Electronic Regulatory Filing System User Manual

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Introduction

The Public Service Commission of Wisconsin (PSC) created its Electronic Regulatory Filing (ERF) system to receive, circulate, process and publish documents electronically. ERF will reduce the time necessary to make decisions on proposed actions, increase public access to information in formal cases, and provide an easy and convenient way for utilities, consultants, applicants and other parties to participate in the agency's formal case process.

Filing requirements

- **Create an account.** Individual users must create an account by specifying their name, email address, logon id and password. Individual accounts can be created by clicking on the Create New Individual Account hyperlink from the ERF Login Page.

  Corporate accounts can only be created by the PSC's Records Management Unit (RMU). Entities must complete a Request Corporate Electronic Filing Account form and send it to RMU in order to initiate the process.

- **Acquire PDF creating software.** Filers will need a current copy of Adobe Acrobat (or other suitable software) to convert documents to the required portable document format (PDF). Microsoft Office (2007 and later) includes the ability to create a PDF file.

  See http://www.adobe.com to purchase or learn more about Adobe Acrobat.

- **Convert documents from native formats.** Documents should be converted from their native format, such as Word or Excel, directly to PDF by converting or printing to the PDF file format. ERF users must **avoid scanning** to the maximum extent feasible.

- **OCR documents, if scanning is necessary.** If scanning of a document is unavoidable, the document **must** be converted using Optical Character Recognition (OCR) to a text-searchable document. Examples of such software include Adobe Capture, OmniPage, ReadIris, and many others, including some freeware.

  Documents that are neither converted from native format nor converted using OCR software may be rejected by the PSC.

- **Internet connection and browser type**. A high speed internet connection is required for users uploading or downloading large files. Use of the current versions for either internet browsers, Microsoft Edge or Google Chrome, is required when accessing the ERF system because it utilizes specific technologies that may not be supported in other browsers.

Contacts

For questions or more information on ERF, contact:

PSC Records Management Unit 4822 Madison Yards Way P.O. Box 7854 Madison, Wisconsin 53707-7854	TTY: (608) 267-1479 Fax: (608) 266-3957 Email: PSCRecordsMail@wisconsin.gov

Features of the ERF System

1. **Account creation –** Users may create an individual account or they may file a corporate electronic filing account request with RMU.
2. **Authentication/Identification of users –** Users must enter a valid logon id and password before they can use the ERF system. A logon id and password is not required for user who want to search and view documents.
3. **Change user profile and password –** Once a user has logged into the ERF system updates can be made to the email address and password, for example.
4. **Uploading documents** – All documents are uploaded to the PSC's website using Secure Sockets Layer (SSL) technology. This encryption routine is accepted by all industries as a secure method of transmitting data.
5. **Subscribe/Search –** Users may request automatic notification of all new documents based on user specified criteria. When a new document is accepted, the system will generate an email with the document title and a link to the public document on the PSC's website for those with a subscription to the docket or utility.
6. **Check document activity status –** Users may view a listing of all pending, accepted and rejected documents which they have filed. Corporate accounts may view the status of all documents filed on their behalf.
7. **Quick search –** Users may view recently filed documents by docket, PSC Reference number or search through all documents filed within the last two days.
8. **Advance search –** Users may search the document repository by specifying one or more of the following criteria: utility/docket, case type, date range, document type, service type, and / or keyword / phrase. If a keyword or phrase is used, the document title and full text will be searched for the word or phrase.

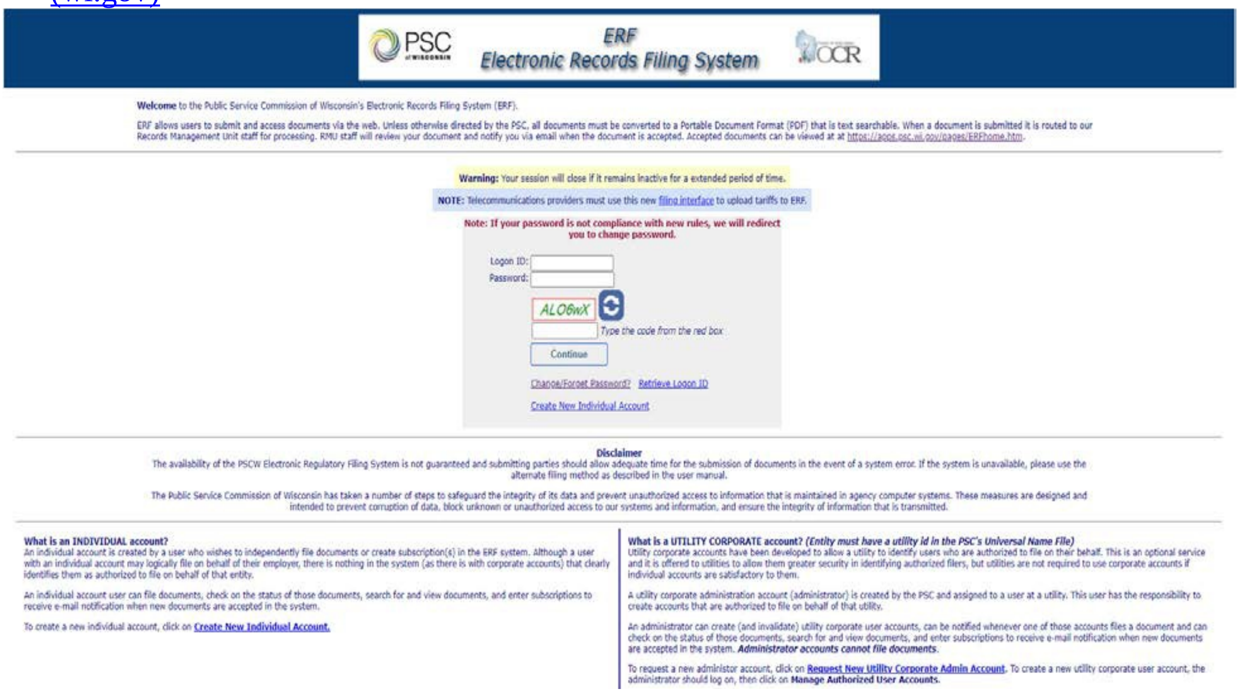
ERF system account and login instructions

