

ELECTRONIC FILING USER'S GUIDE

NORTHERN NEVADA

1150 E. William Street
Carson City, NV 89701
Phone: (775) 684-6101
Fax: (775) 684-6110

Consumer Complaints: (775) 684-6100



SOUTHERN NEVADA

9075 W. Diablo Dr., Ste. 250
Las Vegas, NV 89148
Phone: (702) 486-7210
Fax: (702) 486-7206

Consumer Complaints: (702) 486-2600

DISCLAIMER

The PUCN reserves the right to impose, without advance notice, restrictions or conditions to safeguard the Electronic Filing System (System) and data, including the revocation of privileges for any user/filer or organization, and the temporary or permanent termination of this System.

Each user/filer assumes all risks associated with the use of the System, including the risk that the System may become unavailable at any time without prior notice, or that E-mail notifications sent by the System may be blocked or delayed by causes beyond the control of the PUCN or the user/filer or organization.

OVERVIEW

The PUCN's System is designed to accept filings, fees and/or fines over the Internet. The System is a subsystem of the PUCN's Electronic Filings and Records Management (EFRM) System.

There are four categories of filings the System will accept:

1. New Filing
2. Open Docket Filing
3. Administrative/Civil Fine and Letter
4. Corrected Payment and Letter

GOVERNING REGULATIONS

NRS 703, NAC 703 and NRS 719.

GENERAL REQUIREMENTS

The System requires that the user/filer:

- Adhere to PUCN Regulations regarding the submittal of filings (NAC 703.134 and NAC 703.136).
- Have access to the Internet via a browser that is compatible with Internet Explorer 6.0 or higher.
- Have access to a scanner and/or software

that can create PDF images of the documents.

- Have an active E-mail account.
- Register to use the System.

HOW TO FIND THE ELECTRONIC FILINGS SYSTEM ON THE PUCN WEBSITE

Access to the Electronic Filings System (System) can be found on the link provided on the PUCN Website's Home page (puc.nv.gov).

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ELECTRONIC FILINGS SYSTEM SITE MENU

The Electronic Filings Site Menu link can be found at the top of most System screens. The Site Menu provides links for using the System (downloads, regulations, examples, etc.).

REGISTRATION

A "Quick Start Guide to Registering" link is available on the Login screen.

LOGGING IN

Once registered, the user/filer may login by entering the E-mail and password which was created on the Registration screen.

WELCOME SCREEN – FILING SUBMITTAL OPTIONS

Once logged into the System, the user/filer will be sent to the System's Welcome screen. Under "Select an Option" the user/filer may click a button to open the appropriate screens for submitting:

- New Filing
- Open Docket Filing
- Administrative/Civil Fine and Letter
- Corrected Payment and Letter
- Links to the Quick Start Guides for each of the screens are available beneath each option button on



the Welcome screen:

- o Quick Start Guide to: Submit a New Filing
- o Quick Start Guide to: Filing in an Open Docket
- o Quick Start Guide to: Submit an Administrative/Civil Fine and Letter
- o Quick Start Guide to: Submit a Corrected Payment and Letter

PDF PREPARATION

The System requires that the filing be uploaded in PDF format. PDF documents are required to be:

- 8 1/2 by 11 inches (letter size);
- set in “portrait” mode;
- single sided;
- black and white;
- created at a resolution between 300 and 600 dots per inch (dpi);
- less than 40 megabytes (42560k) in file size (approximately 400 pages)*;
- of good quality and with good quality images; and
- signed using either the “wet signature” method (use dark colored ink) or the acceptable electronic signature symbol method (both methods are described in the **Authenticity of Required Signatures** section of this guide).

