

DOCKET OFFICE FREQUENTLY ASKED QUESTIONS

-- This is NOT legal advice --

The information provided here is based on the Commission Rules of Practice and Procedure (Rules) and the Docket Office practices. Additional information may be found in the Public Utilities Code and in the Commission’s decisions, general orders, and resolutions, as well as on-line guides (for example, Intervenor Compensation Program Guide).

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Getting Started

Is there any assistance to the public for filing a document in formal proceeding with the Docket Office?

Yes. If this is your first time to file a document in a formal proceeding with the Docket Office, e.g. filing a protest, and you are not familiar with the rules and procedures of the Commission, you may seek assistance from the Commission's Public Advisor office by sending an email to public.advisor@cpuc.ca.gov or by calling toll free 1-866-849-8390 (Northern California), or sending an email to public.advisor.la@cpuc.ca.gov or calling toll free 1-866-849-8391 (Southern California).

Where do I find the Commission Rules of Practice and Procedure (Rules), Pub. Util. Code and General Orders?

They all can be found on the Commission website. The link to the Rules is at: http://docs.cpuc.ca.gov/published/RULES_PRAC_PROC/105138.htm. The link to the General Orders is at: <http://www.cpuc.ca.gov/PUC/documents/go.htm>. Statutory requirements found in the Public Utilities Code, are posted at <http://www.leginfo.ca.gov/calaw.html>. Copies of these Rules, General Orders and the Public Utilities Code sections may also be obtained through the Public Advisor's office or at any county law library.

Filing Requirements: General

There are two ways to file documents with the Docket Office. One is electronic filing; another is in paper form. Electronic filing is strongly preferred¹.

Where do I file documents?

A: E-filing:

You may use the Commission's e-filing system to file all documents except confidential documents. You can access the e-filing system and instructions at <http://www.cpuc.ca.gov/PUC/efiling>

B. Paper-filing: You may mail or hand-deliver documents for filing.

(1) By Mail: The documents should be addressed to the California Public Utilities Commission, Docket Office, Room 2001, 505 Van Ness Avenue, San Francisco, CA 94102.

(2) By Hand Delivery:

All courier-delivered documents should be taken directly to the Mail Room at the Commission's Headquarter, 505 Van Ness Avenue in San Francisco; or the Commission's

¹ A utility whose gross intrastate revenues, as reported in the utility's most recent annual report to the Commission, exceed \$10 million must electronically file all documents unless otherwise prohibited or excused. (Rule 1.13)

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Southern California offices in the State Building, 320 W. 4th Street, Suite 500, Los Angeles. All hand-delivered documents to the Los Angeles offices must include first-class postage charges to San Francisco. Payment of the postage charges may be made by check or money order. (Rule 1.13(a)(1).)

May I file advice letters or comments to draft resolutions with the Docket Office?

No. Filings of advice letters and comments to draft resolutions should be made directly with the individual divisions. For example, comments to Resolution E-4322 should be sent to the Energy Division; comments to Resolution T-17272 should be sent to Communications Division. You may not use the Commission's e-filing system to file these documents. If you have questions of how to file them electronically, please contact the utility divisions.

What are the basic filing requirements that cover every type of document?

Different types of documents must meet different filing requirements in order to be accepted. These document-specific filing requirements are set forth in the Commission's Rules, the Public Utilities Code, the Commission Decisions, and General Orders.

Generally though, there are four (4) basic components that all types of filings must have. They are Title Page, Text, Certificate of Service, and Service List.

1. **Title Page:** Please review Rule 1.6 of the Commission's Rules regarding the required format of a title page. Make sure the proceeding number(s) and caption(s) are correct, and the document is properly titled.
2. **Text:**
 - a. Tendered documents for filing must be typewritten on paper 8½ inches wide and 11 inches long. The font size must be no smaller than 10 points. The impression must use 1½ -line or double spacing except footnotes and quotations. (Rule 1.5)
 - b. Separate documents must be used to ask the Commission to take essentially different types of action. (Rule 1.7(a))
 - c. **Signature(s) and Date:** A document tendered for filing must be signed at the end of the document, and must state the date of signing, the signer's address, telephone number, and (if consenting to service by email) the signer's email address, including if applicable, the signer's title and the complete legal name of the company or organization the person represents. (Rule 1.8)
A paper filing must contain a manual signature. The signature on an electronically filed document may use a signature designation mark (/s/). No digital signature is accepted.
 - d. Although not required by the Rules, numbering pages is preferred.
3. **Certificate of Service:** A certificate of service is a statement that certifies that the filing party has served the document on each person whose name is on the service list for the proceeding. The certificate of service must state (1) the exact title of the document served; (2) the date, place, manner of service; and (3) the name of the person making service. A certificate of service must be signed. (Rule 1.9)

