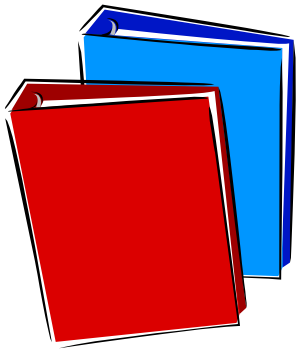

CALIFORNIA PUBLIC UTILITIES COMMISSION

ELECTRONIC FILING SYSTEM USER GUIDE

(October 2009)

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1. INTRODUCTION

1.1 Purpose

The California Public Utilities Commission's Electronic Filing System is designed to be user friendly, simple, and accessible. There is currently a web-based version available.

1.2 Contents

This manual introduces you how to participate in E-Filing; how to register; how to file a document and other pertinent information.

2. GENERAL INFORMATION

Like the Docket Office, the business hours of the Electronic Filing System are 8:00 a.m. to 5:00 p.m. (Pacific Time) on Monday through Friday. Documents submitted after 5:00 p.m. are eligible for filing the next business day.

3. BEFORE YOU START E-FILING

You'll need:

- **An e-mail Account** to receive communications about your filing.
- **An Internet connection**. Dial-up works but is VERY SLOW, so faster (DSL, cable, etc.) is always better.
- **A web browser** such as Internet Explorer or Mozilla/Firefox. (If you use Macintosh, use Firefox.)
- **A program able to create PDF/A compliant documents.** Adobe Acrobat 7.0 (or higher version) of Professional works.
- **A copy of the Commission's Rules of Practice and Procedure, Rule 1.13 specifically relates to e-filing and replaces ALJ-188, the interim e-filing rules.**

4. PREPARE YOUR DOCUMENT IN PDF/A FORMAT

To e-file your document using the web-based system, you MUST convert your document into PDF/A format. We require PDF/A compliant documents to meet our 30 year document retention policy goals. For more information about PDF/A please see http://en.wikipedia.org/wiki/PDF/A. PDF/A is a relatively new format that we expect more vendors will offer over time, but for now, we have found that running Adobe Acrobat 7.0 Professional is the best way to make your document PDF/A compliant. There are several ways to convert a word processing document into a PDF standard document, but this is the way that we have had consistent success in making a PDF/A compliant document when you are running Adobe Acrobat 7.0 or higher on your desktop:

(1) Open your document in your word processing program,

(2) On the menu bar of your word processing program, click "File," then click "Print,"

(3) Under "Name," change your printer by scrolling to and clicking on "Adobe PDF" printer,

(4) Click on "Properties" so that the "Default Setting" is "PDF/A," then click OK,[1]

(5) Click on save button and save your document to your desktop/hard drive.

We have found an inexpensive program that meets our PDF/A requirements, you can download it from http://www.pdfonline.com/easypdf/index.htm, install the printer driver, instruct it to embed fonts, and create a PDF/A document. This program costs only $14.95, but may place a small mark of the online company on the first page of your document.

If you are using Adobe Professional, after the document is converted using the above approach, open the PDF/A document, on the menu bar click "Advanced," scroll down and click "Preflight." Wait until the preflight loading profile is finished, then select "Compliant with PDF/A," click the execute button. After execution is finished, the prompt will show "√ no problems found" if your document passed the PDF/A compliance test. If it did not, it will display a large red X and identify the errors.

Please note that if your document is in PDF Standard format, you can usually follow the above steps in order to successfully convert to "PDF/A format." However, we recommend converting to PDF/A from your word processing program whenever possible. We recommend that you do your PDF/A conversion before you begin the filing process to speed up the filing process. Also, review Rule 1.8 of the Rules of Practice and Procedure for the rules about signature requirements.

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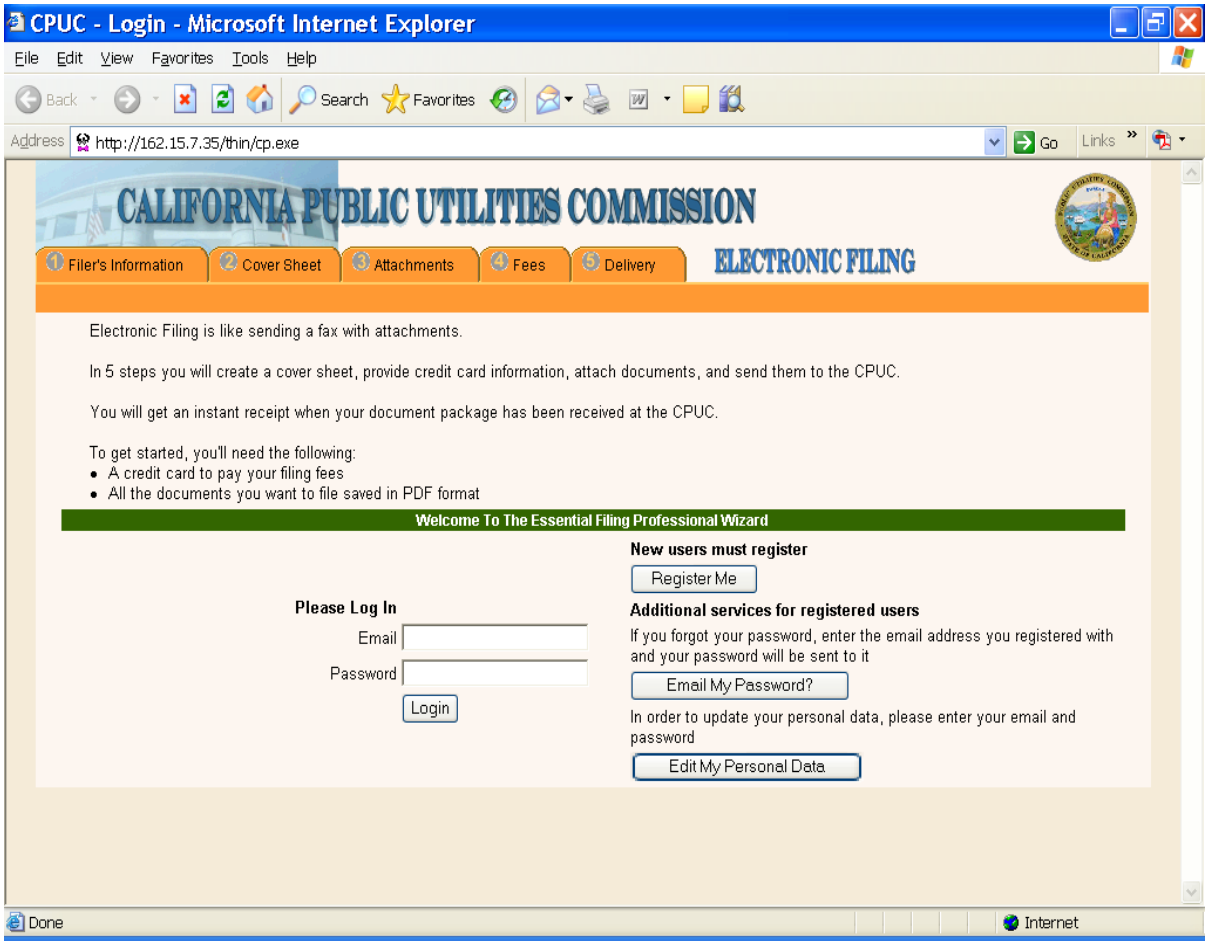
[1] This may indicate PDF/A: Draft or PDF/A: 1b (CMYK or RGB) or other PDF/A style. Select any PDF/A option; RGB creates a smaller files size compared to CMYK.

