

User Manual

**As Ordered by General Administrative Order 2016-2
Regarding Submitting Documents Electronically**

September 14, 2016

Updated October 21, 2016

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Overview

The Indiana Utility Regulatory Commission (IURC or Commission) has been accepting the following documents through its Electronic Filing System (EFS):

- Filings in docketed cases (not including new case petitions);
- Confidential documents related to docketed cases; and
- General submissions (30-day filings, fee bills, annual reports, communications non-docketed filings, non-confidential communications, survey responses, etc.)

Effective the date the Electronic Filing System is posted to the Commission's website and goes live, the Commission accepts the following:

- Filings in docketed cases (including new case petitions);
- Confidential documents related to docketed cases; and
- General submissions (30-day filings, communications non-docketed filings, annual reports, tariffs, and fee billing).

The system shall include case information, filings, and orders for all docketed cases from the legacy system as well as all filings moving forward. Note that the legacy system included cases from 2002 through the date the new system went live and also included limited cases pre-2002.

Disclaimer

The Commission's official hours of operation for receiving paper filings are 8:15 a.m. to 4:45 p.m. Monday through Friday. Filings or submissions made through the EFS will receive an electronic file stamp with the time and date the document is filed. Filings made at or before 11:59:59 p.m. Eastern Time will be deemed filed on that date, unless otherwise ordered by the Presiding Officer(s).

In the event that an attempt to file or submit a document electronically fails, for whatever reason, the filing or submission will be deemed untimely if it is not received by the Commission at or before 11:59:59 p.m. on the date the filing is due, unless otherwise ordered by the Presiding Officer(s). If a filing is not made by the filing deadline, or an electronic filing is rejected after a filing deadline, the party that attempted to make the filing will be required to file a motion with the Commission seeking leave to late-file the submission, pursuant to the Commission's rules on practice and procedure, 170 IAC 1-1.1.

The filing of documents and information through the EFS by use of a valid username and password is presumed to have been authorized by the User to whom that username and password

have been issued and documents filed through the EFS are presumed to have been signed by the same User.

By registering for a username to utilize the EFS, the user agrees to these terms of use.

Help

If you cannot find an answer to your question within this manual, please contact a Commission Information Technology System Support Specialist for assistance with the EFS:

Patrick Evans	(317) 232-4269	pevans@urc.in.gov
Stacy Hunter	(317) 232-2642	shunter@urc.in.gov

Modifications to the User Manual

As stated in GAO 2016-2, approving this User Manual, “The User Manual shall be updated as necessary and a log of amendments shall be maintained in Appendix A of the document.” Please go to Appendix A, [Amendment Log](#), to see a list of changes.

a. General Information About Filings

1. Account Set Up

To file a Consumer Affairs Division (CAD) complaint, a document, or a utility annual report, or subscribe to a case, you first must set up an account. Note though, that you do not have to create an account to search for a docketed case.

A. To register, click Register in the upper-right corner of the page. Users also can redeem an invitation if they have an invitation code.

 IURC Online Services Portal - DEV

Register  Sign In

Welcome to Indiana Utility Regulatory Commission's Online Services Portal!

The Indiana Utility Regulatory Commission (IURC) is an administrative agency that hears evidence in cases filed before it and makes decisions based on the evidence presented in those cases.

The mission of the IURC's Consumer Affairs Division is to ensure that utilities and customers are in compliance with IURC rules and regulations. Through the IURC's online services, consumers can file complaints and check the status of an existing complaint.

The IURC's online services also offer the ability to file legal documents anytime and from anywhere and to search for case documents. Documents can be accessed by entering the case's five-digit docket number. If you do not have this information, the system allows you to search by date, industry, petition type, or party.

Online Services

File a Consumer Complaint

Start >

File a Legal Document

Start >

Search for a Docketed Case

Start >

- B. Create a username and password, typing the password twice to confirm it. Note, the system has no username and password stipulations such as required capital letters or prohibited characters.
- C. Click Register. The profile page will open to where you will enter additional information. For users wanting to file CAD complaints, this additional information will be used as your customer account information.

IURC Online Services Portal - DEV Register Sign In

Sign In Register Redeem Invitation

Register for an account

Username

Password

Confirm Password

Register

- D. Enter your profile information. Required fields have a red asterisk (*) next to them. However, please enter as much additional information as you can.

Profile



Profile

Change Password

Security

Change Password

Change Email

Change Mobile Phone

Change Two-Factor Authentication

Manage External Authentication

Please provide some information about yourself. **Note:** If you are an attorney, be sure to include email, phone, fax, and mailing address.

You must complete your profile before using the features of this website. ✕

Your Information

First Name * **Last Name ***

Email * **Business Phone**

Mobile Phone

Organization Name **Home Phone**

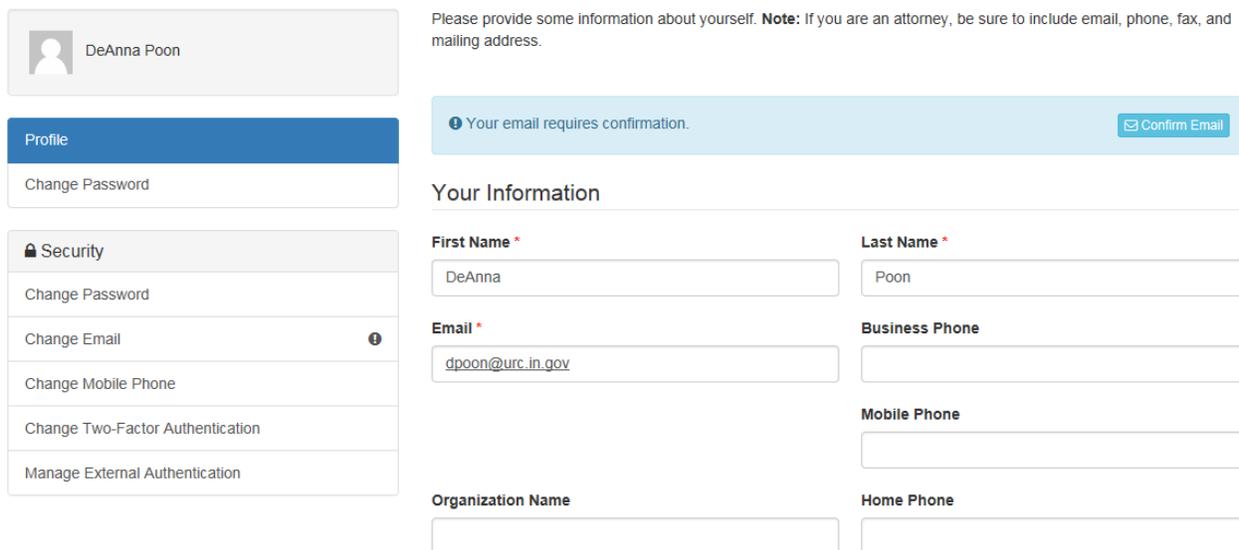
Address Line 1 **Fax Number**

- E. Click Update.

