

Iowa Utilities Board
EFS System Filing Standards
Revised June 2016

On January 2, 2009, the Iowa Utilities Board (Board) began accepting filings in new proceedings through an Electronic Filing System (EFS). Filings in proceedings initiated prior to January 2, 2009, are available in paper at the Board offices, 1375 E. Court Ave, Des Moines, IA 50319-0069.

When filing in a docket prior to January 2009, it is acceptable to submit the filing electronically. Please contact the Records Center at (515) 725-7337 if you plan to file in a docket dated prior to January 2009.

General Filing Requirements

All communications with the Board shall be addressed to:

Iowa Utilities Board
Records and Information Center
1375 East Court Avenue, RM 69
Des Moines, Iowa 50319-0069

System Filing Requirements

The Board's standard operating system is Microsoft (MS) Windows 7.

The Board's standard application software is MS Office 2010. Filers may file information in the following formats:

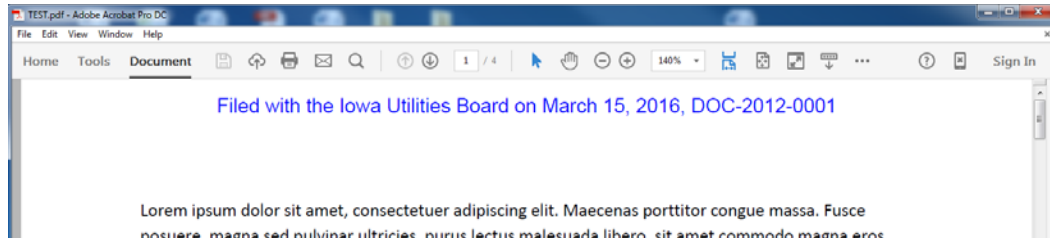
1. PDF (text searchable preferred)
2. MS Excel (2003 to 2010) for spreadsheets and workbooks (.xls and .xlsx only)
 - a. Please include all cell formulae and cell references to allow staff to analyze and reproduce calculations.

Remove all password protection from documents submitted.

Note: It is preferred to keep documents under 5 megabytes in size and under 20 documents per filing.

Margin Requirements and Document Stamp

PDF Files: Each page is automatically stamped in the same location at the top of each page. In order for the stamp to be visible on each document one-inch margins are recommended. If the stamp is not visible the records center may reject the filing.



Excel Files: The system will automatically place the stamp in cell A1. It is recommended to avoid placing information in cell A1, however, when downloading the Excel file the end user may move the stamp to another location on the worksheet and save the file.

	A	B	C	D	E	F	G
1	Filed with the Iowa Utilities Board on June 7, 2016, Fcu-2014-0001						
2	Test Utility Company						
3	Iowa Service Area			Exhibit I			
4	Net Cost						

Submitting Confidential Information

If you request confidential treatment of any information in a document you must submit a request for confidential treatment along with two versions of the document:

1. **Public version:** This version should be a redacted copy of the confidential filing. When submitting an Excel document, all confidential information should be redacted with formulas deactivated.
2. **Confidential version:** This version should be clearly marked as confidential (preferably in red). Include all confidential material and formulas where applicable.

Note: If an entire document is confidential a public version must be submitted to serve as a placeholder for reference when searching in EFS. It is the filer's responsibility when submitting a public version of any document to take appropriate measures to ensure that any embedded confidential information is non-viewable, non-searchable, and non-reversible.

Cover Letter and Affidavit

Cover letters are not required but can be useful for staff to assist in understanding the purpose of the filing. When filing a cover letter, combine it with the filing.

Affidavits do not need to be filed separate from the document, combine them as the last page of the document.

Naming Conventions for Documents and Filings in EFS

When naming filings and documents be clear, consistent, concise, and complete.

When a filing contains a single document, the filing title and document title may be the same.

Filings made under the Iowa Administrative Code, the Code of Iowa, or United States Code should include the code citation in the filing title (e.g., Alternate Energy Production Annual Report, 199 IAC 15.11(3); Joint Filing of Guidelines, 199 IAC 20.2(4)(g); Fourth Quarterly Report, Iowa Code 476.29).

The document name for a document containing testimony, should include the word “testimony” and at least the last name(s) of the witness(es) in the document title (e.g. Smith Exhibit Direct Testimony).

Similar naming should apply for exhibits and workpapers or any other documents where the identity of the person presenting the information is key information (e.g. Smith Exhibit 1).

Sample Filing Titles:

Application for Authority to Provide Competitive Local Exchange Service
Application for Electric Rate Increase
Application for Extension of Electric Franchise
Complaint to Reduce Access Charges to Economic Cost
Complaint for Reform of Access Charges
Complaint Regarding Unfair Application of Balancing Penalties
Direct Testimony and Exhibits
Joint Motion for Adoption of Stipulation
Motion for Extension of Time
Motion to Compel Discovery
Petition for Formal Proceeding
Petition to Intervene
Application for Admission of Out-of-State Attorney
Proposed Purchased Gas Adjustment Tariff Revision

Sample document titles:

Application for Admission of Out-of-State Attorney to Appear
Application for Authority to Provide Competitive Local Exchange Service
Complaint to Reduce Access Charges to Economic Cost
Complaint for Reform of Access Charges
Complaint Regarding Unfair Application of Balancing Penalties
Doe Exhibit Direct Testimony
Doe Exhibit 102 – Confidential
Doe Exhibit 102 – Public
Doe Workpapers – Cost of Capital
Joint Motion for Adoption of Stipulation
Motion for Extension of Time
Motion to Compel Discovery
Petition for Formal Proceeding
Petition to Intervene
Request for Confidential Treatment
Request for Permission to Appear
Request for Waiver of (show rule -- 199 IAC x.x(x))
Tariff for Competitive Local Exchange Service

Don't use these as either filing or document titles:

April 20, 2009
Document 1
File2
Filing
My Certificate

Contact the Records and Information Center at (515) 725-7337 or efshelpdesk@iub.iowa.gov for any questions relating to these standards.