5. HOW TO ACCESS THE WEB-BASED E-FILING SYSTEM

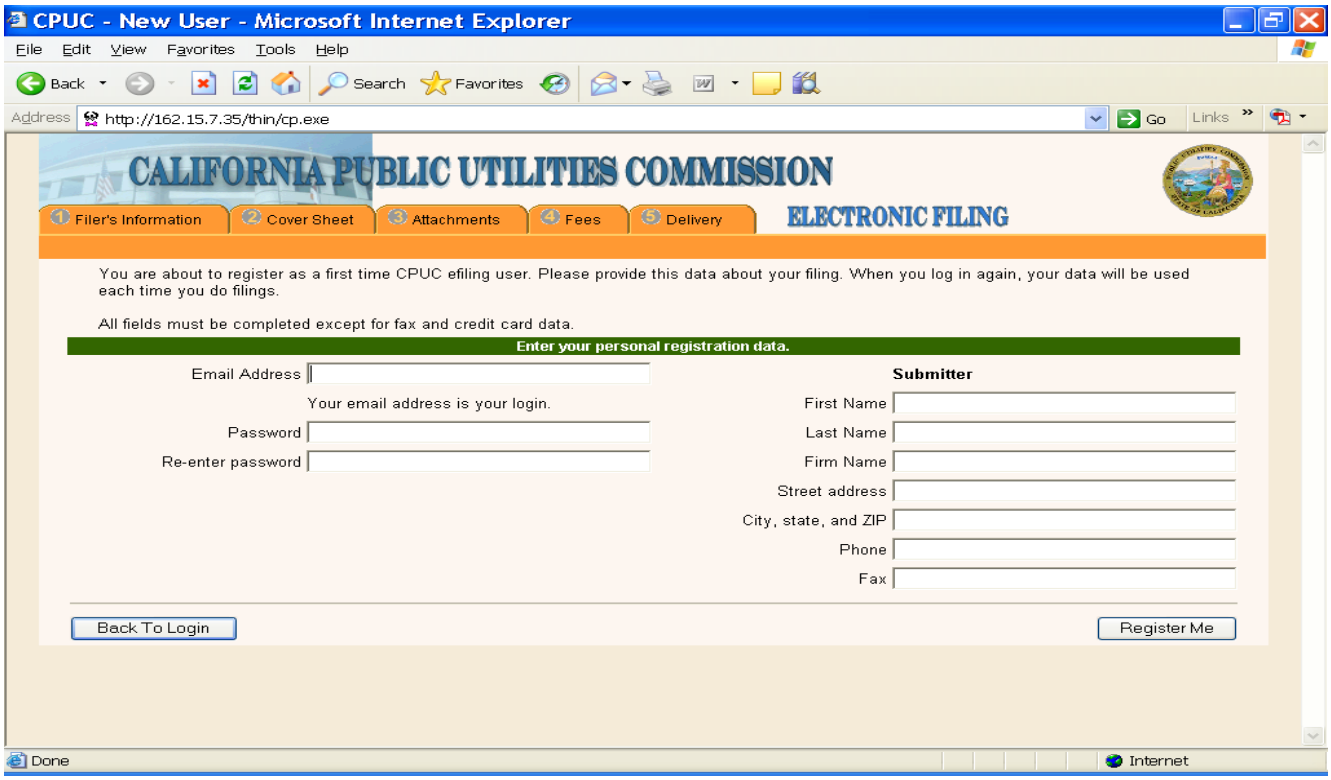
The web version is located at http://efile.cpuc.ca.gov. Enter this on your web browser and the screen below will come up.



6. REGISTERING

If you have previously registered, enter your e-mail and password as required to skip to Filer's Information.

If you are a first time user, you will need to register. Click on the "Register Me" button and you will see the below screen.



Enter the e-mail address for the Submitter and create a password (maximum of 32 characters). Your password is case sensitive.

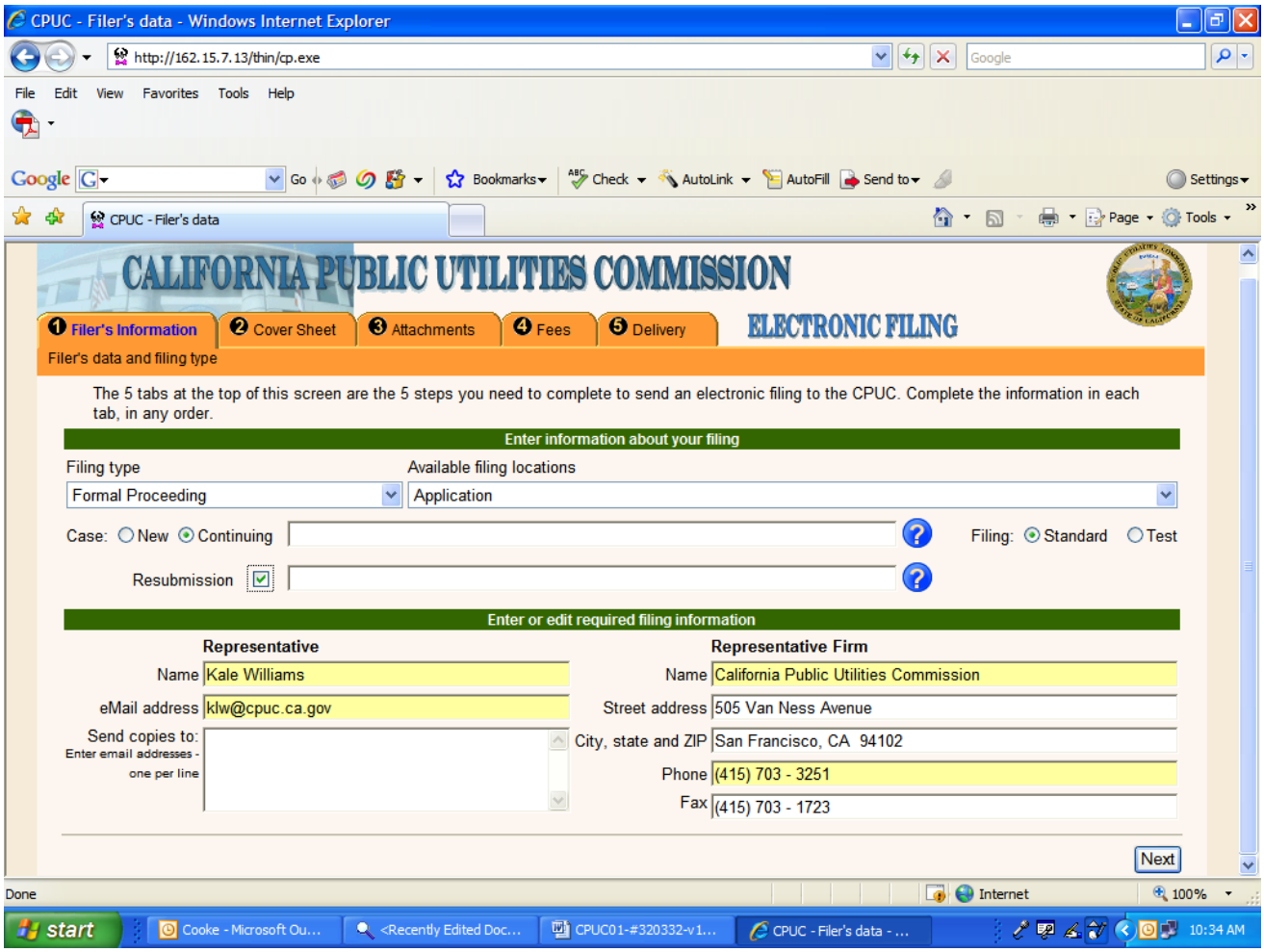
6.1 SUBMITTER

The Submitter is the person making the filing. Include the firm name as opposed to the Party for whom the filing is being made. The information that you include will automatically populate the Representative Field and this is how it will appear in the filing system, so make sure you use capitals/punctuation as appropriate. Press the Register Me button when complete.

TIP: If you (or your work group) make filings for several people or parties, you can create Submitter profiles for each person for whom you might do filings and share those passwords in your group, this will allow you to have a profile tailored to each Representative you file for.

7. (TAB 1) FILER'S INFORMATION

Once you have registered for the first time (or as a returning user), you will see this screen:



Here you must:

(1) Specify the type of proceeding in the "Available filing locations" drop down menu. This is where you specify you are filing a new application, complaint, investigation, rulemaking, or petition for rulemaking or a document in that type of proceeding. If you are filing in a consolidated proceeding with multiple proceeding types, select either proceeding type.

(2) Mark new or continuing for the type of proceeding. (The above screen shot is of a continuing proceeding.) If continuing, enter proceeding number. If multiple proceedings are involved, list all of them that you included in the caption of the document, separated by commas. Press the **?** button for more details.

(3) Mark Standard if you want your document to be filed officially. Mark Test if you only want to try the system out. Test filings do not reach the CPUC, are not filed, and are not part of the official record of the proceeding.