F. You must confirm your email address by clicking your name in the upper-right corner and then clicking Profile.



G. You will see a notification that your email address requires confirmation. Click Confirm Email.



H. Go to your email inbox, open the confirmation message, and follow the instructions.

If you need to access your account information to make changes, click your name in the upper-right corner and then select Profile from the drop-down menu. This takes you to your Profile page, where you can change your password, email, phone number, and authentication method. To change just your password, you can select Change Password from the drop-down menu under your name. This drop-down menu also lets you sign out of your account by selecting Sign Out.

At any time, you can click IURC Online Services Portal at the top of the page to return to the home page.

2. Confidential Filings

To conform to current Indiana Rules of Appellate Procedure, every page of a confidential filing must state: “Excluded from public access per A.R. 9(G).” Please also see Section b(4), [Hard Copies](#). This section provides instructions on how to file a document confidentially.

A. If you have not set up an account, please go to Section a(1), [Account Set Up](#), and set up an account.

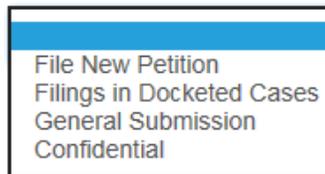
B. Under File a Document, click the Start button.

File a Document



C. Under Filing Type, select Confidential, then click Next.

Filing Type *



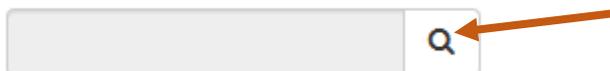
D. Under Confidentiality Approved Date, add the date the Presiding Officers granted confidentiality in the proceeding. You may type the date, or click the calendar icon to select the date,

Click the calendar icon to select a date or enter a date in the box.

A text input field containing the date "9/6/2016". To the right of the text is a small calendar icon. An orange arrow points from the text to the calendar icon.

E. Type your party name under Submitting Party. If there are joint filers, add all of the parties, separated by commas, and select Yes under Joint Parties.

F. To choose the case number, click the magnifying glass below Docketed Case. In the Lookup Records box that displays, you can either type your case number in the search box in the upper-right corner or scroll through the list of case numbers. When you have found your case number, select it and then click Select.



G. Click Next.

- H. Click Add Files and upload your filing(s).
- I. You should now see your uploaded filing. To modify your filing, click Previous. To complete the filing, click Submit.

Submitting Party
test user

Docketed Case
44865 - NONE ✕ 🔍

Documents
Choose your file(s) to upload [Add Files](#)

Name ↑	Modified
 IURC Color Internal Phone List 4-25-2016.pdf (119 KB)	3 minutes ago

Joint Filing

[Previous](#) [Submit](#)

J. You will need to click Submit again on the next screen:

Filing Documents

File a Document

The Electronic Filing System (EFS) serves as a repository for documents submitted to the Indiana Utility Regulatory Commission (Commission).

By using the EFS, users can file documents at any time and from anywhere. Additionally, the EFS enables electronic documents to be automatically routed to the appropriate Commission staff for processing.

At this time, the Commission accepts the following types of documents electronically:

- New case petitions (if paper copies are requested, please put the cause number on the front of the documents)
- Filings in docketed cases (not including new case petitions)
- Confidential documents as related to docketed cases
- General submissions (30-day filings, fee bills, annual reports, communications non-docketed filings, and tariffs)

All electronic documents must meet the criteria for submission and must be filed in the required format for that specific type of filing.

Any party making a filing that exceeds 30 pages must also mail or deliver to the Commission three additional copies. See User manual for specific instructions.

25 MB file limit - see the User Manual for details.

Multiple files at one time should not exceed a combined total of 35MB.

Fields with an asterisk (*) are required.

[Terms and Conditions](#)

Submit Filing?

Click on Previous to modify your filing or Submit to complete.

Previous

Submit

K. You will see the message below if your document was successfully submitted:

Documents submitted successfully.

3. Filenames

Filenames must clearly reflect what a file is. Naming conventions shall be used for consistency. You **MUST** follow the naming conventions in Appendix B. Failure to do so could result in the system being unable to upload your document or the Commission being unable to locate your file in the EFS.

4. File Types

- Nearly all file types are accepted in the EFS. Electronically filed documents do not have to be in PDF format.
- Whenever possible, the Commission prefers that parties use native electronic documents rather than scanned documents.
- Spreadsheets shall be in their native form unless only scanned copies are available.

- PDF documents must be run through an optical character recognition program prior to uploading to the EFS.
- Documents must be native electronic documents or scanned to a DPI that makes them clearly readable.
- Documents must be in color, as necessary.
- The document's font size must be no smaller than 10 point.

b. Docketed Cases

1. Cause Numbers

The system shall automatically generate cause numbers. However, parties also can select their cause number if they know it (for example, GCAs, FACs, and subdockets).

Cause numbers must be included on all filings (other than new filings) to be accepted for filing.

When a new petition is filed, the filing party shall receive an automated email that the file has been received. Within one business day, the file shall be approved if it meets necessary criteria (as noted in this document and the Commission's statutes and administrative rules), and the cause number shall be added to the filing. The filing party will receive an automated email when the filing has been accepted that will provide the cause number and the version of the file with the cause number shall be uploaded to the EFS.

2. File Size

To stay consistent with current Indiana Court of Appeals file size limits, no file submitted through the EFS shall be larger than 25 MB. If a file is larger than that, it should be split into smaller files and named chronologically (1 of 2, then 2 of 2, and so on). When possible, files should be split at a logical point.