To electronically submit documents using the ERF system, a user must have:

1. Software to convert the documents to PDF, like Adobe Acrobat.
2. High speed internet connection for uploading large files and the current versions for either internet browser, Microsoft Edge or Google Chrome.
3. Valid ERF user logon id and password.

Create an ERF account

1. Start at the ERF login webpage: [ERF - Electronic Records Filing System Upload (wi.gov)]



2. Click hyperlink to "**Create New Individual Account**"
   a. Type a user name and email address

   It is recommended that account names and associated email addresses are generic (AKA easily transferrable).

   b. Click "Send One Time Code" and replicate the code from the red box in the text box below it.
   c. Type in a logon id.
   d. Create and confirm a password that meets the password requirement criteria.
   e. Fill in mailing address information.
   f. Complete the reCAPTCHA prompt.
   g. Click Submit.

3. Click hyperlink to "**Request New Utility Corporate Admin Account**"
   a. Follow the instructions to complete the request form.
   b. Draft a cover letter with signature (printed on company letterhead) to send with the request form via fax or email to PSCRecordsMail@wisconsin.gov.

c. RMU staff will be in contact with the requester to confirm and process the request.
d. Upon account activation, the requester will receive an e-mail with the account name and password. At first login, the account password must be changed.

To log into the ERF system

1. Visit the PSC's website via link here: ERF - Electronic Records Filing System Upload (wi.gov)
2. Complete the log instructions with a valid user name and password.

General guidelines for preparing and uploading documents

1. In general, documents should be prepared using an easily readable font and, when printed, should fit on 8 ½ x 11-inch paper.

2. The PSC uses a time stamping program on all PDF uploads that come through ERF to apply an assigned reference number and the time/date the upload was made. This information is imprinted on the upper right horizontal and vertical corner of the document. **Please leave open space here for the stamp to be visible.**

3. When referencing physical items, such as a piece a pipe or a meter, the document should include a digital picture of the item. Pictures should be stored as a PDF.

4. All files must be submitted in PDF, except working spreadsheets which should be filed as an Excel document. **DO NOT scan any document that can be converted from the original file**. If scanning a document, use Adobe Capture to convert the scanned document to text.

5. Documents should be kept reasonably small, if possible. The size of the original document and subsequent PDF will depend on the number of pages and features, such as formatting, pictures and track changes included in the document.

General file size samples				
Pages	**File Type**	**Size**	**File Type**	**Size**
2 pages (text)	Word	23 KB	PDF	12 KB
24 pages (outline format)	Word	83 KB	PDF	49 KB
164 pages (text)	Word	1,121 KB	PDF	418 KB
1 sheet Excel	Excel	32 KB	PDF	9 KB

6. Keeping in mind the maximum document size (20MB or 20,000KB), users should group documents into logical units and combine those documents into a single filing. For example, a Brief with a cover letter and several attachments may all be combined into a single document. A confidential document and its corresponding Affidavit shall be combined into a single document.

   A general guideline is that if the pages would have been stapled together combine them electronically into a single document. **Note: Testimony and Exhibits have to be filed as individual documents.**

7. **Documents should not contain external hyperlinks**. Hyperlinks to other records within the ERF system is allowed. Please ensure the links work.

8. The official filing date of all electronic documents is the date and time the file is uploaded to ERF. The date and time that the filing is accepted or rejected will also be recorded.

9. The electronic document uploaded to the PSC's website is the official version of the record. DO NOT send a paper copy of the document to the PSC.