(4) If you are resubmitting a filing that has previously been rejected, please check the box labeled Resubmission. In the text box next to Resubmission, please provide the electronic filing transaction number of the previously submitted filing, omitting the leading zeros, i.e., 12345 rather than 0000012345. Press the **?** button for more details. **If your filing has been rejected multiple times, list only the transaction number from the FIRST filing here; a complete list of rejected transactions should be listed on Tab 5.**

(5) Verify that the Representative information is correct. You may specify a different phone number or e-mail here (for example, administrative assistant contact information instead of the attorney- talk with the person you are filing it for). The Representative Firm may be the same as the Party the filing is on behalf of, or if outside counsel/consultant is involved, the Representative Firm will be the law firm/consultant making the filing on behalf of a party.

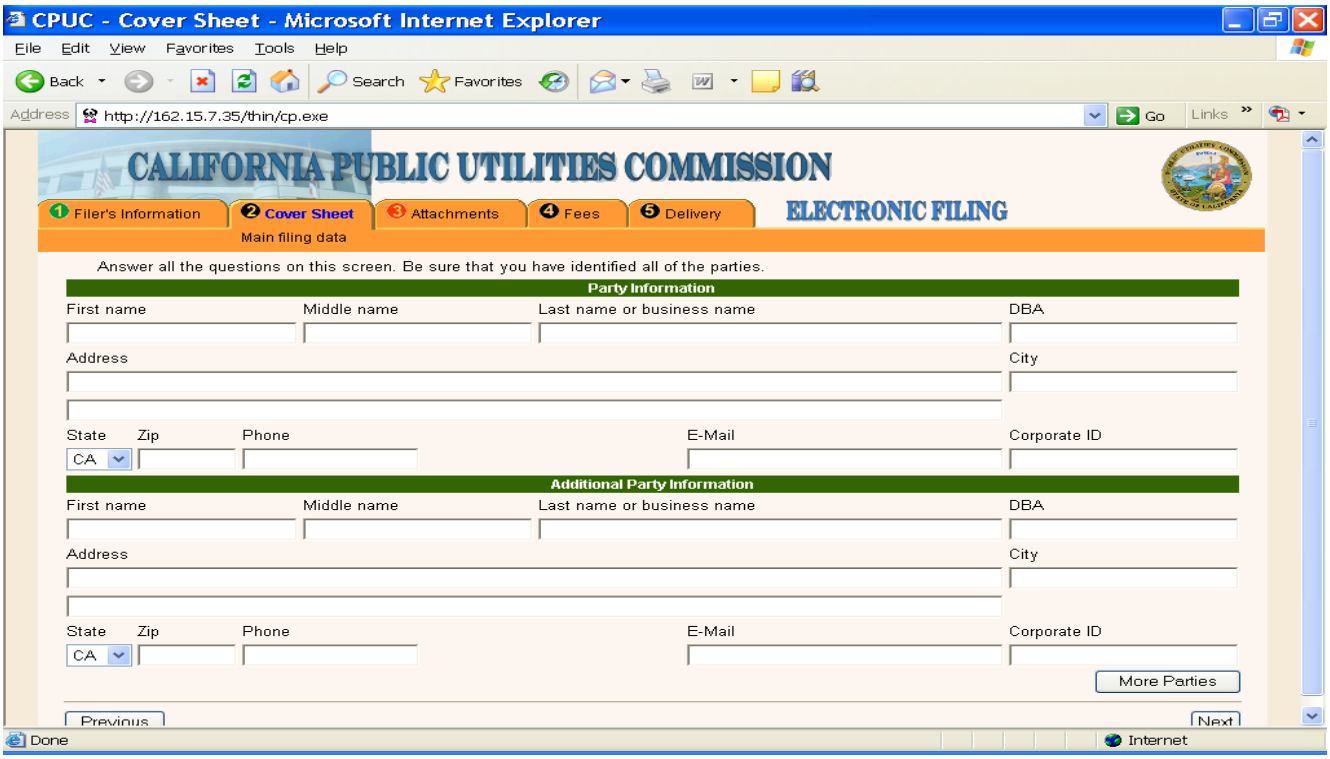
(6) If you want other people to receive a copy of the filings, enter the e-mail addresses, in the Send copies to: box. When your filing is accepted by the Docket Office, the Submitter and everyone whose information is put in this box will receive an e-mail notification that the filing has been accepted. Likewise, everyone in this box will receive notice of rejections.

(7) Click Next.

TIP: If you completed all of the required information on Tab 1, the circle around the number on the tab will turn green, if required information is incomplete, the circle will turn red. If the Tab is red, return to that tab and the lower left corner will list the missing information.

8. (TAB 2) COVER SHEET CONTINUING PROCEEDING

This tab is where you enter information about the party whose filing is being submitted.



If the filing is on behalf of an individual, then complete First Name, Middle Name, Last Name, as appropriate and all relevant address information. Because this information is the PARTY information, it may be different than the Submitter/Representative information you established. An e-mail address and phone number is REQUIRED.

If the filing is on behalf of an organization, then complete the Last Name or Business Name box. Spell out the full legal name of the organization (for example, use Pacific Gas and Electric Company NOT PG&E). Abbreviations of the organization can be inserted in the DBA field. Include all relevant address information for the party. For utility filers, include your Corporate ID.

TIP: For Corporate ID insert the **NUMBER ONLY**- do not include U or other letters.

If the filing is a joint filing on behalf of multiple parties, then complete Additional Party Information for each party. Click the "More Parties" button if the filing is on behalf of more than two filers.

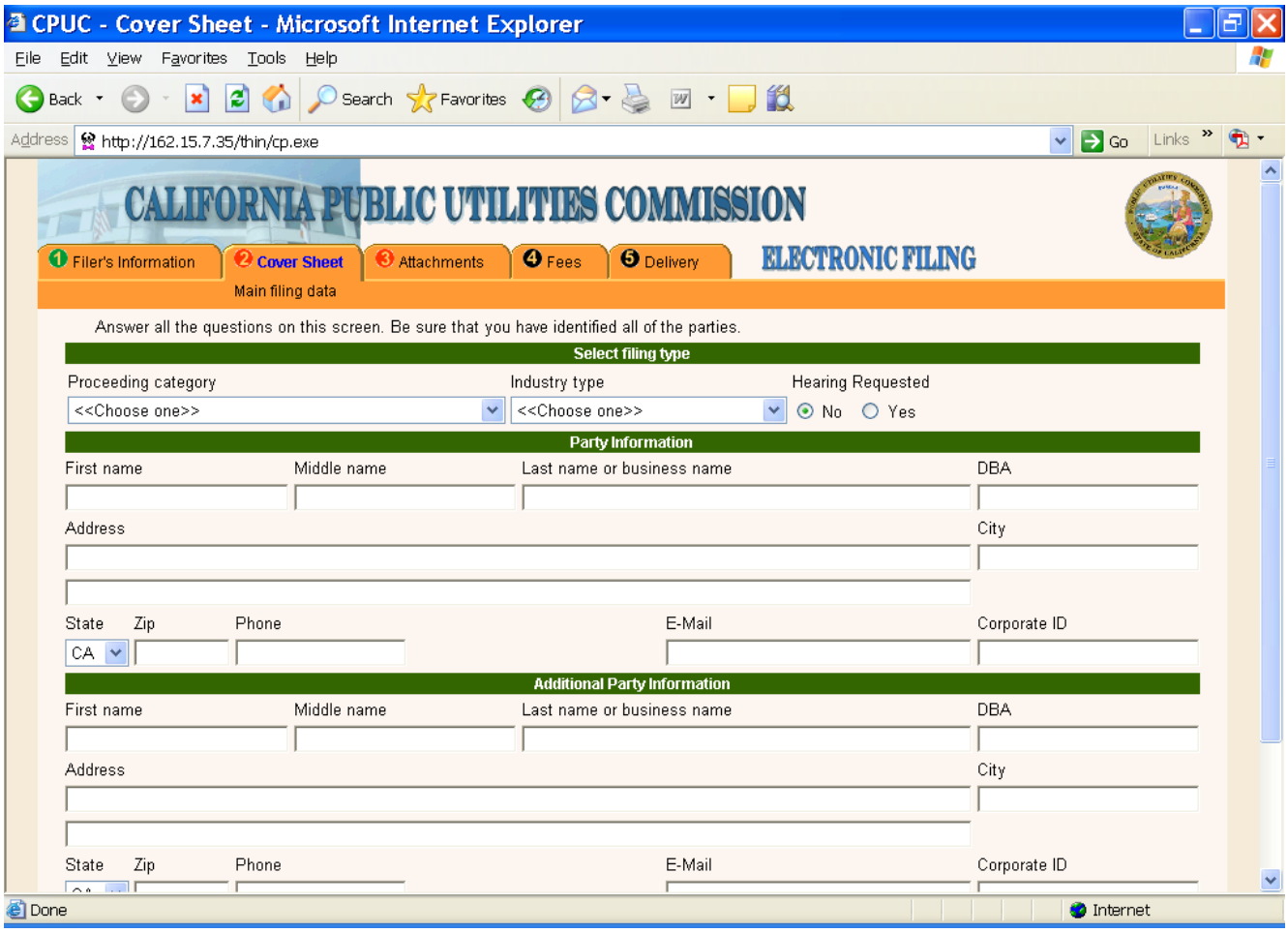
TIP: If filing on behalf of multiple parties, be sure to have address, phone, and e-mail information on hand for ALL of them when you begin your filing.