3. File Stamps

Filings will be file stamped by Commission staff as files are accepted. PDFs will receive a watermark. Non-PDF files such as Word documents and Excel spreadsheets will receive a JPEG picture file stamp. Hard copies (see Section b(4), [Hard Copies](#) for when hard copies are permissible) shall receive an ink stamp. The filing party will receive an automated email when the filing has been accepted, and the file-stamped version of the file shall be uploaded to the EFS.

4. Hard Copies

A. Confidential Filings

For confidential filings *only*, if an electronic filing exceeds 30 pages in length, a party shall also mail or deliver to the Commission 1 paper copy within 2 business days.

- The copy shall be printed on both sides of green paper and stapled or, if too large to be stapled, shall be bound with comb or coil bindings along the longest edge. Other formats may be permissible at the administrative law judge's discretion.
- To conform to current Indiana Rules of Appellate Procedure, every page of a confidential filing must state: "Excluded from public access per A.R. 9(G)."
- See 170 IAC 1-1.1-4(g) for additional requirements regarding hard copies of confidential filings.

Public access versions of confidential filings shall follow the requirements for "Regular Filings" (see the next item) except that any record to be excluded from public access shall be omitted or redacted from the public access version. The omission or redaction shall be indicated at the place it occurs in the public access version.

B. Regular Filings

Any party making an electronic filing that exceeds 30 pages in length shall also mail or deliver to the Commission 3 paper copies within 2 business days. The copies shall be printed on both sides and stapled or, if too large to be stapled, shall be bound with comb or coil bindings along the longest edge. Other formats may be permissible at the administrative law judge's discretion.

If a filing is made in person or by mail (see Section b(8), Paper Filings, for permissibility), 3 copies shall be provided: 1 copy shall be provided singled sided and not permanently bound. The remaining 2 copies shall be provided printed on both sides and stapled or, if too large to be stapled, shall be bound with comb or coil bindings along the longest edge. Other formats may be permissible at the administrative law judge's discretion.

5. [Multiple Exhibits](#)

Electronic filings that contain multiple pleadings and documents shall be separate documents, but can be filed together. For example, three witness testimonies constituting the single case-in-chief shall be one filing, but three discreet documents. Exhibits and attachments to a witness's testimony may be included in a single file with the testimony.

6. [New Petitions and Other Filings](#)

You will be notified when hearings are set, the case status changes, or there are new filings or orders in the matter. Please note that if you are a party to the case, you do not have to subscribe. You will already receive these email notifications.

- a. If you have not set up an account, please go to Section a(1), [Account Set Up](#), and set up an account.
- b. Under File a Document, click the Start button.

File a Document



- c. Review the explanation on the following page that explains the purpose of the EFS, limitations regarding file type and size, necessary paper copies and multiple files. You can also click Terms and Conditions on the bottom of the page and review this document for additional information.

File a Legal Document

The Electronic Filing System (EFS) serves as a repository for documents submitted to the Indiana Utility Regulatory Commission (Commission).

By using the EFS, users can file documents at any time and from anywhere. Additionally, the EFS enables electronic documents to be automatically routed to the appropriate Commission staff for processing.

At this time, the Commission accepts the following types of documents electronically:

- New case petitions (if paper copies are requested, please put the cause number on the front of the documents)
- Filings in docketed cases (not including new case petitions)
- Confidential documents as related to docketed cases
- General submissions (30-day filings, fee bills, annual reports, communications non-docketed filings, and tariffs)

All electronic documents must meet the criteria for submission and must be filed in the required format for that specific type of filing.

Any party making a filing that exceeds 30 pages must also mail or deliver to the Commission three additional copies. See User manual for specific instructions.

25 MB file limit - see the User Manual for details.

Multiple files at one time should not exceed a combined total of 35MB.

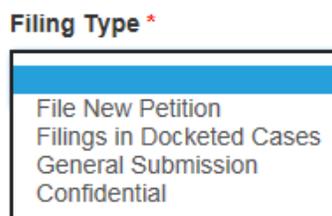
Fields with an asterisk (*) are required.

[Terms and Conditions](#)



A. New Petitions

1. Under Filing Type, select File New Petition, then click Next.



2. Under Submitting Party, add the name of your party. If there are joint filers, add all of the parties, separated by commas, and select Yes under Joint Parties.
3. If you know the Cause Number, add it.
4. Click Add Files and upload your petition.
5. You should now see your uploaded filing. To modify your filing, click Previous. To complete the filing, click Submit.

The image shows a screenshot of a web form for filing a petition. The form has several sections:

- Submitting Party:** A text input field containing "test user".
- Docketed Case:** A dropdown menu showing "44865 - NONE" with a search icon and a close button.
- Documents:** A section titled "Choose your file(s) to upload" with a blue "Add Files" button. Below it is a table with two columns: "Name" and "Modified". The table contains one entry: "IURC Color Internal Phone List 4-25-2016.pdf (119 KB)" with a modified time of "3 minutes ago".
- Joint Filing:** A checkbox labeled "Joint Filing" which is currently unchecked.
- Navigation:** At the bottom, there are two buttons: "Previous" and "Submit".

6. You will need to click Submit again on the next screen:

Filing Documents

File a Document

The Electronic Filing System (EFS) serves as a repository for documents submitted to the Indiana Utility Regulatory Commission (Commission).

By using the EFS, users can file documents at any time and from anywhere. Additionally, the EFS enables electronic documents to be automatically routed to the appropriate Commission staff for processing.

At this time, the Commission accepts the following types of documents electronically:

- New case petitions (if paper copies are requested, please put the cause number on the front of the documents)
- Filings in docketed cases (not including new case petitions)
- Confidential documents as related to docketed cases
- General submissions (30-day filings, fee bills, annual reports, communications non-docketed filings, and tariffs)

All electronic documents must meet the criteria for submission and must be filed in the required format for that specific type of filing.

Any party making a filing that exceeds 30 pages must also mail or deliver to the Commission three additional copies. See User manual for specific instructions.

25 MB file limit - see the User Manual for details.

Multiple files at one time should not exceed a combined total of 35MB.

Fields with an asterisk (*) are required.

[Terms and Conditions](#)

Submit Filing?

Click on Previous to modify your filing or Submit to complete.