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4. **Service List:** A service list is a listing of names of people to whom you must serve the document identified in the certificate of service. You may download a copy of the service list to a specific proceeding from the Commission's website, or contact the Process Office at process_office@cpuc.ca.gov or (415) 703-2021. (Rules 1.9 and 1.10)

Please see samples of documents filed with the Commission at the end of this FAQ, which show how the title page, text, Certificate of Service, and Service List are arranged in one document.

In addition to the integrity of the document, there are two important procedural points to check: **party status** and **timeliness**. Unless a person is a party to a proceeding, the person is not allowed to participate in the proceeding and file a document. Rule 1.4 provides instructions for becoming a party. Also, there are rules governing the due date for certain types of filings. Some of these due dates may be extended, or may be accepted late filed, if it is authorized by a Commission ruling. However, there are jurisdictional deadlines that may not be extended.

If a document is submitted for filing on behalf of more than one party, must each party or its attorney or representative sign the document?

Generally, no. Only one party or its attorney or representative needs to sign, provided that the person signing has proper authorization from the other parties to sign on their behalf. However, the title or first page of the document as well as the signature page of the document must identify all parties on whose behalf the document is being tendered for filing and must state their Case Information System Identification Numbers, if applicable. (Rule 1.8 (d).)

How should a verification of a document be made?

Applications, complaints, answers, amendments to applications and complaints and other documents as may be specified by the Rules or the Commission Rulings must be verified. (Rule 1.11.)

A verification may be signed by the party or when permitted by Rule 1.1, its attorney or representative. Whenever a document is required to be verified, it should state the following:

- (1) Person's title or capacity or a statement that s/he is authorized to execute the Verification on behalf of the party
- (2) Information in the (verified document) is correct to the person's best information and belief (or personal knowledge)
- (3) Signature line: "I declare under penalty of perjury (under the laws of the State of California) that the foregoing is true and correct." The language "(under the laws of the State of California)" should be used whenever the Verification is executed (signed) outside the State of California.

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When is a tendered document considered filed?

Tendered documents are filed only after they have been reviewed and accepted by the Docket Office. (Rule 1.14(a)) The date when a document is filed is the date when it was received by the Docket Office. The date when the document is mailed is not its file date. When you mail a document, you must mail it before the due date for the filing to make sure that the Docket Office receives the document no later than the due date.

Is a transmittal letter required for filing a document?

Transmittal letters are not required for paper copy filings but can be provided. They will not be filed. Do NOT include transmittal letters in e-filings.

Is there a filing fee?

Yes, in certain circumstances. Parties that file certain types of the applications with the Commission must pay a filing fee at the time of the filing of the document. (Public agencies are exempt from this requirement.) The Commission's filing fees are stated in the Table of Filing Fees, which appears at the end of the Rules. (Rule 1.16)

Where do I find an official service list for a proceeding?

Official service lists are generally available on the Commission website at www.cpuc.ca.gov unless the proceeding has been closed. Persons who wish to review or obtain a copy of an official service list that is not posted on the Commission website may contact the Commission Process Office at (415) 703-2021. Changes or corrections to an official service list should be sent in writing to the Process Office at process_office@cpuc.ca.gov.

How should I title my document?

The title (name) of your document must include the document type that you selected (for example, if you selected a document type "REPLY" for your reply to a protest, a name of your document should include the words "Reply to protest to the application").

What is the right document type for my document?

Attachment A to this FAQ document is a list of document types that can be selected for filing in a formal proceeding. The Commission occasionally modifies the document type pick list. As to how to select a document type, below are some suggestions.