Click the Next button when all parties on whose behalf the filing is being made are entered.

8.1 (TAB 2) COVER SHEET NEW PROCEEDING

If you clicked "NEW" proceeding on Tab 1 (make sure specify the correct type of proceeding in the Available filing locations menu), the screen would have switched to:

After clicking the Next button on Tab 1 for a new proceeding, you get this Tab 2 screen:



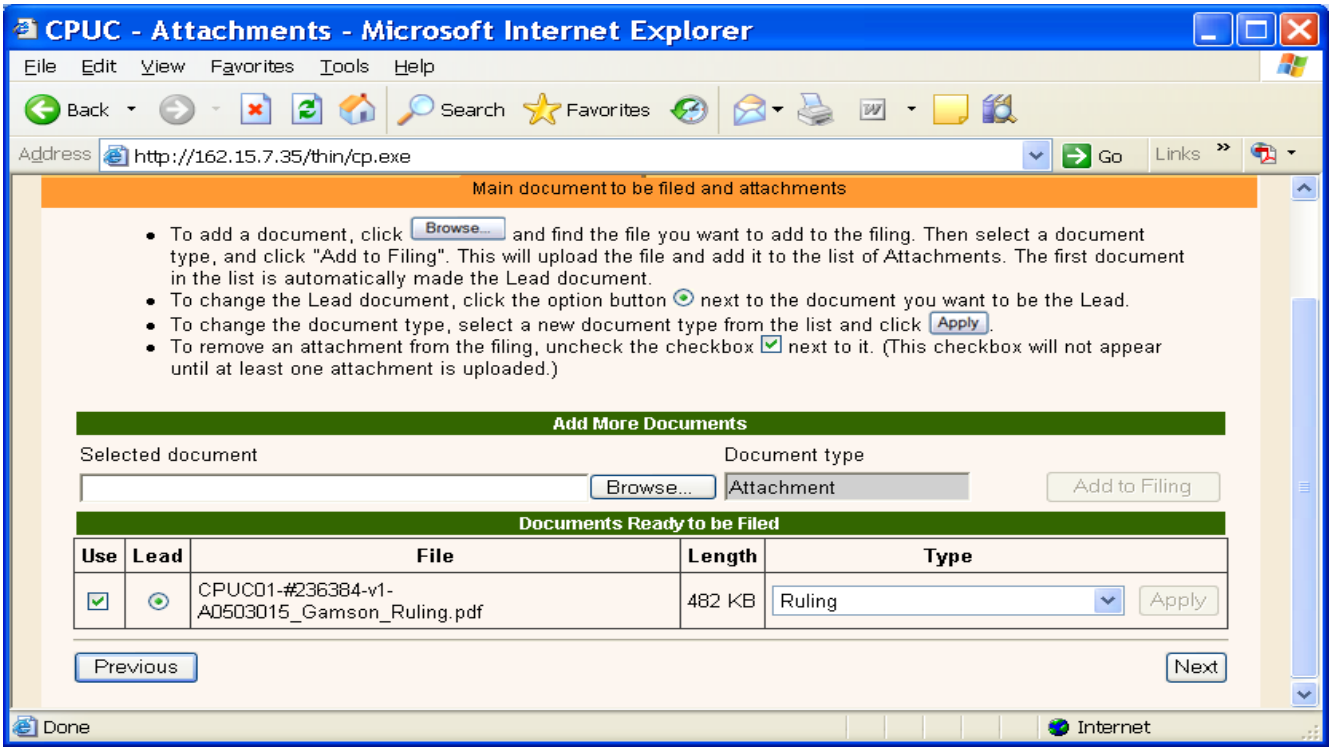
(1) Specify the category of the proceeding, utility type, and whether hearings are requested. Consult with the party you are filing on behalf of if you have questions.

(2) Complete the party information as described for a Continuing Proceeding.

Click Next button.

9. (TAB 3) ATTACHMENTS

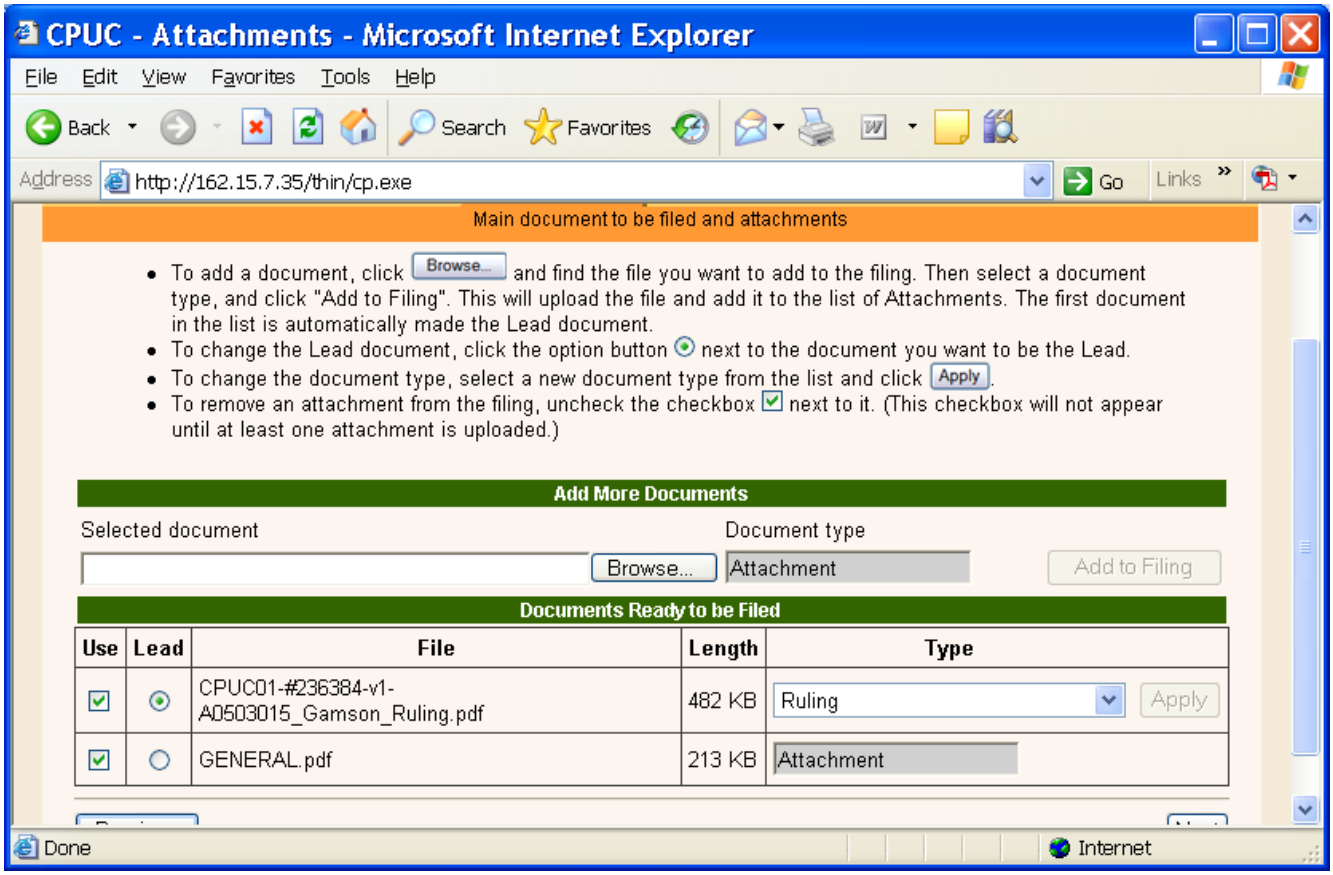
Tab 3 is where you attach the document you want to file. With the web-based application, you must attach a PDF/A compliant document. There are certain tricks to ensuring that your document meets the PDF/A requirements (see PDF/A description above).