[Previous](#) [Submit](#)

7. You will see the message below if your document was successfully submitted:

Documents submitted successfully.

B. Filings in Docketed Cases

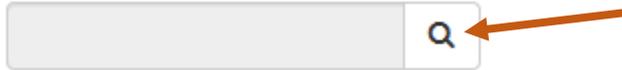
1. Under Filing Type, select Filings in Docketed Cases, then click Next.

Filing Type *

File New Petition
Filings in Docketed Cases
General Submission
Confidential

2. Under Submitting Party, add the name of your party. If there are joint filers, add all of the parties, separated by commas, and select Yes under Joint Parties.

3. To choose a Docketed Case, click the magnifying glass. In the Lookup Records box that displays, you can either type your Case Number in the search box in the upper-right corner or scroll through the list of Case Numbers. When you have found your Case Number, select it and then click Select.



4. Click Add Files and upload your filing(s).
5. You should now see your uploaded filing. To modify your filing, click Previous. To complete the filing, click Submit.

Submitting Party

Docketed Case

Documents

Choose your file(s) to upload

Name ↑	Modified
 IURC Color Internal Phone List 4-25-2016.pdf (119 kB)	3 minutes ago

Joint Filing

6. You will need to click Submit again on the next screen:

Filing Documents

File a Document

The Electronic Filing System (EFS) serves as a repository for documents submitted to the Indiana Utility Regulatory Commission (Commission).

By using the EFS, users can file documents at any time and from anywhere. Additionally, the EFS enables electronic documents to be automatically routed to the appropriate Commission staff for processing.

At this time, the Commission accepts the following types of documents electronically:

- New case petitions (if paper copies are requested, please put the cause number on the front of the documents)
- Filings in docketed cases (not including new case petitions)
- Confidential documents as related to docketed cases
- General submissions (30-day filings, fee bills, annual reports, communications non-docketed filings, and tariffs)

All electronic documents must meet the criteria for submission and must be filed in the required format for that specific type of filing.

Any party making a filing that exceeds 30 pages must also mail or deliver to the Commission three additional copies. See User manual for specific instructions.

25 MB file limit - see the User Manual for details.

Multiple files at one time should not exceed a combined total of 35MB.

Fields with an asterisk (*) are required.

[Terms and Conditions](#)

Submit Filing?

Click on Previous to modify your filing or Submit to complete.

[Previous](#) [Submit](#)

7. You will see the message below if your document was successfully submitted:

Documents submitted successfully.

7. Original Signatures

The Commission will accept the electronic version of an original signature for electronic submissions. Any prefiled testimony offered into evidence at a hearing still must have an original signature.

8. Paper Filings

The Commission's procedural rules will address the special circumstances in which paper filings shall be permitted. See RM 15-02 at <http://www.in.gov/iurc/2828.htm> for more information.

9. Receipts

When a filing is made via the EFS you will receive an email message indicating the filing was received.

10. Service

See the Commission's procedural rules for information about service. Please remember that the Commission's procedural rules require that all parties, including the Indiana Office of Utility Consumer Counselor (OUCC), be timely served, regardless of the manner in which the documents are filed with the Commission. Any document submitted electronically to the Commission, including 30-day filings, also must be sent electronically to the OUCC.

c. Non-Docketed Filings and General Submissions

1. 30-Day Administrative Filings

Utilities are expected to file 30-day administrative filings through the EFS. When filing through the EFS will be a hardship, utilities should contact the requisite technical director for assistance:

Communications	Pam Taber (317) 232-2755 ptaber@urc.in.gov
Energy (Gas and Electric)	Jane Steinhauer (317) 232-4244 jsteinhauer@urc.in.gov
Water/Wastewater	Curt Gassert (317) 232-2749 cgassert@urc.in.gov

This section provides instructions on how to file a 30-day filing.

- a. If you have not set up an account, please go to Section a(1), [Account Set Up](#), and set up an account.
- b. Under File a Document, click the Start button.

File a Document



- c. Under Filing Type, select General Submission, then click Next.

Filing Type *

- File New Petition
- Filings in Docketed Cases
- General Submission
- Confidential

- d. Under General Submission Type, Select 30-Day Filing, then click Next.

General Submission Type

- 30 - Day Filing
- Communications Non-Docketed Filing
- Annual Report
- Tariff
- Fee Billing

- e. To choose an Industry, click the magnifying glass. In the Lookup Records box that displays, you can either type your industry in the search box in the upper-right corner or scroll through the list of Industries. When you have found your Industry, select it and then click Select.

- f. Click Add Files and upload your filing(s).

- g. You should now see your uploaded filing. To modify your filing, click Previous. To complete the filing, click Submit.

Submitting Party

Docketed Case

44865 - NONE ✕ 🔍

Documents

Choose your file(s) to upload

[Add Files](#)

Name ↑	Modified
 IURC Color Internal Phone List 4-25-2016.pdf (119 KB)	3 minutes ago

Joint Filing

[Previous](#) [Submit](#)

- h. You will need to click Submit again on the next screen:

Filing Documents

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At this time, the Commission accepts the following types of documents electronically:

- New case petitions (if paper copies are requested, please put the cause number on the front of the documents)
- Filings in docketed cases (not including new case petitions)
- Confidential documents as related to docketed cases
- General submissions (30-day filings, fee bills, annual reports, communications non-docketed filings, and tariffs)

All electronic documents must meet the criteria for submission and must be filed in the required format for that specific type of filing.

Any party making a filing that exceeds 30 pages must also mail or deliver to the Commission three additional copies. See User manual for specific instructions.

25 MB file limit - see the User Manual for details.

Multiple files at one time should not exceed a combined total of 35MB.

Fields with an asterisk (*) are required.

[Terms and Conditions](#)

Submit Filing?

Click on Previous to modify your filing or Submit to complete.

[Previous](#) [Submit](#)

- i. You will see the message below if your document was successfully submitted:

Documents submitted successfully.

2. Affiliate Contracts

Affiliate contracts that are not part of a docketed proceeding will be accepted by mail, fax, or email. These should be sent to Attn: General Counsel Division or emailed to Lisa Coahran at LCoahran@urc.in.gov. Affiliate contracts may not be filed in the EFS as non-docketed filings at this time. This feature may be added in the future.

