

Regulatory Commission of Alaska **Filing Submission Guide**

Effective February 16, 2012, the Regulatory of Commission (RCA or Commission) will require mandatory electronic filing and service in all docket proceedings, with an opportunity for waiver. Electronic filings must be submitted through the Commission's electronic filing system using its website. Public comments may be filed either electronically or on paper; however, electronic filing of any confidential record is strictly prohibited.

Below are the Commission's electronic filing submission guidelines that highlight some of the important regulatory requirements and suggested filing guidelines for electronic and paper documents. The Commission encourages all filers to be familiar with its regulations, which are found in Title 3 of the Alaska Administrative Code (Chapters 47-53). Chapter 48 contains the Commission's procedural rules and specific filing requirements, including electronic filing (3 AAC 48.095). The Commission's regulations are also available electronically on its website at:

<http://rca.alaska.gov/RCAWeb/ViewFile.aspx?id=9CD2E4B4-AC95-43EE-B6BD-435F0ED52FB1>

If you have any questions regarding the Commission's form and filing requirements, please contact the Records and Filing Department by phone at 907-276-6222 or 1-800-390-2782 or by email at rca.mail@alaska.gov.

General Formatting Guidelines for Electronic and Paper Documents

The Commission will accept filings through the following two channels:

- Except when prohibited by regulation, electronically using the Commission's electronic filing system on its website at <http://rca.alaska.gov/RCAWeb/Home.aspx>. The Commission will issue a user name and password to a person that seeks to file and accept service electronically.

To request a login please follow the **Procedures for Requesting a User Name and Password** which can be found on the Commission's website at <https://rca.alaska.gov/RCAWeb/Documents/Help/RequestingLogin.pdf> or send an electronic mail to RCAElectronicFiling@alaska.gov.

- Only when permitted or required by regulation, on paper at the Commission's office located at 701 West 8th Avenue, Anchorage, Alaska 99501. The Commission's office is open from 8:00 a.m. to 5:00 p.m., Monday through Friday, except for state holidays. Paper filings may be delivered to the Commission either in person, by United States mail or a similar delivery service. The Commission will not accept a paper filing unless it is free of any delivery charge or claim.

A document is considered filed on the date it is officially received by the Commission. A filing, whether submitted electronically or on paper, that the Commission receives on a Saturday, Sunday, state holiday or after 5:00 p.m. on a business day will be treated as officially received the next business day.

The overriding requirement is that documents be legible. Use a font not less than 11 point or hand print in black ink and format for or print on 8-1/2 inch by 11 inch paper. Spreadsheets, graphs, maps and similar documents may have a font less than 11 point if the font is still legible.

Don't reduce documents formatted to print on paper larger than 8-1/2 inches by 11 inches before filing if doing so will make the substantive text, graphics or photographic material illegible. Instead, fold oversized paper documents to 8-1/2 inches by 11 inches before filing. Identify documents within electronic filings that are formatted to print on oversized paper and specify the proper paper sizes necessary to print legible copies of those documents.

Identify divisions in filings, whether filed electronically or on paper, by a cover page inserted at the beginning of each division indicating the name or title of that division. The name or title must be roughly centered vertically and horizontally on the page. Don't include other information on a cover page. Number the pages of electronic and paper documents at the bottom of each page in the form of "page x of y." Note that tariff sheets and Commission forms may require the use of alternative page formats.

Filing Guidelines for Electronic Documents

Submit all electronic filings to the Commission in portable document format (typically with a file extension of .pdf). These files are readable using the free and widely-available Adobe Acrobat Reader, as well as readers from other software vendors. All files must be text-searchable regardless of whether the document was scanned or produced directly from a native electronic file. Please convert documents directly from native format into portable document format, rather than scanning from paper, if possible. Please do not scan documents in color unless color is essential to the visual presentation of the information, such as certain kinds of graphs. Although the Commission's electronic filing system is capable of accepting very large files (up to 50 MB), during periods of high filing activity, large files may not reliably upload and may even impact system availability. To avoid these potential problems, we recommend using multiple smaller files (in the range of 10 MB maximum) rather than one large file.

Do not submit a document with security settings that prevent printing, copying or pasting of text from the document. In addition, the security settings on all electronic filings must allow the Commission to apply its electronic date-received stamp to the files.

If electronic filing consists of multiple files, include a letter that provides a description of the files and their organization within the filing. Please assign an easily-understandable name to each file and include a concise description of its contents. The first page of each file should also

include the docket or tariff number, the title of the docket or tariff proceeding (if a proceeding has been initiated) and the filing date.

Electronic file names should be 60 characters or less (including periods, spaces or other special characters). Furthermore, an electronic file name should contain only one period, which should appear immediately before the appropriate file extension (i.e., “.pdf”). When a filing is amended or revised, avoid using similar file names or reusing the same file name. Below are some sample electronic file descriptions and names.

