

**Electronic Filing Questions
and Answers
Revised June 2016**

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

- Q1.** How do I search for a specific filing in EFS?
- A1.** On the EFS homepage, select “search” and on the dropdown select “document search” then complete fields as known (e.g. docket number, filing title, or date filed).
- Q2.** Is it acceptable in the signature line to indicate "s/n" instead of an actual signature or can that be accomplished either way?
- A2.** A signature designation of “/s/ Name” is required per 199 IAC 14.13. Handwritten signatures are not required in an electronic document because documents showing a handwritten signature are often scanned and not word searchable.
- Q3.** What file types will the system accept?
- A3.** After June 24, 2016, all documents shall be filed in a PDF or Excel (.xls or .xlsx) format. Whenever possible, PDF files must be full-text searchable, making them consistent with 199 IAC 14.5(7) which states that “Any text-based document which has been scanned for electronic filing must be full-text searchable to the extent that is reasonably possible.” Documents filed in PDF format should be reviewed by the filer before filing to assure that pages are rotated so they are “right-side-up” when viewed on a computer screen.
- Q4.** Is a certificate of service still needed? And if so, should it be revised to reflect that pleadings are being served through the IUB electronic filing system to parties able to receive electronic service?
- A4.** Rule 14.16(1) provides that no additional proof or certificate of service is required in matters in which all parties are able to receive electronic service. For a document that is filed electronically in a case where all the parties are using the EFS, no certificate of service is necessary.
- In cases where someone is participating in a proceeding on paper and is not able to receive service electronically through EFS, you will have to send (serve) them a paper document with a certificate of service. For documents served on paper, you can use the suggested language above or model your certificate after Board rule 2.2(16).
- Q5.** Are cover letters required?
- A5.** No, cover letters are not required but can be useful for staff to assist in understanding what is being filed. When filing a cover letter, combine it with the filing.

- Q6.** In new dockets, OCA will automatically receive the document directly from the IUB via the electronic filing system. If there are other parties to the proceeding, do they automatically receive copies too?
- A6.** OCA is the sole party in new dockets with the exception of formal complaints. Respondents will receive an EFS notification of the complaint.
- Q7.** How do I indicate what company the filing is being submitted for?
- A7.** During the uploading process, search for the company in the dropdown box. If the company is not listed, manually type in company name and select add.
- Q8.** I am submitting several documents in a single filing. Please provide some guidance on naming the filing and documents.
- A8.** See the [EFS System Filing Standards](#).
- Q9.** What are the limits in number of characters for filing titles, document titles, and file names in EFS?
- A9.** Filing and document titles may be up to 200 characters. The filename for the actual file you attach has an 80-character limit.
- Q10.** Regarding compliance filings - since they are not new dockets in or after 2009, but are filed electronically, will OCA be sent an electronic copy or is it necessary for filers to still send to OCA?
- A10.** Periodic compliance filings made under the Iowa Administrative Code sections for 2009 or after should be filed electronically and will have "docket numbers" like IAC-2009-1904 (where 2009 is the year and 1904 indicates 199 IAC 19.4). OCA will receive notification about those through EFS as they do other dockets. Compliance filings prior to 2009 can now be filed electronically.
- Q11.** If an administrative assistant will be actually uploading the filings into the system, what registered user ID should he/she use?
- A11.** In order for notification to be provided to the person responsible for the filing and for that person to show on the service list, the attorney or company employee responsible for the filing should be the registered user. The administrative assistant's email may be entered as an alternate email address.
- Q12.** What are the size limits of the individual computer files when uploading documents or spreadsheets into EFS?
- A12.** It is preferred to keep documents under 5 megabytes in size and under 20 documents per filing.
- Q13.** How will users be notified if the EFS system is down?
- A13.** If the outage is expected to last more than 30 minutes and the IUB Web site is available, a notice will be posted on the IUB Web site (<http://iub.iowa.gov>). Scheduled maintenance will also be posted on the IUB Web site.
- Q14.** What happens if my filing is rejected?
- A14.** If a filing is rejected, Records Center will provide the filer a reason for the rejection. The filer will receive the rejection notice. Notification of a rejected filing will not be provided to other parties on

the service list or to the OCA or IUB staff. All documents in a rejected filing must be re-submitted once the appropriate corrections have been made.