For filings larger than 400 pages, the user/filer must break the filing up into volumes and submit it on electronic media**. The filing must conform to the following guidelines:

- Adhere to all guidelines outlined in the PDF Preparation section above.
- The electronic media may contain only one filing.
- The electronic media must contain all the volumes of the filing.
- The filing must be separated into volumes at a logical breaking point in relation to the content.
- Each volume must contain a separator page indicating the content of the volume and the volume number (i.e., Vol #, # of #).
- Each volume should be (as close as possible to) a minimum of 200 pages and no more than 400 pages.
- The first volume must contain (in the following order):
 - o The transmittal letter
 - o Table of contents identifying each volume and its contents
 - o The service list for the filing
- The first volume must be named as:
 - o <Filing Name Table of Contents>.pdf
 - o (example: My Filing Table of Contents Volume 1 of 4.pdf)
- Each subsequent PDF file must be named as:
 - o <Filing Name Volume # of #.pdf>
 - Examples:
 - » My Filing Volume 1 of 3.pdf

» My Filing Volume 2 of 3.pdf

» My Filing Volume 3 of 3.pdf

- Include a cover page as its first page that identifies its volume number and total number of volumes.
- Complete and print two copies of the Electronic Media Submittal Form.
 - o One copy of the completed form will be returned as a receipt stamped with the date and time the electronic media was received.
- Label the electronic media with the following information:
 - o Document Name: (Use the same document name used to name the PDF files)

** Filings larger than 400 pages may be submitted over the Internet provided the user/filer contact PUCN’s Business Process Services first. See Obtain Help Regarding Filings at the end of this document.

CONFIDENTIAL INFORMATION

No confidential information shall be filed electronically (NAC 703.5274). Confidentiality is deemed waived for all information not filed pursuant to NAC 703.5274. The PUCN is not responsible for the disclosure of confidential information not filed according to NAC 703.5274.

OTHER DOCUMENT CONTENT

The following procedures apply to document preparation for specific types of filings.

Direct or Rebuttal Testimony (not part of an original filing):

- Each individual’s testimony must be filed separately (Do not group multiple testimony into one PDF document).

Working Documents:

- Do not file working documents using the System or within the same media containing a filing. Supplemental information for an electronic filing (working documents, spreadsheets, maps, etc.) must be submitted under separate cover or separate media.

ELECTRONICALLY SIGNING THE FILING

In accordance with NRS 719, by electronically filing a document, the user/filer verifies the authenticity of the signature(s) contained therein. Every document electronically filed or served shall be deemed to be signed by an authorized agent or representative of the signer(s) of the document(s) and the user/filer.

All signature pages must be signed prior to submission of a filing with an acceptable image or symbol that represents the “intent to sign” by the authorized signers of the filing and/or the user/filer or organization.



An acceptable symbol method for representing an electronic signature has been adopted to facilitate creation of PDF documents directly from word processing or other document creation software.

The acceptable electronic signature symbol (NRS 719.100) is:

- Type written text: “/s” followed by the signer’s name, title.
 - o Example: /s John Smith, CEO
- The alternative method is to apply a “wet signature” (using dark ink) to the document signature pages.
 - o If signature pages are signed using a “wet signature”, the signature pages must be scanned after they are signed and included in the PDF document.

All filings made using the System must be electronically signed. To electronically sign a filing, the user/filer simply clicks the “Electronically Sign” button on the “Electronic Signature Requirement” screen.

- Filings submitted but not electronically signed will not be processed.
- PUCN’s Business Process Services will contact the user/filer if the filing is not electronically signed and ask that the user/filer complete the electronic signing process and resubmit the filing.
- E-mail confirmations will not be sent unless the filing is electronically signed.
- By using the System, the user/filer’s organization or an organization the user/filer is representing, will be entering into an agreement to:
 - o Conduct an electronic transaction with the PUCN (NRS 719.030).
 - o Conform to NRS 719 Electronic Transactions (Uniform Act).
 - o Attest to the authenticity of any signature symbols included in the filing and the user/filer’s intent to sign.
- By electronically signing, the user/filer is signing the filing submittal as an authorized representative of the organization.