- Filing Type: Tariff (Special Contract for XYZ Utility)

File Descriptions	File Names
Tariff Advice Letter 123-45	TA Letter 123-45.pdf
Appendix A Contract with ABC Co.	App A Contract.pdf
Appendix B Tariff Sheets	App B Tariff Sheets.pdf
Appendix C Graphs and Charts	App C Graphs and Charts.pdf

- Filing Type: Motion for Extension of Time by XYZ Utility

File Descriptions	File Names
XYZ Utility’s Motion for Extension of Time	Motion for Extension of Time.pdf
Memorandum in Support of Extension of Time	Memo Re: Motion for Extension of Time.pdf
Affidavit of John Doe	Affidavit John Doe.pdf
Proposed Order for Extension of Time	Proposed Order for Extension of Time.pdf

- Filing Type: Application for Certificate of Public Convenience & Necessity by XYZ Utility

File Descriptions	File Names
Application for CPCN	Application.pdf
Exhibit A Contract	Exh A Contract.pdf
Exhibit B List of Officers	Exh B List of Officers.pdf
Exhibit C Corporate Documents	Exh C Corporate Documents.pdf
Exhibit D Tariff Sheets	Exh D Tariff Sheets.pdf
Exhibit E Service Area Map	Exh E Service Area Map.pdf

Additional guidelines for filing electronic documents with the Commission:

- Documents should not include hidden data or hidden references.
- Do not use macros or scripts because they may change the content of a document after filing (i.e. auto-date macro) or render it unreadable.
- Do not include hyperlinks.

- Do not encrypt documents.
- Screen documents to ensure that they do not contain viruses, spyware, calls to external sources, or macros or scripts referencing information not included in the filing. This includes any script that may reference locations external to a document. If a document you file is found to contain any harmful code, you may lose permission to file documents with the Commission electronically.
- Use page headers and footers when appropriate.
- Do not use auto-date features.
- When filing numeric data and work papers showing calculations:
 - Include all calculations required by Commission regulation.
 - Use the same column headings for worksheets or tables whenever practical.
 - Include all formulas, scripts, macros and any sources they reference in calculation fields.
 - Use leading zeros, negative values displayed with “()” and a 1000 separator (,) whenever practical.

Filing Guidelines for Paper Documents

Paper filings may be delivered to the Commission either in person, by United States mail or a similar delivery service. The Commission’s office is located at 701 West 8th Avenue, Anchorage, Alaska 99501 and is open from 8:00 a.m. to 5:00 p.m., Monday through Friday, except on state holidays.

When filing documents on paper submit an original and five copies of each document, including one additional copy for each consolidated docket. Handwritten paper documents may be single-spaced; however, the text of paper documents that are typewritten or computer printed must be double-spaced, except for lengthy quotations (more than 50 words), which should be single-spaced and indented.

Fasten original paper filings of more than one page with a clip on the upper left-hand corner or wrap with a rubber band. Do not staple or bind originals; however, copies may be stapled or bound. Any process of reproduction may be used, though every copy must be clear and permanently legible.

Guidelines for Confidential Records

Any person wishing to protect from public disclosure a record filed with, served upon or otherwise made available to the Commission should be familiar with 3 AAC 48.040 and 3 AAC 48.045, which govern confidential records and the procedures to classify a record as confidential. Do not file confidential records electronically. All confidential records must be submitted on paper. The Commission will reject an electronic filing that plainly contains confidential information, but is not responsible for inadvertent public disclosure if confidential information is filed electronically.

If a confidential record is part of a filing that is to be made electronically, a placeholder page generally describing the confidential document should be inserted in the filing where the confidential document otherwise would be and must be filed with the Commission on paper, with a cover letter that includes the docket number for the corresponding electronic filing, and the title, filed date, and page reference of the electronic filing to which the confidential record pertains. An electronic filing with a placeholder page is not complete until the paper version of the confidential document is officially received by the Commission.

Any confidential record filed with the Commission must include a petition identifying the document to be protected and setting out good cause, including facts, reasons or other grounds, for the Commission to classify that record as confidential. The top of each page of a confidential record should include a stamped “confidential” marking. In addition, each confidential record should be filed in a separate sealed envelope that is clearly marked as “confidential.”

An original and five copies of each confidential record and its corresponding petition may be delivered to the Commission either in person, by United States mail or a similar delivery service. One additional copy of each confidential record and petition may be required in consolidated docket proceedings. The Commission’s office is located at 701 West 8th Avenue, Anchorage, Alaska 99501 and is open from 8:00 a.m. to 5:00 p.m., Monday through Friday, with the exception of state holidays.

Guidelines for Public Comments

Submit public comments through the Commission’s website at <http://rca.alaska.gov/RCAWeb/WhatsNew/PublicNoticesComments.aspx> or deliver comments on paper to the Commission’s office at 701 West 8th Avenue, Suite 300, Anchorage, Alaska 99501. The Commission’s office is open from 8:00 a.m. to 5:00 p.m., Monday through Friday, except for state holidays.

The Commission does not require entities or persons submitting public comments electronically to obtain a user name and password to its website. As a general rule, members of the public should not send the Commission personal information (such as a Social Security number, account number or other personally identifiable information) unless the form used for

submission indicates that such information is required or if staff specifically requests the information. Any personal information submitted in a public comment will be considered a public record.