

BASICS ON HOW TO FILE A DOCUMENT

There are two ways to file a document with the Commission. One is electronic filing; another is in paper form.

WHERE TO FILE A DOCUMENT?

- 1 For e-filing, you can access the e-filing system and instructions at: <https://www.cpuc.ca.gov/efile/>. You may file all types of documents via e-filing except confidential materials or testimony.
- 2 For paper filings, you can address the document to:
California Public Utilities Commission
Docket Office, Room 2001
505 Van Ness Avenue
San Francisco, CA 94102

ARE THERE FILING REQUIREMENTS?

Yes. Documents must meet various filing requirements in order to be accepted. These filing requirements are set forth in the Commission's Rules of Practice and Procedure (Rules), the Public Utilities Code, the Commission Decisions, and General Orders. These Rules, Codes, and General Orders are posted on the Commission website at

<https://www.cpuc.ca.gov/General.aspx?id=2062>.

You can search for a decision by entering the decision number (without punctuation) in the "Search" field on the website.

Generally, 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 Requirements:** 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 body text size must be no smaller than 12 points and footnote text type must be no smaller than 11 points. The impression must use 1½ -line or double spacing except footnotes and quotations. Please see Rule 1.5 for additional requirements.
 - b. Separate documents must be used to ask the Commission to take essentially different types of action. (See Rule 1.7)
 - c. **Signature(s):** 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. (See 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. Do not include a transmittal letter in the text for e-filing.

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3. **Certificate of Service:** A certificate of service must accompany each document filed with the Commission. Please see Rule 1.9(e) for what is required to be included in the certificate of service.
4. **Service List:** You may download a copy of the service list to a specific proceeding from the Docket Card for the proceeding, which can be found on the Commission website. (See Rules 1.9 and 1.10)

Below is a link to a sample document entitled Protest filed in 2005 which shows (1) the title page, (2) text, (3) Certificate of Service, and (4) Service List:

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

In order to make a successful filing, there are two additional matters 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 or file a document other than a motion for party status. 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 authorized by a Commission ruling of the Administrative Law Judge. However, there are jurisdictional deadlines that may not be extended.

IS THERE ANY ASSISTANCE TO THE PUBLIC FOR FIRST-TIME FILER?

Yes. If this is your first time to file a document, 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 1-866-849-8391 (Southern California).

OTHER FREQUENTLY ASKED FILING QUESTIONS:

- If a document is submitted for e-filing, does it require sending hard copies of the document to the Commission?
No, except that you must serve a paper copy of the document on the Administrative Law Judge in accordance with Rule 1.10(e). You should not send any paper copies to the Docket Office if you choose to file a document electronically.
- After serving a document to parties on the service list either by mail or email, does it mean that you have filed the document with the Commission?
No. Do not be confused with **service** of a document and **filing** of a document. A document must be reviewed and processed by the Docket Office before it can be accepted for filing. (Rule 1.13)
- For additional information, please visit the Docket Office General Frequently Asked Questions page on the Commission website, Practitioner's Page. There we provide more detailed information and instructions, such as how to file confidential materials. The link is at:
https://www.cpuc.ca.gov/uploadedFiles/CPUC_Public_Website/Content/About_Us/Practitioner_Information/DOCKET%20OFFICE%20GENERAL%20FREQUENTLY%20ASKED%20QUESTIONS.docx