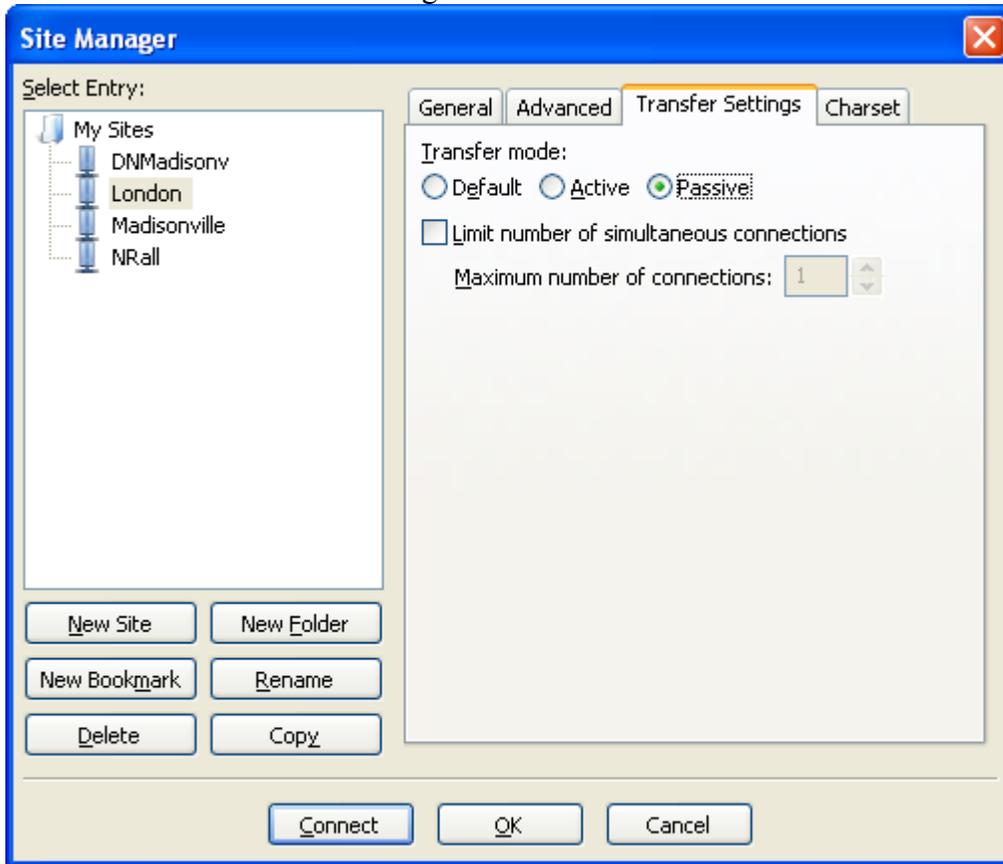
II. Select the "General" Tab and complete the session connection information as follows:



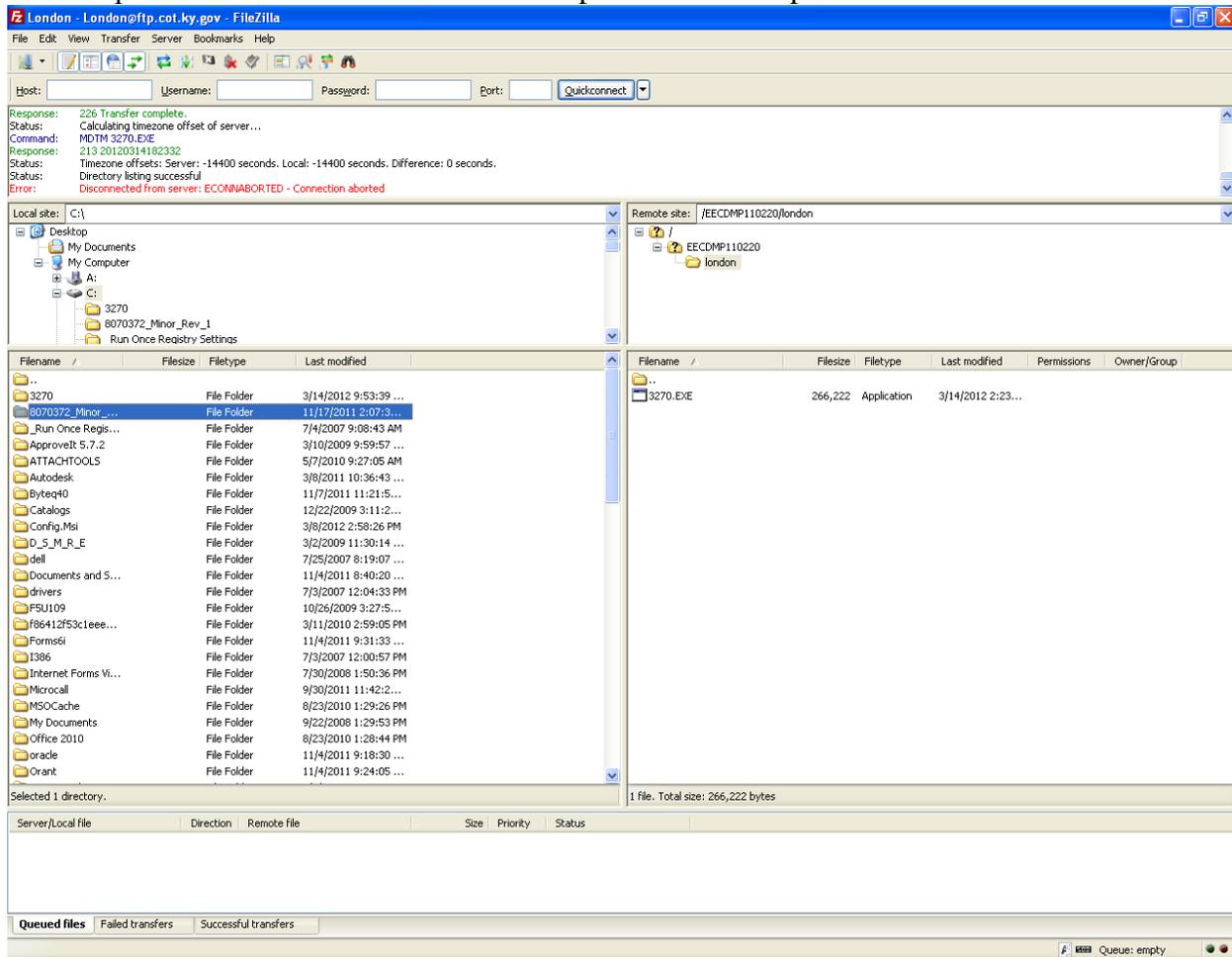
III. Open the “Advanced” tab and change the default directory to the proper default directory for the user name as referenced earlier:



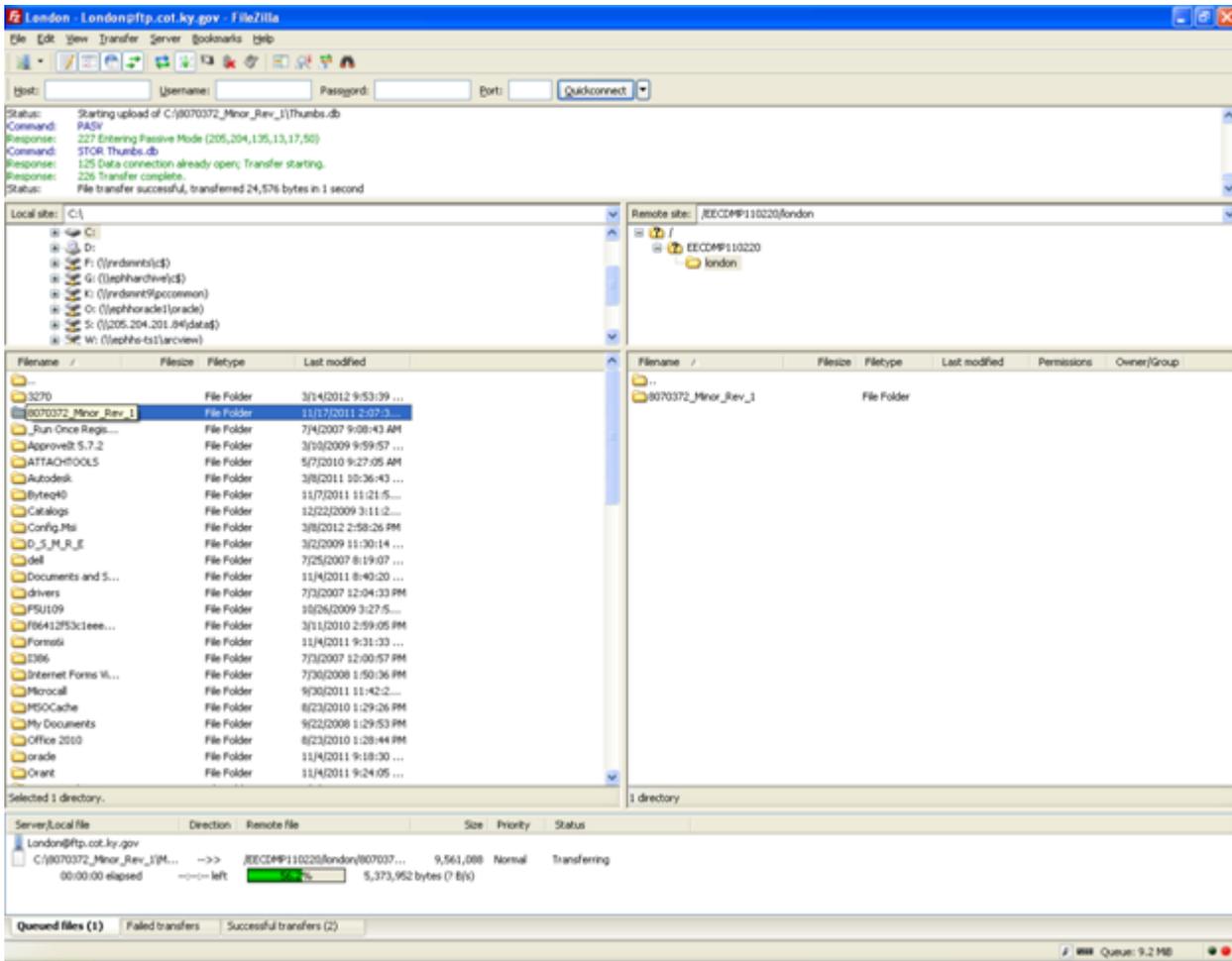
III. Select the “Transfer Settings” tab and select the “Passive” radio



1. Find the folder to be uploaded. In Filezilla, the upper left window shows the folder location. So, if the folder to be uploaded is on the server, you need to change your folder location. In this example, you'll see the folders on C: drive. In the lower left, the list of folders/files are listed for the folder selected on the upper left window. Click on the folder to upload once it is located. In this example, the folder labeled 8640209\_MI\_02 will be uploaded. Right mouse click on the file and select "Upload" to move file to FTP Servers pane to initiate upload.



- During the upload, a window similar to the one below will appear. It's telling you the upload is happening. When the upload is completed, this window will go away and you'll see some messages at the top of your screen. It's best to ignore those messages, because they will indicate that errors happened. We have setup out FTP site to not allow the submitter to see what has been uploaded. This allows us to use a single username and password, so you can't see what others have uploaded and vice versa.



- The upload is completed. You should receive a notification that the upload was successful when it is processed.

# APPENDIX

## ***Application Types***

AM	AMENDMENT
MA	MAJOR REVISION
MI	MINOR REVISION
MFR	MINOR FIELD REVISION
MT	MID-TERM REVIEW
NW	NEW
OC	CORPORATE CHANGE
OPR	OPERATOR REVISION
RN	RENEWAL
RV	REVISION
SU	SUCCESSION
UPA	UPDATE PERMITTEE ADDRESS
UPN	UPDATE PERMITTEE NAME
UPR	UPDATE REGISTERED AGENT

## ***Certification Types***

Certification of Design	COD
Certification of Construction	COC
Certification of Maintenance	COM
Final Certification of Construction	FCC
MSHA Reports	MSH
Inspections	INSP
Reports	REP

## ***Structure Types***

<b><u>Type</u></b>	<b><u>Folder Label</u></b>
Sedimentation Ponds	SedPond
Excess Spoil Fills	ExcessSpoilFills
Temporary Water Impoundments	TempWaterImpd
Permanent Water Impoundments	PermanentWaterImpd
Road	Road
Coal Processing Waste Bank	CoalProcessWasteBank
Coal Processing Waste Dam	CoalProcessWasteDam
Coal Processing Waste Impoundment	CoalProcessWasteImpd

## ***Blasting Types***

<b><u>Type</u></b>
PBS
ADV