- Q15.** My filing was rejected and I re-submitted it the following day. Does the rejected filing count toward meeting my filing deadline?
- A15.** Only a filing that is accepted for filing on or before the filing deadline will meet the deadline. If a filer is unable to resubmit the filing before the deadline, it should be resubmitted as soon as possible and accompanied by a request to accept a late filing.
- Q16.** Can I use the Summary of Orders and Filings to find a company annual report?
- A16.** Annual report filings are not listed in the Summary of Orders and Filings because there are numerous company annual reports filed in a short time period. Annual report filings can be found by doing a docket or document search for docket type A - Annual Reports. Other filings that are not listed in the Summary unless they are Board Orders, include Customer Contribution Fund (CCF-docket) filings, Report (R-docket, RE-docket, RG-docket) filings, and Miscellaneous (M-docket) filings.
- Q17.** Once I have started to add documents to my filing, can I use the browser back button to go back to edit information I entered on the previous screen?
- A17.** No, if you need to make changes to the information you entered about the filing once you've begun to add documents, you must cancel the filing and start again. Using the back button in the browser will cause unexpected results and is likely to cause your filing to be incomplete.
- Q18.** What happens if I forget to hit the submit filing button?
- A18.** If you have added documents to your filing and you close your browser without hitting either the submit filing or cancel filing buttons, or you leave your browser open for more than 30 minutes with no activity, Records Center may receive an incomplete filing. Records Center will generally try to contact filers with an incomplete filing that has been in the processing area for longer than 30 minutes during regular business hours.
- Q19.** Can I file a zipped file in EFS?
- A19.** No, EFS will only accept PDF's and Excel files (.pdf, .xls, .xlsx).
- Q20.** Can I file a password protected file in EFS?
- A20.** Although it is possible to upload a password protected file into EFS, a filing containing a password protected file will be rejected. The documents in a filing must be viewable without having to be unprotected. For more information about the IUB electronic information standards, see the EFS System Filing Standards.
- Q21.** Can I file one or more MS Excel workbooks containing live links in EFS?
- A21.** Although it is possible to upload a set of linked workbooks into EFS, the links between files will not work once they have been processed in EFS. Links between spreadsheets within a single workbook will work in EFS.
- Q22.** Can I combine multiple petitions into one document?

- A22.** Each document submitted into EFS will be assigned a single document type. For ease of processing and retrieval, it is preferred that requests for waiver be submitted as separate documents within the filing. The waiver request document can then be easily associated with the waiver docket that must be created. Similarly, petitions to intervene will be more easily tracked as an intervention document type if they are submitted as a separate document within the filing.
- Q23.** Should an affidavit be filed as a separate document?
- A23.** Its not required to be filed separate and is recommended to be added at the end of the document.
- Q24.** How can I make a filing with many documents easier to navigate and submit?
- A24.** When preparing to file a large filing such as a rate case, contact the EFS Help Desk for suggestions on how to make the filing. Please submit a large filing as multiple submissions of approximately 20 documents. Clearly label each piece of the large filing as 1 of X, 2 of X, and include an index of the whole case with the first filing. Attachment 2 to this document provides suggestions to filers, including information about large filings.
- Q25.** My filing has been accepted and I want to withdraw it. What do I need to do?
- A25.** Once a filing has been accepted, the filer must file a request to withdraw the filing.
- Q26.** I have submitted a filing that contains only confidential information. What notices are sent?
- A26.** A public document indicating that a confidential document has been filed is required to be uploaded, and notice of that public document is sent to all parties.
- Q27.** I have information to file that pertains to multiple dockets. How do I submit that information?
- A27.** If the Board has formally consolidated dockets into one, parties will receive notice of the consolidation and will only need to file once in the consolidated docket. Prior to actual consolidation, parties must file in each affected docket.
- Q28.** Who do I call if I have an issue with filing electronically?
- A28.** The EFS Help Desk is available to answer your questions by phone or email during regular business hours Monday through Friday, 8 am to 4:30 pm, except [State Holidays](#)
Phone: (515) 725-7337, E-mail: [EFS Help Desk](#).