If the Commission requested or authorized the filing of a certain document – select the document type pursuant to the Commission's direction: for example, use "Comments" if the Commission directs to file comments, etc. If the Commission asks you to file a document but that document type is not listed in the pick list, call your document "RESPONSE"; for example, RESPONSE TO THE RULING OF OCTOBER 5, 2006". For periodic data filed with the Commission in compliance with its orders, select "REPORT" as a document type.

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If you file a document not specifically requested or authorized by the Commission but authorized in the Rules of Practice and Procedure, select a document type for your document based on the terminology used in the Rules. For example, an opposition to a new application should be filed as PROTEST (Rule 2.6); request for the Commission or administrative law judge to take a specific action related to an open proceeding should be filed as MOTION (Article 11 of the Rules).

The document type “REPLY” is proper only when you file a third-round pleading. For example, REPLY TO RESPONSE TO MOTION (third round pleading) or REPLY TO PROTEST. The name of your document should reflect that fact; for example: “REPLY TO RESPONSE(S) TO MOTION /name of the Motion/”

A request for rehearing of the Commission Resolution or a request for modification of the Commission Resolution should be filed as a new application proceeding pursuant to Article 2 of the Rules. In addition, Rule 16.1 applies to Application for Rehearing of Resolution and Rule 16.4 applies to Application for Modification of Resolution.

In a motion seeking leave to file another document, should that document be attached to the motion?

In a motion seeking leave to file another document, that document should not be attached to the motion. The document sought to be filed should be submitted concurrently with the motion but as a separate filing transaction. This will allow the Commission to rule on the motion first and if it is granted, file the document.

Filing Requirements: Efiling

For e-filing, how can I satisfy signature requirements?

A document for e-filing can contain a scanned signature on the signature page. Alternatively, the document can contain a proof of the fact that the original document is signed. It can be done by typing “/s/”, (“signed”) on of the signature line. Information about the signer (name, title, company name, address, telephone number and other contact information) should be placed below the signature line. (Rule 1.8; Appendix A, Rule 3(f) to Resolution ALJ-188). Please see an example in the sample document aforementioned in the answer to “Filing Requirements to Meet” section.

For e-filing, how do I prepare a document in PDF/A format?

To e-file your document using the web-based system, you MUST convert your document into PDF/A format. We require PDF/A compliant documents to meet our 30 year document retention policy goals. There are several ways to convert a word processing document into a PDF standard document, but there is a way that we have had consistent success in making a PDF/A compliant document when you are running Adobe Acrobat 7.0 or higher on your desktop. Please read the instructions in the User Guide. Here is the link:

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<http://www.cpuc.ca.gov/PUC/efiling>

Filing Requirements: Paper Filings

For paper filing, how many copies of a document should be tendered?

Except for complaints and applications for rehearing, an original (1) and six (6) EXACT copies of the document (including any attachments but not including the transmittal letter, if any) shall be tendered. After assignment of the proceeding to an Administrative Law Judge, an original (1) and three (3) EXACT copies of the document shall be submitted. (Rule 1.13(a)(2))

Should paper filings be bound?

Documents submitted for filing may be bound in the upper left corner or along the left side. (Rule 1.5). The Docket Office prefers that documents be stapled. For larger documents that cannot be stapled, you are encouraged to use a round-head fastener or similar device. Documents should not be submitted for filing in binders. For voluminous documents you may use rubber-bands.

Filing Requirements: Large Documents

If the document is voluminous, are there any alternatives to meet the copy requirements?

If your document is voluminous, contact the assigned administrative law judge or any Assistant Chief Administrative Law Judge (if no ALJ has been assigned) and ask permission allowing you to reduce the number of copies or submit copies or parts of the document on CD or floppy diskette. You must receive permission before doing so.

How do I file a Proponent's Environmental Assessment?

Applications for authority to undertake any projects that are not statutorily or categorically exempt from the California Environmental Quality Act (CEQA) requirements shall include a Proponent's Environmental Assessment (PEA). The PEA shall include all information and studies required under the Commission's Information and Criteria List adopted pursuant to Chapter 1200 of the Statute of 1977 (Government Code Sections 65940 through 65942), which is published on the Commission's website. (Rule 2.4) Payment of a charge for fees for recovery of costs in preparing Environmental Impact Report to Negative Declaration shall be made to the Commission. (Rule 2.5)

In addition, below are some steps that that are helpful to follow:

Contact the Docket Office **at least one week** in advance, letting the Docket Office know when you will be filing your application, what pieces you will have, and how you are filing.