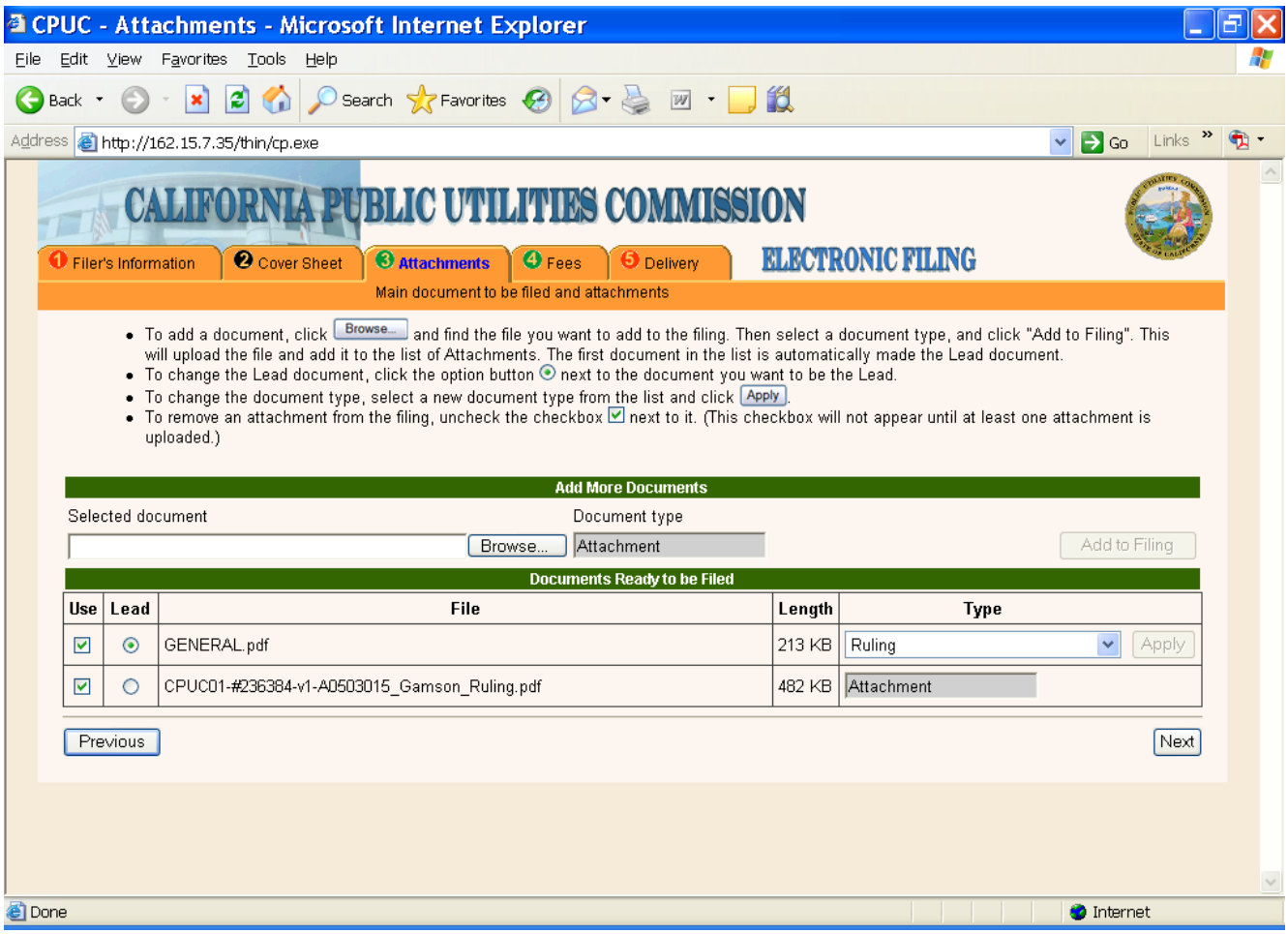
Click the Browse button underneath the green line entitled Select the Lead Document, this will take you to your hard drive to pick the correct document. (Remember, you saved the document you wanted to file to your hard drive or desktop when you prepared your document in PDF/A format.) Highlight the document you wish to file, select Open. If you are filing an initiating document, the proceeding type you selected (for example, application) will appear in the Document type box. If you selected a continuing proceeding, select the relevant document type in the Document type drop down menu. Click the Add to Filing button.

If you are uncertain what type of document you are filing, attached to this guide is a list of possible document types and when they are used, see Appendix C.

If you need to add an attachment, you can do so at this time. Your attachment must also be in a PDF/A format. Click the browse button and select your document from your desktop or hard drive. Click the "Add Filing" button. Please note that the document type will automatically be entered as "attachment."

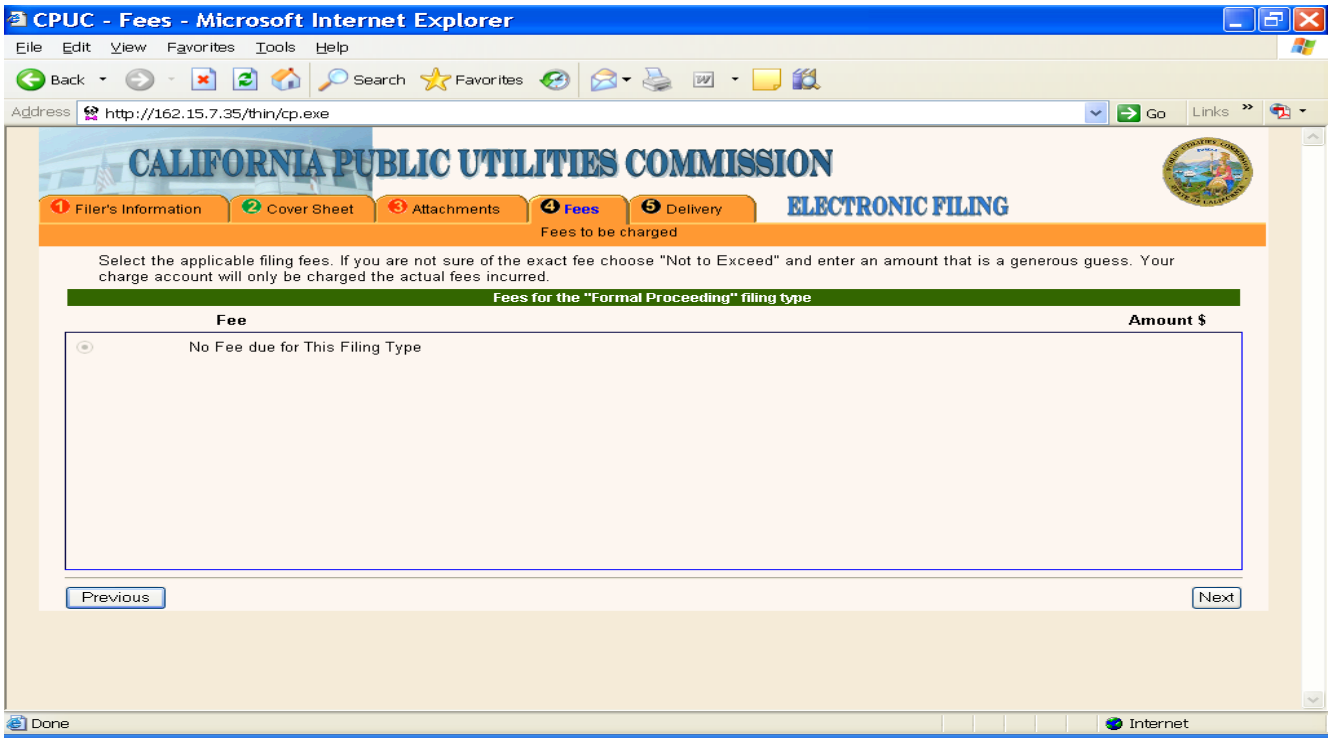


If you decide to change the lead document unclick the green lead button next to the document you do not want to be the lead. Click the lead button next to the appropriate document. Note that the TYPE indication will not change until you click the Apply button.