If an affiliate contract is filed in a cause, it also must be provided to the General Counsel Division by one of previously mentioned means. See GAO 2016-1 for more information regarding affiliate contracts.

3. Annual Reports

Utilities are expected to file annual reports through the EFS as general submissions. When filing through the EFS will be a hardship, utilities should contact the requisite technical director for assistance:

Communications	Pam Taber (317) 232-2755 ptaber@urc.in.gov
Energy (Gas and Electric)	Jane Steinhauer (317) 232-4244 jsteinhauer@urc.in.gov
Water/Wastewater	Curt Gassert (317) 232-2749 cgassert@urc.in.gov

This section provides instructions on how to file an annual report.

A. Filing an Annual Report Document

1. If you have not set up an account, please go to Section a(1), [Account Set Up](#), and set up an account.

2. Under File a Document, click the Start button.

File a Document

Start >

3. Under Filing Type, select General Submission, then click Next.

Filing Type *

File New Petition
Filings in Docketed Cases
General Submission
Confidential

4. Under General Submission Type, Select Annual Report, then click Next.

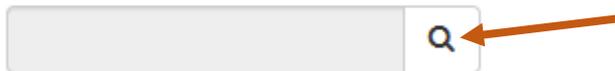
General Submission Type

30 - Day Filing
Communications Non-Docketed Filing
Annual Report
Tariff
Fee Billing

Previous

Next

5. To choose an Industry, click the magnifying glass. In the Lookup Records box that displays, you can either type your industry in the search box in the upper-right corner or scroll through the list of Industries. When you have found your Industry, select it and then click Select.



6. Click Add Files and upload your filing(s).

7. You should now see your uploaded filing. To modify your filing, click Previous. To complete the filing, click Submit.

Submitting Party

Docketed Case

Documents

Choose your file(s) to upload

Name ↑	Modified
 IURC Color Internal Phone List 4-25-2016.pdf (119 KB)	3 minutes ago

Joint Filing

8. You will need to click Submit again on the next screen:

Filing Documents

File a Document

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- Confidential documents as related to docketed cases
- General submissions (30-day filings, fee bills, annual reports, communications non-docketed filings, and tariffs)

All electronic documents must meet the criteria for submission and must be filed in the required format for that specific type of filing.

Any party making a filing that exceeds 30 pages must also mail or deliver to the Commission three additional copies. See User manual for specific instructions.

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Multiple files at one time should not exceed a combined total of 35MB.

Fields with an asterisk (*) are required.

[Terms and Conditions](#)

Submit Filing?

Click on Previous to modify your filing or Submit to complete.

9. You will see the message below if your document was successfully submitted:

Documents submitted successfully.

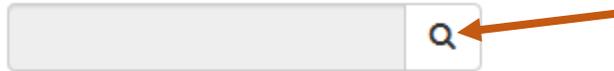
B. Filing an Annual Report Through Fill-In Fields

1. If you have not set up an account, please go to Section a(1), [Account Set Up](#), and set up an account.
2. Under File a Utility Annual Report, click the Start button.

File a Utility Annual Report

Start >

3. Click Create.
4. Fill in all fields including Report Year, Utility, and Industry. To populate the fields, click the magnifying glass. In the Lookup Records box that displays, you can either type in the search box in the upper-right corner or scroll through the list. When you have found what you need, select it and then click Select.



5. If you wish to add financial and customer data (not required) click the radio button next to Yes:

Include Financial and Customer Data (not required)

No Yes

6. Click Browse and upload your annual report, then click Next.
7. Fill out every field on the Financials page. If a field does not apply to you, enter zero. You cannot leave a field blank.

Financials

Balance Sheet Info

Utility Plant in Service *

Plant Held for Future Use *

Income

Residential Revenue *

Commercial Revenue *

8. Click Next. Continue entering data in the fields.

9. Add or update data on the Submit Review page.

10. Click Add Files and upload your annual report.

11. You should now see your uploaded filing. To modify your filing, click Previous. To complete the filing, click Submit.

Submitting Party

Docketed Case

Documents

Choose your file(s) to upload

Name ↑	Modified
 IURC Color Internal Phone List 4-25-2016.pdf (119 KB)	3 minutes ago

Joint Filing

12. You will need to click Submit again on the next screen:

Filing Documents

File a Document

The Electronic Filing System (EFS) serves as a repository for documents submitted to the Indiana Utility Regulatory Commission (Commission).

By using the EFS, users can file documents at any time and from anywhere. Additionally, the EFS enables electronic documents to be automatically routed to the appropriate Commission staff for processing.

At this time, the Commission accepts the following types of documents electronically:

- New case petitions (if paper copies are requested, please put the cause number on the front of the documents)
- Filings in docketed cases (not including new case petitions)
- Confidential documents as related to docketed cases
- General submissions (30-day filings, fee bills, annual reports, communications non-docketed filings, and tariffs)

All electronic documents must meet the criteria for submission and must be filed in the required format for that specific type of filing.

Any party making a filing that exceeds 30 pages must also mail or deliver to the Commission three additional copies. See User manual for specific instructions.

25 MB file limit - see the User Manual for details.

Multiple files at one time should not exceed a combined total of 35MB.

Fields with an asterisk (*) are required.

[Terms and Conditions](#)

Submit Filing?

Click on Previous to modify your filing or Submit to complete.



13. You will see the message below if your document was successfully submitted:

Submission completed successfully.

4. Communications Non-Docketed Filings

When there are changes to a communications service provider's Certificate of Territorial Authority (CTA), the provider must file a Notice of Change in CTA per Ind. Code § 8-1-32.5-12. Similarly, changes that occur after the Commission issues a Video Service Franchise also require the provider to file a Notice of Change. Both types of submissions are handled through this non-docketed process. Additionally, Voluntarily Negotiated Interconnection Agreements, Adoption of Previously Approved Interconnection Agreements, and Amendments to Voluntarily Negotiated Interconnection Agreements should be submitted as Communications Non-Docketed Filings. This section provides instructions on how to file a these documents.

- a. If you have not set up an account, please go to Section a(1), [Account Set Up](#), and set up an account.

- b. Under File a Document, click the Start button.

File a Document

Start >

- c. Under Filing Type, select General Submission, then click Next.