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(i.e. E file, hard copy, Fed-ex, UPS)

Preferred Filing Method:

1. E-file application, attach PEA with application (if size permits)
2. E-file application, first; wait for new App number; then, separate e-filing transaction for PEA (if size permits) once application number is assigned
3. With prior approval from the Chief Administrative Law Judge or Assistant Chief Administrative Law Judge, e-file application, and provide two (2) PEA hard copies (Original + 1 hard copy for judge), all seven (7) other copies on separate CDs.

PEA Format:

- Oversized maps must be folded to fit the 8 ½” x 11” size limit.
- CD’s in lieu of hard copies must be in specially formatted 6-1/2 x 9-1/2 manila envelopes with Caption Page taped to outside of envelope. Staple envelope shut.

Additional Copies:

Provide three (3) additional copies of PEA on CD in manila envelope (clasp-type preferred) with caption page described above with the words EXTRA COPIES marked on it in RED.

Filing Requirements: New Proceedings

What types of information should be included in "scoping memo information?"

Scoping information should include:

- The proposed category for the proceeding, i.e., adjudicatory, quasi-legislative or ratesetting;
- The issues to be considered by the Commission;
- Whether a hearing is necessary; and
- A proposed schedule for the proceeding. (Rules 2.1, 2.6, 4.2, 4.4, 5.2, 6.2)

The Commission’s complaint form includes a section for scoping information. The complaint form is posted on the Commission website under Rule 18.1 at www.cpuc.ca.gov, or may be obtained through the Public Advisor’s Office.

How does a party choose a proposed category for the proceeding?

The party should select a proposed category which best fits the type of proceeding that it is filing. The three categories of proceedings are defined as follows:

- Adjudicatory proceedings. Adjudicatory proceedings include: (1) enforcement investigations into violations of law or Commission orders or Rules, and complaints against regulated entities, including challenges to the accuracy of a utility bill but excluding complaints regarding the reasonableness of rates or charges in general.
- Quasi-legislative proceedings. In quasi-legislative proceedings, the Commission establishes policies or rules affecting a class of regulated entities, or may investigate

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the rates or practices of an entire regulated industry or class of entities within the industry.

- Ratesetting proceedings. Ratesetting proceedings include: (1) proceedings in which the Commission sets or investigates rates for a specifically named utility or establishes a mechanism or procedure that sets rates for a specifically named utility, and (2) other types of proceedings that do not fit within the adjudicatory or quasi-legislative categories. (Pub. Util. Code § 1701.1(c); Rule 1.3(a), (d) and (e)) Examples of ratesetting proceedings are applications for a certificate of public convenience and necessity, for a certificate to operate a passenger stage corporation, etc.

How does a party determine the proposed schedule for the proceeding?

Adjudicatory cases must be completed within 12 months of the date on which the proceeding was filed, and ratesetting and quasi-legislative proceedings must be completed within 18 months of the date of Scoping Memo and Ruling. A Commission proceeding has been completed when the Commission has approved a decision on the proceeding by a vote at a Commission meeting. Parties should keep these timeframes in mind when proposing a schedule for the proceeding. The proposed schedule should also take into account the number and complexity of issues to be considered, the number of parties, the need for and anticipated length of hearings, and other relevant factors. (Pub. Util. Code § 1701.2(d) and § 1701.5(a), Rules 1.1, 2.2, 4.1, 4.4, 5.2, 6.2.)

Filing Requirements: Confidential Materials

Are there any specific requirements for filing motions for leave to file confidential materials under seal?

A motion for leave to file confidential materials under seal and the confidential materials should be prepared with correct format. (Rule 11.4) Below are some guidelines:

Title page for the Motion. A title of the motion should include a reference to documents attached and filed under seal, as follows:

MOTION OF _____ FOR LEAVE TO FILE CONFIDENTIAL MATERIAL(S) UNDER SEAL; CONFIDENTIAL MATERIAL(S) ATTACHED AND FILED UNDER SEAL

Identification of Confidential Materials or Information in Body of Motion. Parties should specifically identify and refer to the confidential materials that they wish to file under seal in the body of the motion. For example, a reference to confidential materials could read: “. . . confidential financial records of _____ (insert filer’s name), attached to the (application/brief/compliance filing, etc.) as Exhibit ____.”

