

Iowa Utilities Board
Standards for Electronic Information
Revised February 2010

On January 2, 2009, the Iowa Utilities Board (IUB) began accepting filings in NEW proceedings through an Electronic Filing System (EFS). Filings in proceedings initiated prior to January 2, 2009, will primarily continue to be filed on paper, and any accompanying electronic information should be filed in accordance with the standards in [Section C](#) below, until those dockets are closed. For more information on filings in EFS, see [Section A](#) below.

Contact the Records and Information Center at 350 Maple Street, Des Moines, IA 50319-0069 or at (515) 281-5563 for an official copy of these standards.

A. Information for proceedings subject to the Electronic Filing Requirement (for filing in proceedings not subject to the electronic filing requirement, see [Section C](#).)

The Iowa Utilities Board's (IUB) standard operating system is Microsoft (MS) Windows XP.

The IUB's standard application software is MS Office 2007. Filers may file information in MS Office 2007 format. However, it is recommended that spreadsheets and workbooks be filed in MS Office 2000-2003 format for maximum usability.

1. MS Excel 2007 for spreadsheets and workbooks;
2. MS Access 2007 for databases;
3. MS Word 2007 for text.

Electronic information should be presented in these formats or in formats that are convertible by these applications without loss of data or functionality. Electronic files that are not intended to be used for or to present calculations or data manipulation may be submitted in text-searchable (whenever feasible) portable document format (PDF).

Spreadsheets, workbooks, and databases must be filed in native format (MS Excel 2000, 2003, or 2007 or MS Access 2000, 2003, or 2007) and must include all cell formulae and cell references to allow IUB staff and the Office of Consumer Advocate to analyze and reproduce calculations. If you request confidential treatment of any information in a spreadsheet, worksheet, or database, you must submit a request for confidential treatment along with two versions of the document: a public version with the cell formulae deactivated and other confidential information redacted and a version not for publication containing live formulae and no redaction.

Databases that do not contain calculations may also be provided in comma delimited format (CSV) and text may be submitted in ASCII or other standard text (TXT) format.

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.

Remove all password protection from documents and files before submitting them into EFS. Filings containing password protected documents will be rejected. Do not submit zipped files. Filings containing zipped or compressed documents will be rejected.

Digital photographs should be submitted in JPG or TIF format.

If you propose to submit electronic information that does not comply with these standards, please contact the Executive Secretary or the General Counsel of the Board prior to submission.

B. Naming Conventions for Documents and Filings in EFS

When naming filings and documents, it is important to keep in mind that one great benefit of EFS is the ability to find documents once they are filed. In order to make each document easier to find, names of filings and documents should be descriptive without being verbose.

Remember to be as clear, consistent, concise, and complete as possible within EFS constraints.

When a filing contains a single document, it may make sense for the filing title and document title to be the same.

Filing titles must be no more than 200 characters, including spaces. Document titles must be no more than 200 characters, including spaces. Filing and document titles should not include the software application extension (.doc, .xls, .pdf) in the title.

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. Similar naming should apply for exhibits and workpapers or any other documents where the identity of the person presenting the information is key information.

Sample filing titles:

Use these:

- 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
Petition to Intervene and Application for Admission of Out-of-State Attorney to Appear
Prehearing Brief
Purchased Gas Adjustment for September
Request for Permission to Appear
Supplemental Testimony

Sample document title:

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 Direct testimony
Doe Exhibit102 – Confidential
Doe Exhibit 102 – Public
Doe Supplemental Testimony
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
Prehearing Brief
Request for Confidential Treatment
Request for Permission to Appear
Request for Waiver of (show rule -- 199 IAC x.x(x))
Smith Supplemental Testimony
Tariff for Competitive Local Exchange Service

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

April 20, 2009
Document 1
File2
Filing
Motion
My Certificate
PGA
Rates
Request

C. Information for proceedings not subject to the Electronic Filing Requirement

Electronic information in proceedings otherwise continuing on paper must be filed along with the paper documents at the following address:

Executive Secretary
Iowa Utilities Board
Records and Information Center
350 Maple Street
Des Moines, Iowa 50319-0069

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The IUB's standard application software is MS Office 2007. Filers may file information in MS Office 2007 format. However, it is recommended that spreadsheets and workbooks be filed in MS Office 2000-2003 format for maximum usability.

1. MS Excel 2007 for spreadsheets and workbooks;
2. MS Access 2007 for databases;
3. MS Word 2007 for text.

Electronic information should be presented in these formats or in formats that are convertible by these applications without loss of data or functionality. Databases that do not contain calculations may also be provided in comma delimited format (CSV) and text may be submitted in ASCII or other standard text (TXT) format.

Spreadsheets, workbooks, and databases must include all cell formulae and cell references to allow IUB staff to analyze and reproduce calculations.

All electronic files must be provided in editable form. Any files submitted in portable document format (PDF) must be accompanied by the original files from which the PDF files were created, in native format and including calculations and formulae.

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.

Remove all password protection from documents and files before submitting them into EFS. Filings containing password protected documents will be rejected. Do not submit zipped or compressed files without prior authorization. Filings containing zipped or compressed documents will be rejected.

Digital photographs should be submitted in JPG or TIF format.

If the digital information is being filed in a proceeding not subject to the electronic filing requirement (i.e., a proceeding initiated prior to January 2, 2009, or a proceeding otherwise to remain on paper), filers must submit the electronic information on the following types of compatible media:

1. Electronic files should be submitted on IBM-compatible DVD, CD-ROM or 3 ½" disk. The IUB is unable to use non-IBM compatible media for data.
2. Sound recordings should be submitted on DVD, CD-ROM or cassette tape.
3. Video recordings should be submitted on DVD.

If you propose to submit electronic information that does not comply with these standards, please contact the Executive Secretary or the General Counsel of the Board prior to submission.