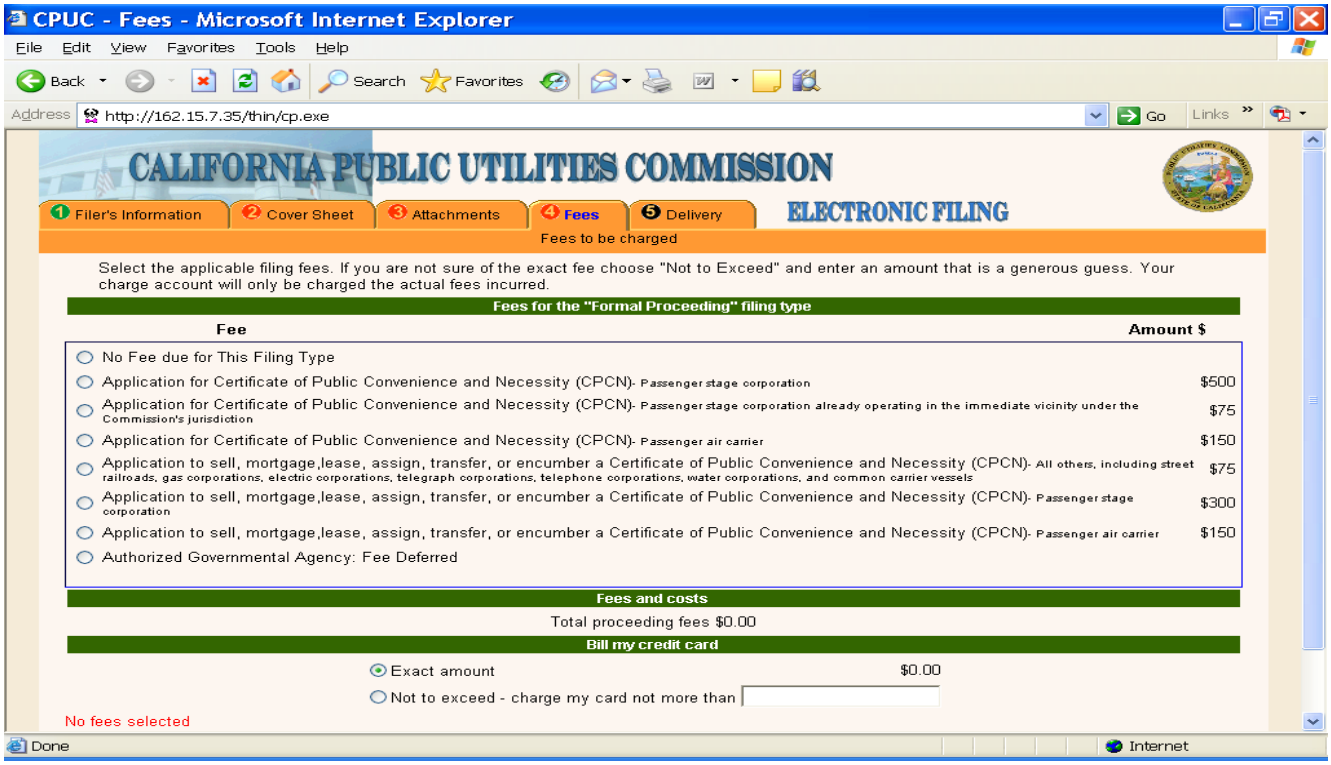
10. (TAB 4) FEES CONTINUING PROCEEDING

In a continuing proceeding, no fees are required, simply click Next.

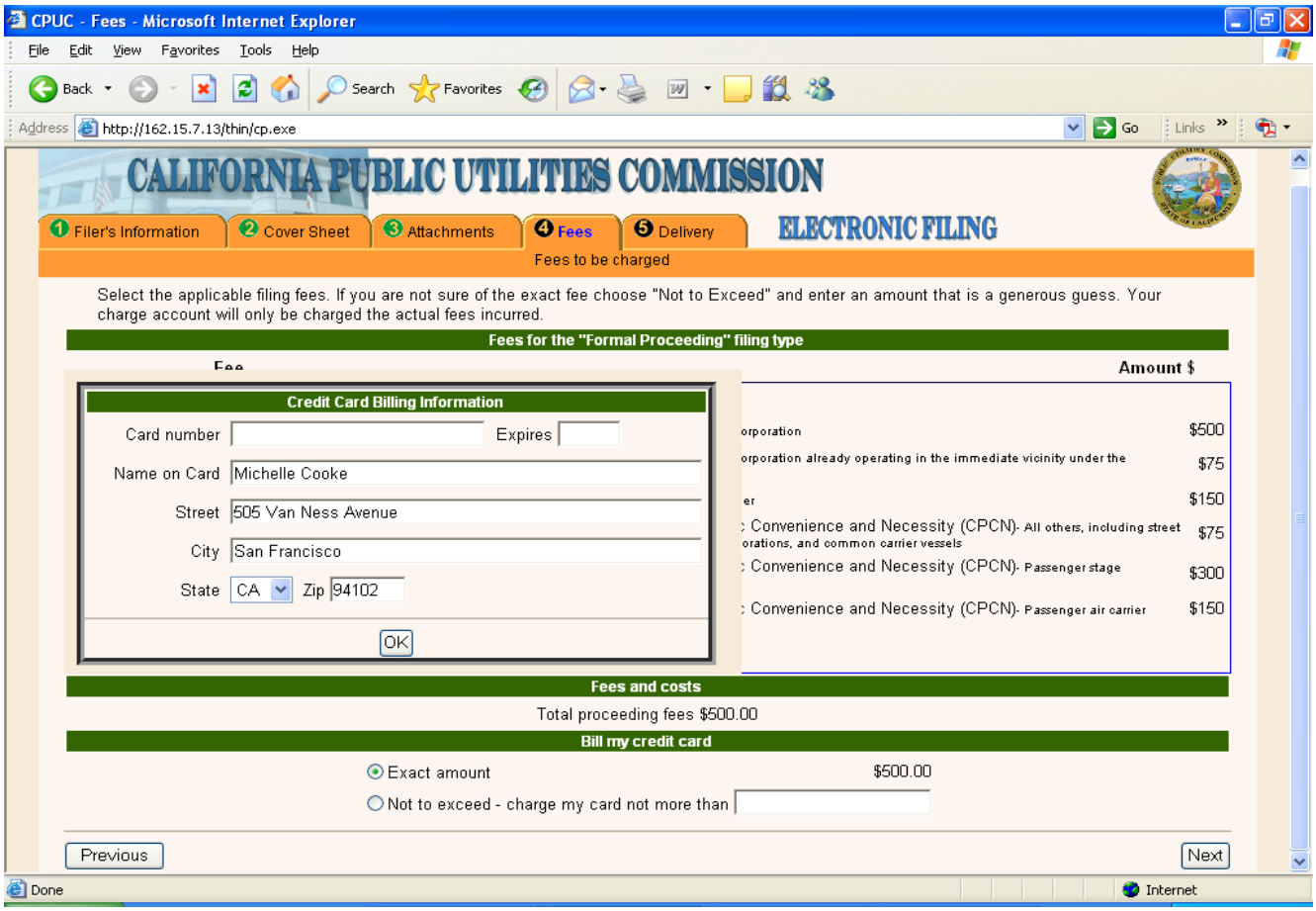


10.1 (TAB 4) FEES NEW PROCEEDING

If you clicked New Application, this is the screen shot you will see for Tab 4.