Filing Type *

File New Petition
Filings in Docketed Cases
General Submission
Confidential

- d. Under General Submission Type, Select Communications Non-Docketed Filing, then click Next.

General Submission Type

30 - Day Filing
Communications Non-Docketed Filing
Annual Report
Tariff
Fee Billing

Previous

Next

- e. Click Add Files and upload your filing(s).

- f. You should now see your uploaded filing. To modify your filing, click Previous. To complete the filing, click Submit.

Submitting Party

Docketed Case

Documents

Choose your file(s) to upload

Name ↑	Modified
 IURC Color Internal Phone List 4-25-2016.pdf (119 KB)	3 minutes ago

Joint Filing

- g. You will need to click Submit again on the next screen:

Filing Documents

File a Document

The Electronic Filing System (EFS) serves as a repository for documents submitted to the Indiana Utility Regulatory Commission (Commission).

By using the EFS, users can file documents at any time and from anywhere. Additionally, the EFS enables electronic documents to be automatically routed to the appropriate Commission staff for processing.

At this time, the Commission accepts the following types of documents electronically:

- New case petitions (if paper copies are requested, please put the cause number on the front of the documents)
- Filings in docketed cases (not including new case petitions)
- Confidential documents as related to docketed cases
- General submissions (30-day filings, fee bills, annual reports, communications non-docketed filings, and tariffs)

All electronic documents must meet the criteria for submission and must be filed in the required format for that specific type of filing.

Any party making a filing that exceeds 30 pages must also mail or deliver to the Commission three additional copies. See User manual for specific instructions.

25 MB file limit - see the User Manual for details.

Multiple files at one time should not exceed a combined total of 35MB.

Fields with an asterisk (*) are required.

[Terms and Conditions](#)

Submit Filing?

Click on Previous to modify your filing or Submit to complete.

h. You will see the message below if your document was successfully submitted:

Documents submitted successfully.

5. Compliance Filings

Filings made to comply with a Commission Order shall be filed under the Cause Number for that Order.

6. Excavation Damages

Excavation damage responses currently are not accepted through the EFS and are not searchable. Parties should continue submitting excavation damage responses in the current manner. This manual shall be updated and parties notified if/when the EFS can accept these responses. If a party wants to see case file information, please email pipelinedamagecase@urc.in.gov with the case number.

7. Fee Billing

This section provides instructions on how to file information for fee billing.

a. If you have not set up an account, please go to Section a(1), [Account Set Up](#), and set up an account.

b. Under File a Document, click the Start button.

File a Document

Start >

c. Under Filing Type, select General Submission, then click Next.

Filing Type *

File New Petition
Filings in Docketed Cases
General Submission
Confidential

d. Under General Submission Type, Select Fee Billing, then click Next.

General Submission Type

30 - Day Filing
Communications Non-Docketed Filing
Annual Report
Tariff
Fee Billing

Previous

Next

- e. Click Add Files and upload your filing(s).
- f. You should now see your uploaded filing. To modify your filing, click Previous. To complete the filing, click Submit.

Submitting Party
test user

Docketed Case
44865 - NONE ✕ 🔍

Documents
Choose your file(s) to upload Add Files

Name ↑	Modified
 IURC Color Internal Phone List 4-25-2016.pdf (119 KB)	3 minutes ago

Joint Filing

Previous Submit

- g. You will need to click Submit again on the next screen:

Filing Documents

File a Document

The Electronic Filing System (EFS) serves as a repository for documents submitted to the Indiana Utility Regulatory Commission (Commission).

By using the EFS, users can file documents at any time and from anywhere. Additionally, the EFS enables electronic documents to be automatically routed to the appropriate Commission staff for processing.

At this time, the Commission accepts the following types of documents electronically:

- New case petitions (if paper copies are requested, please put the cause number on the front of the documents)
- Filings in docketed cases (not including new case petitions)
- Confidential documents as related to docketed cases
- General submissions (30-day filings, fee bills, annual reports, communications non-docketed filings, and tariffs)

All electronic documents must meet the criteria for submission and must be filed in the required format for that specific type of filing.

Any party making a filing that exceeds 30 pages must also mail or deliver to the Commission three additional copies. See User manual for specific instructions.

25 MB file limit - see the User Manual for details.

Multiple files at one time should not exceed a combined total of 35MB.

Fields with an asterisk (*) are required.

[Terms and Conditions](#)

Submit Filing?

Click on Previous to modify your filing or Submit to complete.

Previous

Submit

- h. You will see the message below if your document was successfully submitted:

Documents submitted successfully.

8. [Pipeline Safety](#)

Pipeline Safety filings such as annual reports currently are not accepted through the EFS. Parties should continue submitting Pipeline Safety-related matters in the current manner. This manual shall be updated and operators notified if/when the EFS can accept these filings.

9. [Rulemakings](#)

Rulemakings will continue to be posted to the Commission's website at <http://www.in.gov/iurc/2658.htm>. Rulemaking comments may not be filed in the EFS as non-docketed filings at this time. This feature may be added in the future.

10. [Tariffs](#)

This section provides instructions on how to file a tariff.

- a. If you have not set up an account, please go to Section a(1), [Account Set Up](#), and set up an account.

- b. Under File a Document, click the Start button.

File a Document

Start >

- c. Under Filing Type, select General Submission, then click Next.

Filing Type *

File New Petition
Filings in Docketed Cases
General Submission
Confidential

- d. Under General Submission Type, Select Tariff, then click Next.

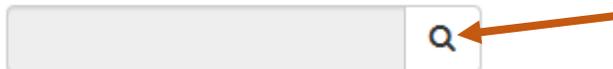
General Submission Type

30 - Day Filing
Communications Non-Docketed Filing
Annual Report
Tariff
Fee Billing

Previous

Next

- e. To choose an Industry, click the magnifying glass. In the Lookup Records box that displays, you can either type your industry in the search box in the upper-right corner or scroll through the list of Industries. When you have found your Industry, select it and then click Select.



- f. Click Add Files and upload your filing(s).

- g. You should now see your uploaded filing. To modify your filing, click Previous. To complete the filing, click Submit.