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Proposed Ruling for the Motion. Attach to the motion a proposed ruling that clearly indicates the requested confidentiality treatment (Rule 11.4(a)).

Enclosure of Confidential Materials in Unsealed Envelopes. Parties should place the confidential materials in an unsealed envelope and tape a copy of the title page only of the motion to the outside of the envelope (in case the envelope and the motion accidentally become separated). Please do not seal the envelope, because the Docket Office needs access to the confidential material to stamp it with the words “Filed under Seal”, and to affix a stamp indicating the date on which the document was filed. Parties may use rubber bands, paper clips, or similar methods to secure the unsealed envelope and its contents. The envelope should be large enough to hold the confidential materials comfortably. For example, a thick document printed on 8½” by 11” paper should be submitted in a 10” by 12” envelope.

This procedure should be followed for the original and each copy of the motion and confidential materials that is required.

May I file electronically a Motion for Leave to File Confidential Materials under Seal?

You may e-file the motion but you should not submit the confidential materials via the e-filing system. The properly formatted confidential material envelopes should be delivered to the Docket Office on the same day of the motion and the e-file transaction number of the motion or a copy of the e-file confirmation notice should be provided along with the confidential envelopes.

Should a party file under seal a complete unredacted version of the whole document?

When the confidential information appears sporadically throughout the document, a party should submit the entire unredacted version of the document under seal, inside confidential envelopes. When only a few pages of the document contain confidential information, only those pages can be submitted under seal.

Must a party file a redacted (public) version of a document in which confidential information has been blocked out?

Yes, a redacted version of the document must be filed, unless the document as a whole is allegedly confidential and/or it is impracticable to file a redacted, public version of it. It should be prominently labeled with the words “PUBLIC VERSION” on the title page.

Should I file a motion to file under seal every time I need to file confidential materials?

Yes, unless in this proceeding there already issued a ruling granting confidential treatment of that information. In that case, you do not need to file a motion. You should submit your confidential material inside confidential envelopes, as described above.

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The title page to be taped to the top of your envelopes should contain a caption for the proceeding, description of the contents of your envelopes AND reference to the date of the ruling authorizing the confidential treatment of your document, for example:

Reply brief of /FILER'S NAME/

Confidential Unredacted Version.

Filed Under Seal Pursuant to the /DATE/ ruling of ALJ /NAME OF THE JUDGE/

Filing Requirements: Ex Parte Communications

An ex parte communication is a written or oral communication made by an interested person with a decision-maker or advisor to a decision-maker out of the presence of other parties concerning any substantive issues in a formal proceeding.

When a notice of ex parte communications should be filed?

Since ex parte communication in adjudicatory proceedings are prohibited, and ex parte communications in quasi-legislative proceedings are allowed without restrictions, only ex parte communications in ratesetting proceedings are permitted and required to file a notice of ex parte communications within three (3) working days of the communications. (See Rules 8.2)

However, if the proceeding has been determined that no hearing is required, the reporting requirements cease to apply. (Rule 8.2(d).)

The notice may address multiple ex parte communications in the same proceeding, provided that notice of each communication identified therein is timely.

What information must the Notice of Ex Parte Communication include?

A Notice of Ex Parte Communication must include:

- The date, time and place of the communication, including whether it was oral, written, or a combination of both.
- The identities of each decisionmaker (or Commissioner's personal advisor) involved, the person initiating the communication, and any persons present during such communication.
- A description of the statements made by the party or interested persons during the communication.

When you describe the party or interested person's statements, do not limit your description to a list of issues discussed in the communication – relay what position the participant expressed with regard to the issues discussed in the communication. For example, "Company A discussed Company B's efforts to provide payphone service by T-1 interconnection arrangements" is a description of the issue raised but not a description of the

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filing party's position on the issue. On the other hand, "Company A stated that it believes that Company B's efforts to provide payphone service by T-1 interconnection arrangements is a clear violation of Company A's tariffs" summarizes both the issue raised and the position taken by the filing party.