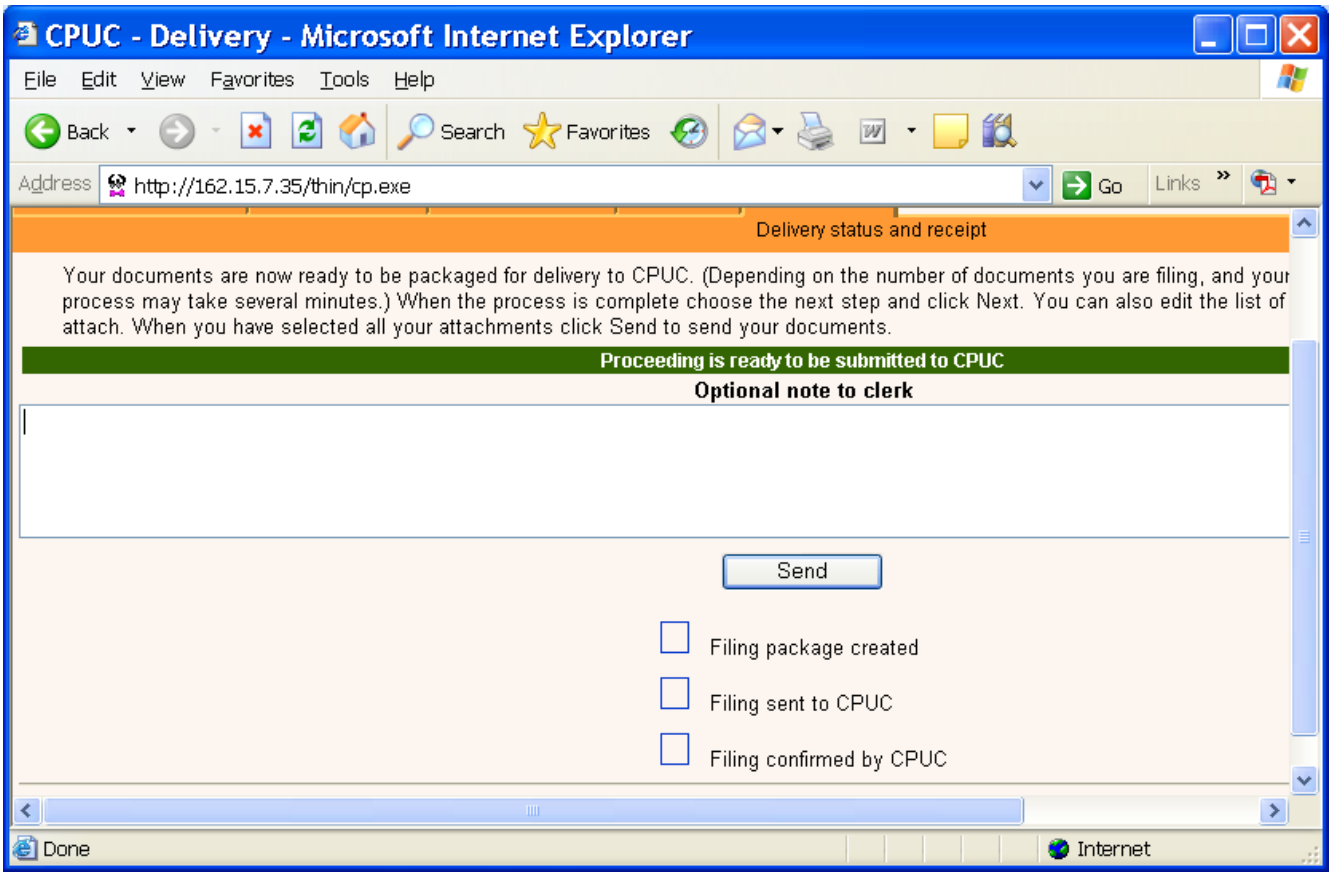
Many applications will not require fees, please review the Rules of Practice and Procedure for more details on fees. If a fee is required, click the appropriate type and the next screen will pop up:



Enter your credit card information and click OK. Your information is processed over a secure service.

11. (TAB 5) DELIVERY

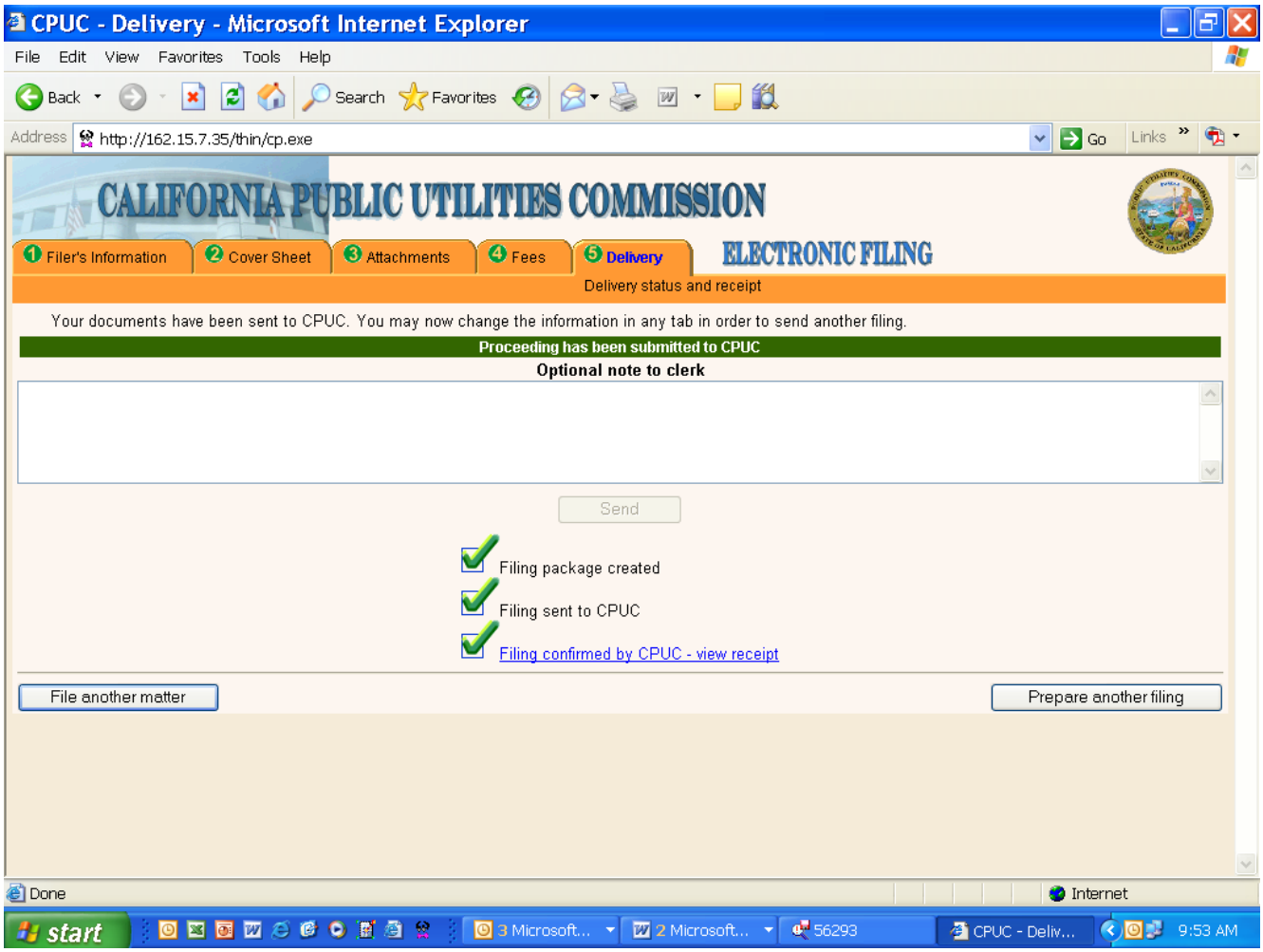
You are now ready to file!



If you need to, include a note to the Docket Clerk. **If your filing has been rejected multiple times, list all transaction numbers here.**

Then press Send. PLEASE CLICK ONLY ONCE. If you double click it will send the filing twice.

If your transmission of the filing is successful, you will see the following screen:



To get your confirmation receipt, click "Filing confirmed by CPUC – view receipt."