Submitting Party

Docketed Case
Documents

Choose your file(s) to upload

Name ↑	Modified
 IURC Color Internal Phone List 4-25-2016.pdf (119 KB)	3 minutes ago

Joint Filing

- h. You will need to click Submit again on the next screen:

Filing Documents

File a Document

The Electronic Filing System (EFS) serves as a repository for documents submitted to the Indiana Utility Regulatory Commission (Commission).

By using the EFS, users can file documents at any time and from anywhere. Additionally, the EFS enables electronic documents to be automatically routed to the appropriate Commission staff for processing.

At this time, the Commission accepts the following types of documents electronically:

- New case petitions (if paper copies are requested, please put the cause number on the front of the documents)
- Filings in docketed cases (not including new case petitions)
- Confidential documents as related to docketed cases
- General submissions (30-day filings, fee bills, annual reports, communications non-docketed filings, and tariffs)

All electronic documents must meet the criteria for submission and must be filed in the required format for that specific type of filing.

Any party making a filing that exceeds 30 pages must also mail or deliver to the Commission three additional copies. See User manual for specific instructions.

25 MB file limit - see the User Manual for details.

Multiple files at one time should not exceed a combined total of 35MB.

Fields with an asterisk (*) are required.

[Terms and Conditions](#)

Submit Filing?

Click on Previous to modify your filing or Submit to complete.

- i. You will see the message below if your document was successfully submitted:

Documents submitted successfully.

d. **Consumer Affairs Complaints**

This section provides instructions on how to file a CAD complaint through the online portal. You may continue to file CAD complaints by phone or mail. See <http://www.in.gov/iurc/2331.htm> for more information. In particular, please note that **if you have already had your utility service interrupted or interruption is imminent**, you must call CAD at (317) 232-2712 or (800) 851-4268 instead of filing online.

1. If you have not set up an account, please go to Section a(1), [Account Set Up](#), and set up an account.

2. Under File a Consumer Complaint, click the Start button.

File a Consumer Complaint

Start >

3. Fill out all sections of the complaint as best as you can.
 - A. If you have not spoken with the utility regarding your concerns, you must stop the filing process and contact the utility first to try to resolve the issue.
 - B. If you have contacted the utility and dispute the utility's proposed resolution, please then provide the date of the most recent communication.

Section 1: Communication with Utility

Have you been in contact with the utility?

No Yes

if yes, what was the approximate date?

Please click the calendar icon to the right to select a date

7/25/2016



- C. Fill out Section 2, which provides information about the utility customer. If you are not the customer of record and are filing on behalf of someone else, the customer's information must be entered here. The information entered in your user profile will be used as the complainant's contact information.

Section 2: Utility Customer

Note: Complaints must be submitted by the customer of record or a party authorized with the utility company to discuss the complaint. Please make sure this information matches what is on record with the utility.

Email *

First Name *

Last Name *

Home Phone

Business Phone

Contact Phone *

Company Name

D. Complete Section 3.

- Required fields are marked with a red asterisk (*). In Address Line 2, enter the apartment or suite number, if applicable.
- To enter a ZIP Code, click the magnifying glass. In the Lookup Records box that displays, you can either type your ZIP Code in the search box in the upper-right corner or scroll through the list of ZIP Codes. When you have found your ZIP Code, select it and then click Select.

Section 3: Service Address

Address Line 1 *

Address Line 2

City *

State *

ZIP Code *

Please click the magnifying glass to the right to select a Zip Code.



Lookup Records ×

✓ ZIP Code ↑	City
✓ 46201	Indianapolis

Remove Value

Select
Cancel

E. Complete Section 4.

- Click the down arrow next to Account Type, and then select Residential, Business, or Not Sure (if you don't know which type of account it is.)
- Find the correct Utility and Utility Type by clicking the magnifying glass and searching for those.

Section 4: Utility Information

Account Type *

Residential
▼

Utility *

Click the magnifying glass icon to search for the utility's name.

×
Q

Utility Type *

Click the magnifying glass icon to search for the utility's type.

×
Q

F. In Section 5, describe your complaint or inquiry.

Section 5: Briefly Describe Complaint or Situation

(If the complaint is concerning telephone service, please provide the telephone number experiencing problems.)

test

G. After you have completed Section 5, click Submit.

After clicking Submit, you will see a confirmation screen stating that your complaint or inquiry has been submitted successfully. You also will receive an email from CAD confirming receipt of your complaint or inquiry. If you need to provide additional correspondence, such as bill copies, please respond to the email you receive from CAD to provide this information.

e. Subscribing to Cases

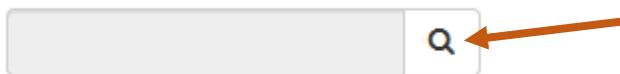
This section provides instructions on how to receive email notifications about a particular case. You will be notified when hearings are set, the case status changes, or there are new filings or orders in the matter. Please note that if you are a party to the case, you do not have to subscribe. You will already receive these email notifications.

1. If you have not set up an account, please go to Section a(1), [Account Set Up](#), and set up an account.
2. Under Subscribe to a Legal Case,

Subscribe to a Legal Case



3. Click Add Subscription on the right side of the page.
4. Select which legal case you would like to subscribe to by clicking the magnifying glass.



5. Type in the case number, then click the magnifying glass.

6. Click anywhere along the case to select it, then click Select.
7. The window will close and the case number will populate. Click Subscribe.

Legal Case

Please select which legal case you would like to subscribe to by clicking the magnifying glass.

✕
🔍

Subscribe

8. Your subscriptions should now be listed. To remove a subscription, click the carrot to the right of the case and click Remove Subscription.