If the person showed any written, audio visual or other material, such as report, memo or a film, to the decisionmaker during the communication, or gave a copy of such material to the decisionmaker, a copy of this material must be attached to the Notice of Ex Parte Communication. (Rule 8.3(c).) If that document has been formally filed with the Commission in that proceeding, you do not have to attach it; however, you need to reference the document in your notice and indicate when it was formally filed in this proceeding.

- Please, remember that ex parte rule is a DISCLOSURE rule and if parties discussed confidential material, they must disclose the material in the ex parte notice.

Should statements of the decisionmaker be reported in the Notice of Ex Parte Communication?

Never. (Rule 8.3(c))

Should I report a written communication?

Yes. You need to file a notice of a written ex parte communication and attach the written communication to the notice.

In addition, Rule 8.2(c)(3) requires the party making the written communications to serve copies of the communication on all other parties on the same day the communication is sent to a decisionmaker.

- In accordance with this requirement, you need to provide with your notice of ex parte communication a proof of service of the written communication, pursuant to Rule 1.9(d).

Rejection of Filings

What happens if a party submits a document for filing that does not comply with Commission rules or requirements?

If a document submitted in paper fails to meet the filing requirements, the Docket Office may return the document to the party without filing it, with a statement of the reasons that the document could not be filed. (Rule 1.14 (c))

For e-filing, if your document is rejected, the submitter will receive an e-mail to let you know that the document was rejected and the reasons for rejection.

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However, if a document substantially complies with Commission Rules or requirements, the Docket Office may notify the party of the defect. If the document would initiate a new proceeding, the document will be filed as of the date the defect is cured. For all other documents, the Docket Office will give the party a period of time up to seven days to correct the document. If the party resubmits the document within the given period of time, it will be filed as of the date it was first tendered for filing, provided that the document was properly served on or before the date the document was tendered for filing. (Rule 1.14(d).)

Request for Extension of Time

Can I request an extension of time for filing a document later than a deadline established by the Rules or by a ruling of the ALJ or assigned Commissioner?

Parties may request extensions of time limits established by the Rules or a ruling of the ALJ or assigned Commissioner. Such requests must be made to the ALJ orally, by letter, by email or by a written motion. If other parties in the proceeding would be affected, the party requesting the extension must first make a good-faith effort to reach the other parties and to ask them to agree to the extension. The party must inform the ALJ whether the other parties have agreed to the extension at the time that the request is made. (Rule 11.6.)

Can a party request an extension of time for a compliance document after a deadline established by Commission decision or order?

Parties may request extensions of time to comply with a Commission decision or order by letter to the Executive Director, with a copy sent to all parties in the proceeding. The Executive Director must receive the letter at least 3 business days before the deadline that the party wishes to extend. (Rule 16.6)

Can a party obtain an extension of time beyond a deadline established by statute?

No, unless the statute permits an extension of time or a waiver of the requirement. (Rule 11.6.)

Must a party granted an extension of time by the Administrative Law Judge or Executive Director notify other parties?

Generally yes. The ALJ will often require the party that requested the extension to promptly notify the other parties that the request has been granted, but may confirm the extension of time by ruling or on the record of the proceeding. If the Executive Director grants the request, the party that requested the extension must promptly notify the other parties that the request was granted. (Rules 11.6, 16.6.)

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If a party received an extension of time or permission to late-file a document, should the extension or permission to file the document late be noted in the document?

Yes, to inform the Commission of the fact, the party should state on the first page of the document the name of the judge who authorized the late filing and the date on which the authorization was given.

Useful Links

Link to the Commission Rules of Practice and Procedure:

http://docs.cpuc.ca.gov/published/RULES_PRAC_PROC/105138.htm

Link to E-file Documents: <http://www.cpuc.ca.gov/PUC/efiling>

Link to Docket Card: http://docs.cpuc.ca.gov/published/proceedings/docket_flash.htm

Link to Service List Menu: http://docs.cpuc.ca.gov/published/service_lists/sl_index.htm

Samples

Below are representative samples. If you are not sure, please consult with counsel or an experienced practitioner.