SUBMITTING FILINGS AS A COMMENTER OR INTERVENOR

To participate in a contested case as a commenter, the person must file written comments prior to the scheduled proceeding on the contested case and identify the person as a commenter. Comments must adhere to the requirements for submitting a pleading. (NAC 703.491 and NAC 703.560)

To become an intervenor in a docket, you must adhere to the PUCN’s procedures for submitting a “Petition

for Leave to Intervene.” (NAC 703.578 through NAC 703.600)

BANKING AND PAYMENT REQUIREMENTS

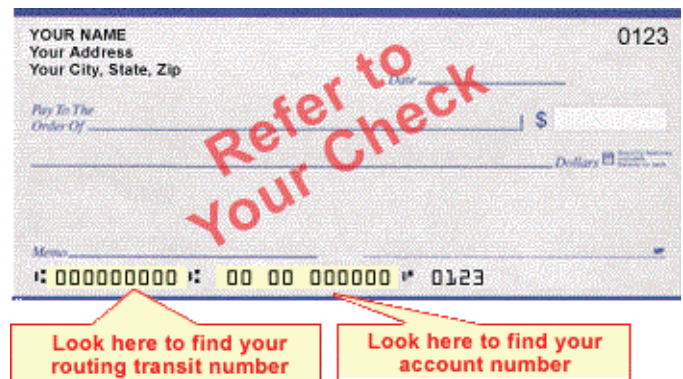
Some filings require a filing fee or an administrative/civil fine. When filing fees or administrative/civil fines are required, the fee or fine must be paid using the System at the time of the filing.

The System only accepts payments via Automated Clearing House (ACH) funds transfers and only retrieves funds on a transaction by transaction basis. No banking information is retained by the System. If your bank requires a Debit Block ID to set-up the ACH funds transfers, contact the PUCN to obtain the ID.

ACH funds transfers are encrypted using https.

Upon completion of an electronic filing, the System will send the user/filer an E-mail containing the ACH transaction amount (filing fee or fine), confirmation number, settlement date and other information.

To pay the fee or fine the user/filer will enter the appropriate



routing number and checking account number on the appropriate screen, which will initiate the ACH funds transfer.

A reference field is provided for the user/filer to provide additional information on the confirmation email to aid in the user/filer’s internal reconciliation process.

The ACH funds transfer will appear on the user/filer’s bank statement as if a check were written to the PUCN to pay a filing fee.

A filing will be rejected if the required filing fee is not received by the PUCN at the time of the filing.

REJECTION OF ELECTRONIC FILINGS

The PUCN may reject any electronic filing that:



- Is technically incompatible.
- Contains corrupted files.
- Contains “black space” outside the document borders.
- Contains a virus or other malicious spyware.
- Is unreadable due to poor scanning or PDF creation techniques.
- Is not submitted in PDF format.
- Is submitted with inaccurate filing information (example: an incorrect docket number).
- The filing fee has not been paid or the incorrect fee amount was paid.

If an electronic filing is rejected PUCN’s Business Process Services will send an email notification of rejection to the filer that will include the reason(s) for the rejection and instructions for re-filing.

It is the responsibility of the user/filer to re-file with the appropriate corrections.

If a filing is rejected because a fee was not paid or was incorrect, the user/filer must submit a corrected payment with a “Letter of Explanation” accompanying the corrected payment.

Corrected payments can be submitted electronically with the accompanying “Letter of Explanation”. The letter will become part of the public record.

PASSWORD RECOVERY

A link to recover a forgotten password is available on the Login screen and the Electronic Filings Site Menu.

CHANGING A PASSWORD

A “Change Password” link is available on the Welcome screen and the Electronic Filings Site Menu. The user/filer must be logged into the System to change the password.

DELETING A REGISTRATION

A “Delete E-Filing Registration” link is available on the Welcome screen. The user/filer must be logged in to delete the registration. When the user/filer clicks the “Delete E-Filing Registration” link, the user/filer will be immediately logged out and will have to re-register to use the System.

BUSINESS HOURS FOR ACCEPTANCE

PUCN’s business hours are 8:00 a.m. to 5:00 p.m., Monday through Friday, excluding state holidays.

Any document filed outside of business hours shall be deemed filed on the next business day.

OBTAIN HELP REGARDING FILINGS

Contact PUCN’s Business Process Services: (775) 684-6144

Main Office Numbers:
Carson City (775) 684-6101
Las Vegas (702) 486-7210