Legal Case ↑	Current ALJ (Legal Case)	Industry (Legal Case)	Petition Date (Legal Case)	Petitioners (Legal Case)
44133 - NONE			12/13/2011	SBC Internet Services, Inc., ☺
50020 - FAC - 1			7/6/2016	☺ Remove Subscription

f. Weekly Action Items

The Commission’s website at <http://www.in.gov/iurc/2663.htm> will continue to post the following weekly action items:

- Agendas
- Orders
- Hearing Schedules
- Filings
- Utility Articles
- Underground Plant Protection Advisory Committee Recommendations

Appendix A: Amendment Log

Date of Change	Amendment	Page No.
10/21/16	Sec. a(3), Filenames. Updated to note files may not be accepted by system if naming conventions are not followed.	9
10/21/16	Sec. b(13)(A), New Petitions. Updates procedures to note second Submit screen.	14
10/21/16	Sec. b(13)(B), Filings in Docketed Cases. Updates procedures to note second Submit screen.	16
10/21/16	Sec. c(1), 30-Day Administrative Filings. Updates procedures to note second Submit screen.	20
10/21/16	Sec. c(3)(A), Annual Reports. Updates procedures to note second Submit screen.	23
10/21/16	Sec. c(3)(B), Filing an Annual Report Through Fill-In Fields. Updates procedures to note second Submit screen.	25
10/21/16	Sec. c(4), Communications Non-Docketed Filings. Updates procedures to note second Submit screen.	28
10/21/16	Sec. c(7), Fee Billing. Updates procedures to note second Submit screen.	30
10/21/16	Sec. c(10), Tariffs. Updates procedures to note second Submit screen.	33
10/21/16	Appendix B, Naming Conventions. Adds section about prohibited file characters.	40
10/21/16	Sample filename added to show naming conventions for testimony.	41

Appendix B: Naming Conventions

Standard file names shall clearly reflect what a file is. Using standardized naming conventions will make it easier for internal and external parties to identify documents shared in the filing system. Naming conventions **shall** be used by internal and external parties for consistency. Failure to do so could result in the Commission being unable to locate files in the EFS.

Note that certain character use is prohibited by Microsoft SharePoint, the software used for electronic filing. The system **cannot accept your files** if the filenames contain the characters noted in [Section 1](#) below.

1. Prohibited File Characters

The following characters cannot be used anywhere in a filename:

Ampersand	&
Angle brackets	< >
Asterisk	*
Backslash	\
Braces	{ }
Colon	:
Number sign	#
Percent	%
Period - only prohibited at the beginning or end of a filename	.
Period (double)	..
Pipe	
Plus sign	+
Question mark	?
Quotation mark	"
Slash	/
Tilde	~
Underscore - only prohibited at the beginning of a filename	_

2. Docketed Filings

The file name shall include the following information, in this order, separated by underscores:

1. Docket number
2. Subdocket number (if any)
3. Name of filing party
4. Type of filing
 - a. Brief
 - b. Exhibit
 - c. Motion

- d. Notice
 - e. Objection
 - f. Petition
 - g. Reply
 - h. Response/Rebuttal
 - i. Testimony/Exhibits
 - j. Workpapers
5. Date filed (MMDDYY)

Do not include any punctuation in the naming convention. If submitting more than one filing of the same type, insert the _2, _3 for each additional filing. It does not matter whether capital letters are used.

Examples:

- Cause 44143, Hayden Wastewater Utility is filing a Motion on February 22, 2016:
44143_hayden wastewater utility_motion_022216
- Cause 37399 GCA 112, Citizen's Gas is filing a Response on February 23, 2016:
37399GCA112_citizens gas_response_022316
- Cause 37399 GCA 112, Citizen's Gas is filing a second Response on February 23, 2016:
37399GCA112_citizens gas_response_022316_2
- Cause 44143, Hayden Wastewater Utility is filing the testimony of Mr. Smith on February 22, 2016:
44143_hayden wastewater utility_testimony_Smith_022216

3. Non-Docketed Filings

The file name shall include the following information, in this order, separated by underscores:

1. Associated number (if any)
2. Name of filing party
3. Type of filing (additional filing abbreviations to be added as needed):
 - a. Additional Assumed Name (AddName)
 - b. Annual Reports (AnnualReport)
 - c. Change in Name (ChangeName)

- d. Change in Ownership, Operation, or Control, Corporate Organization of the Provider, Including Merger, Acquisition, or Reorganization. (ChangeOwn)
 - e. Change in Type of Communication Services (ChangeType)
 - f. Interconnection Agreement (Interconnect)
 - g. Sale, Assignment, Lease or Transfer (Sale)
 - h. Transfer of Assets (TransAsset)
 - i. Transfer of Indirect Control (TransControl)
 - j. Video Filings (Video)
4. Date filed (MMDDYY)

Do not include any punctuation in the naming convention. If submitting more than one filing of the same type, insert the _2, _3 for each additional filing.

Examples:

- Greenfield is filing its annual report on March 22, 2016
Greenfield_AnnualReport_032216
- CSP 1603-9, Frontier North, Inc. is filing a CSP Notice of Change on Feb. 22, 2016:
CSP1603-9_Frontier North Inc_CSP NOC_022216
- 43185-VSP01-D, Frontier North is filing a video Notice of Change on Feb. 22, 2016:
43185-VSP01-D_Frontier North Inc_VSP NOC_022216
- 40572-INA-293ND, AT&T Indiana and Entelegent Solutions, Inc. are filing an amendment to an Interconnection Agreement arrived at through voluntary negotiations on May 12, 2016:
40572-INA-293ND_AT&T Entelegent_Interconnection Agreement_051216

4. Consumer Affairs Responses

The file name shall include the following information, in this order, separated by underscores:

- 1. CAD Case Number
- 2. Name of sending party (if customer, use “Customer”)
- 3. Type of document
 - a. Bill (Bill)

- b. Contract or Agreement (Contract)
 - c. Email (Email)
 - d. Facsimile (Fax)
 - e. Indiana Administrative Code (IAC)
 - f. Indiana Code (IC)
 - g. Internal Policy or Rule (Policy)
 - h. Lease (Lease)
 - i. Local Ordinance (Ordinance)
 - j. Statement of Events (Statement)
 - k. Tariff (Tariff)
4. Date sent (MMDDYY)

Do not include any punctuation in the naming convention. If submitting more than one document of the same type, insert the _2, _3 for each additional document.

Examples:

- Case 222334, Hayden Wastewater Utility is sending a copy of the customer's bill on February 22, 2016:
222334_hayden wastewater utility_bill_022216
- Case 222334, Hayden Wastewater Utility is sending a different copy of the customer's bill on February 22, 2016:
222334_hayden wastewater utility_bill_022216_2
- Case 123456, customer David Smith is sending his statement of events on March 21, 2016:
123456_Customer_Statement_032116
- Case 123456, NIPSCO is sending its internal policy on March 22, 2016:
123456_NIPSCO_Policy_032216