Immediately print this receipt (or save to your computer) as this is the only opportunity to access your receipt. **Once you leave this screen, your receipt is gone.** The receipt does not mean your document has been accepted for filing, only that it successfully entered the filing system. This receipt contains a transaction number which you should use to reference the filing should you need to consult with the Docket Office. A copy of a confirmation receipt is attached as Appendix A.[2]

[2] If your transmission is unsuccessful, first consult the e-filing website for system information. The Docket Office deems the electronic filing system to be subject to a technical failure on a given day if it is unable to accept filings continuously or intermittently over the course of any period of time greater than one hour after 12:00 noon that day, in which case filings due that day which were not filed due solely to such technical failures will be deemed filed that day if actually filed the next business day the system is able to accept filings. Delayed filings must be accompanied by a declaration or affidavit attesting to the filing person's failed attempts to file electronically at least two times after 12:00 noon separated by at least one hour or one time after 4:00 p.m. on each day of delay due to such technical failure.

12. DOCKET REVIEW

You have now successfully sent your document(s) to the filing system. The Commission Docket Office will review your document for compliance with the filing requirements.

Upon acceptance of the document for filing, the Submitter will receive an e-mail that includes a link to the file stamped document. You and the public will be able to access your filed document from the Commission's website through the document search function and the docket card for each proceeding.

If your document is rejected, the Submitter will receive an e-mail to let you know that the document was rejected and the reasons for rejection. Consistent with Rule 1.14(d), you may be able to cure deficiencies in your document and resubmit it within seven business days.

13. ADDITIONAL HELP

A checklist to assist you is attached as Appendix B. In the event that you require additional information to complete your e-filing, please call (415)703-1927 or (415)703-1929 or e-mail efile-help@cpuc.ca.gov.

APPENDIX A: CONFIRMATION RECEIPT

California Public Utilities Commission **Electronic Filing Services** **NOTICE FOR:** CPUC	**PHONE NUMBER:** 415 703-2782
THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA	**Confirmation Number:** 0000001194
NOTICE OF RECEIPT OF DOCUMENTS VIA ELECTRONIC FILING	**Proceeding Number:** **A.05-03-015**

Additional Proceeding Numbers:	
Client-Matter Name/Number	
Parties:	**ALJ/COOKE/CPUC**
Officially received by the CPUC on:	**Monday, 07/24/2006 at 03:49:22 PM**
Your email address:	**mlc@cpuc.ca.gov**
This Filing's Confirmation Number:	**0000001194**
Your Voice number:	**(415) 703 - 2637**
Credit Card used:	**, Exp.**
Case Type:	**Formal Proceeding**
Fee Tendered - Exact Amount:	**$0.00**
Fee Tendered - Not To Exceed Amount:	**$0.00**
Forms Received:	
Pleadings Received:	**printer driver test.pdf - Ruling (546 KB)**

NOTICE: This receipt **DOES NOT** constitute acceptance by the CPUC of your documents for filing. This receipt confirms that your filing **HAS BEEN RECEIVED** by CPUC on the date and time indicated. Your Confirmation Number at the top of this receipt, is issued by CPUC, and it should be used in all communications with CPUC regarding this filing. You will receive a separate email notification directly from CPUC when your filing has been Accepted or Rejected.

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APPENDIX B: E-FILING CHECKLIST (SAMPLE)

- ☐ Document includes signatures (or /s/) for filer's representative and person performing service.
- ☐ Document includes certificate of service.
- ☐ Document includes service list.
- ☐ Document is in PDF/A format.
- ☐ Filer address, phone, and e-mail on hand for all parties.
- ☐ Document type is known.
- ☐ Category, industry type, and hearing requested designations are known (new proceedings only).
- ☐ Fee applicability amount known (if relevant).
- ☐ Confirmation number of rejected filing known (if making replacement filing).

APPENDIX C: DEFINITIONS OF DOCUMENT TYPES

Document name	Definition
ALJ RESOLUTION	Resolution of the Commission modifying category or need for hearings for a proceeding.
ALTERNATE	A substantive revision by a Commissioner or Administrative Law Judge to a proposed decision not prepared by that Commissioner or ALJ.
AMENDED APPLICATION	Amended Application or amendment to application – a pleading that replaces and supersedes in whole or in part a previously filed application.
AMENDED COMPLAINT	Amended Complaint or amendment to complaint – a pleading that replaces and supersedes in whole or in part a previously filed complaint
AMENDMENT	Formal document modifying a previously filed document, or supplementing a previously filed document at the request of the Administrative Law Judge.
ANSWER TO COMPLAINT	Answer to a formally filed complaint or amended complaint.
APPEAL	Appeal of the Presiding Officer's decision.
APPEAL CATEGORIZATION	Appeal of a ruling on category ("Scoping Ruling") or appeal of a categorization of the proceeding in Instructions to Answer, Order to Show Cause or in an Order Instituting Investigation.
APPLICATION	Initial request commencing a new formal proceeding.
ARBITRATOR REPORT	Report filed by the Commission Arbitrator in arbitration proceeding.
ARBITRATORS AGREEMENT	Agreement filed by arbitrating parties in an arbitration proceeding.

Document name	Definition
BRIEF	Document that is formally filed by parties as directed by the assigned judge or commissioner. Reply Briefs must be filed under the BRIEF.
CERTIFICATE OF SERVICE	Certificate of Service should not generally be a stand alone document, but rather be integrated into the filed document.
COMMENTS	Document that is formally filed by parties as directed by the assigned Administrative Law Judge, Commissioner or Chief Administrative law Judge or the Rules of Practice and Procedure. Reply Comments are filed under COMMENTS.
COMPLAINT	The initial pleading commencing a new complaint proceeding.
EX PARTE	Report of an ex parte communication.
INSTRUCTIONS TO ANSWER	Docket Office Instructions sent to Defendant in a Complaint.
INVESTIGATION	Investigation instituted by the Commission Order Instituting Investigation
LAW AND MOTION	Motions in discovery disputes (to compel discovery; to file materials under seal; for protective order, etc.)
MISCELLANEOUS FILING	Document that does not fit into a document type in the list.
MOTION	Request for the Commission or the Administrative Law Judge to take a specific action in a proceeding before the Commission. Includes Motion for Party Status, Request to Set Aside Submission, but NOT Reassignment.
MOTION FOR REASSIGNMENT	Request for the Commission or the Chief Administrative Law Judge to Reassign the proceeding to another Administrative Law Judge.
NOTICE	Any notice of fact related to the proceeding that does not constitute a notice of intent to file a new

Document name	Definition
	general rate application or of ex parte communication. Includes Notice of Intent to Claim Compensation.
PETITION FOR MODIFICATION	Request to the Commission to make changes in the text of an issued decision.
PETITION TO ADOPT, AMEND OR REPEAL A REGULATION	Initial pleading commencing a new proceeding under Public Utilities Code Section 1708.5.
PRESIDING OFFICER'S DECISION	Proposed Decision of the Presiding Officer in an adjudicatory proceeding.
PROPONENT'S ENVIRONMENTAL ASSESSMENT	The environmental assessment prepared by the applicant of a project as required under Rule 2.4.
PROPOSED DECISION	A decision to be voted on by the Commission, prepared by the Assigned Commissioner or Administrative Law Judge, that is issued for comment.
PROTEST	Opposition to a new application.
REHEARING REQUEST	Application for rehearing of the Commission decision.
REPLY	Reply of the moving party to the Response(s) to a previously filed motion; Reply of an applicant to a protest to a new application.
REPORT	Informational report formally filed pursuant to a Commission decision or the request of an Administrative Law Judge or Commissioner.
REQUEST	Request for Intervenor Compensation.
RESOLUTION ALJ-176 CATEGORIZATION	Resolution of the Commission ratifying preliminary determinations of category for proceedings.
RESPONSE	Response to a previously filed document.
RULEMAKING	Rulemaking proceeding instituted by the Commission Order Instituting Rulemaking.

Document name	Definition
RULING	Written order issued by an Administrative Law Judge or/and Commissioner.
SCOPING RULING	Ruling on the scoping memo for the proceeding.
STATEMENT	Factual statement formally filed pursuant to the request of the Administrative Law Judge or/and Commissioner.
STIPULATION	Formally filed agreement between some or all of the parties to a Commission proceeding on the resolution of any issue of law or fact material to the proceeding.
WITHDRAWAL	Withdrawal of the previously filed document.