Motion for Party Status: <http://docs.cpuc.ca.gov/EFILE/MOTION/114435.htm>

Protest: <http://docs.cpuc.ca.gov/EFILE/P/100725.htm>

DOCKET OFFICE FREQUENTLY ASKED QUESTIONS

ATTACHMENT A- DOCUMENT TYPE DEFINITIONS

| Document name | Definition |
|------------------------|--|
| AMENDED APPLICATION | Amended Application or amendment to application – a pleading that replaces and supersedes in whole or in part a previously filed application. |
| AMENDED COMPLAINT | Amended Complaint or amendment to complaint – a pleading that replaces and supersedes in whole or in part a previously filed complaint |
| AMENDMENT | Formal document modifying a previously filed document, or supplementing a previously filed document at the request of the Administrative Law Judge. |
| ANSWER TO COMPLAINT | Answer to a formally filed complaint or amended complaint. |
| APPEAL | Appeal of the Presiding Officer’s decision. |
| APPEAL CATEGORIZATION | Appeal of a ruling on category (“Scoping Ruling”) or appeal of a categorization of the proceeding in Instructions to Answer, Order to Show Cause or in an Order Instituting Investigation. |
| APPLICATION | Initial request commencing a new formal proceeding. |
| ARBITRATORS AGREEMENT | Agreement filed by arbitrating parties in an arbitration proceeding. |
| BRIEF | Document that is formally filed by parties as directed by the assigned judge or commissioner. Reply Briefs must be filed under the BRIEF. |
| CERTIFICATE OF SERVICE | Certificate of Service should not generally be a stand alone document, but rather be integrated into the filed document. |

DOCKET OFFICE FREQUENTLY ASKED QUESTIONS

| Document name | Definition |
|---|--|
| COMMENTS | Document that is formally filed by parties as directed by the assigned Administrative Law Judge, Commissioner or Chief Administrative law Judge or the Rules of Practice and Procedure. Reply Comments are filed under COMMENTS. |
| COMPLAINT | The initial pleading commencing a new complaint proceeding. |
| EX PARTE | Report of an ex parte communication. |
| LAW AND MOTION | Motions in discovery disputes (to compel discovery; to file materials under seal; for protective order, etc.) |
| MISCELLANEOUS FILING | Document that does not fit into a document type in the list. |
| MOTION | Request for the Commission or the Administrative Law Judge to take a specific action in a proceeding before the Commission. Includes Motion for Party Status, Request to Set Aside Submission, or Reassignment. |
| NOTICE | Any notice of fact related to the proceeding that does not constitute a notice of intent to file a new general rate application or of ex parte communication. Includes Notice of Intent to Claim Compensation. |
| PETITION FOR MODIFICATION | Request to the Commission to make changes in the text of an issued decision. |
| PETITION TO ADOPT, AMEND OR REPEAL A REGULATION | Initial pleading commencing a new proceeding under Public Utilities Code Section 1708.5. |
| PROPONENT’S ENVIRONMENTAL ASSESSMENT (PEA) | A report includes all information and studies required under the Commission’s Information and Criteria List adopted pursuant to Chapter 1200 of the Statutes of 1977 (Government Code Sections 65940 through 65942). |

DOCKET OFFICE FREQUENTLY ASKED QUESTIONS

| Document name | Definition |
|----------------------|--|
| PROTEST | Opposition to a new application. |
| REHEARING REQUEST | Application for rehearing of the Commission decision. |
| REPLY | Reply of the moving party to the Response(s) to a previously filed motion; Reply of an applicant to a protest to a new application. |
| REQUEST | Request for Intervenor Compensation. |
| RESPONSE | Response to a previously filed document. |
| REPORT | Informational report formally filed pursuant to a Commission decision or the request of an Administrative Law Judge or Commissioner. |
| STATEMENT | Factual statement formally filed pursuant to the request of the Administrative Law Judge or/and Commissioner. |
| STIPULATION | Formally filed agreement between some or all of the parties to a Commission proceeding on the resolution of any issue of law or fact material to the proceeding. |
| TRANSCRIPT | Formal hearing transcript by the Commission reporter. |
| WITHDRAWAL | Withdrawal of the previously filed document. |