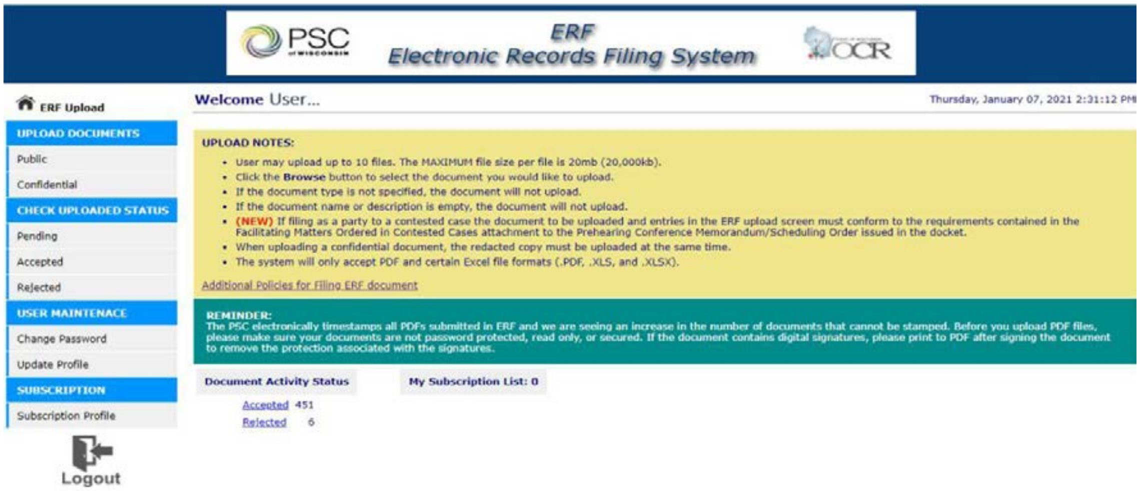
10. Confidential documents shall be filed electronically using the confidential document upload section of ERF. A redacted (public) version of the document is also required to be filed at the same time.

11. Service is the responsibility of the filing party. Parties should discuss service of document at the prehearing and agree on the method of service at that time (i.e. mail, electronic, hand delivery, etc.)

Uploading documents

Submit public documents for an existing docket

1. From the account homepage, under the UPLOAD DOCUMENTS section in the side menu, click Public.

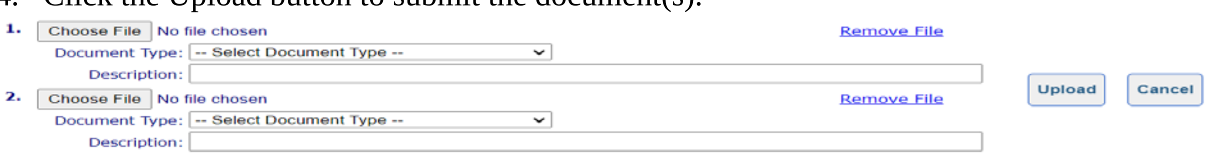


2. Choose the Existing Docket option.
    a. Type in docket ID, then **click the Check Docket button.**
        - If the docket ID is invalid, an error message will appear. Re-enter the docket ID and click Check Docket again.
        - If the docket ID is valid, the docket title will appear to correct the problem. Please verify the upload is going to the correct docket by reviewing the docket title.

3. Click Choose File to browse for document to be uploaded.
    - TIP: Save the PDF or Excel spreadsheet for uploading purposes to the computer desktop.

    a. Select the Document Type (definitions can be found in appendix A) from the drop down list.
    b. Type a meaningful description such as "Testimony-Jane Smith".
    c. Repeat these steps for each upload.

4. Click the Upload button to submit the document(s).

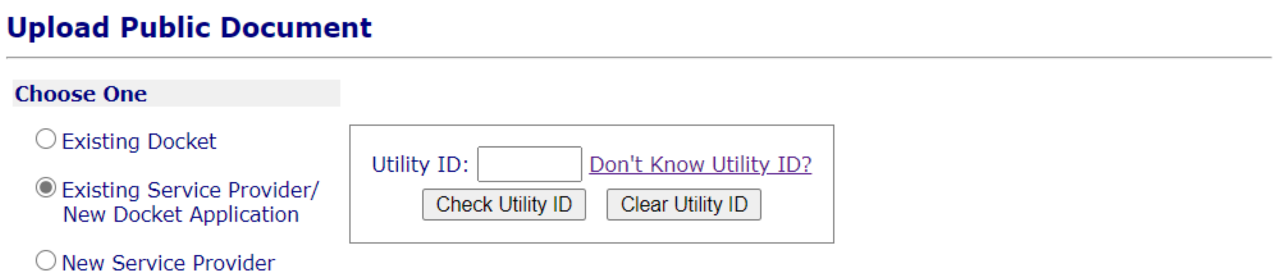


NOTE: If files are set to be uploaded with a total size larger than the maximum file size specified, an error message will pop up and all the information entered on the screen will be erased.

5. Review the Submission summary for errors. Print for recordkeeping purposes.

Submit public documents for an Existing Service Provider/New Docket Application

1. From the Upload Public Document page, choose the "Existing Service Provider/New Docket Application" option.
   a. Type in the Utility ID in the text box then click Check Utility ID (Clicking the "Don't Know Utility ID?" hyperlink will direct the webpage to the PSC's Universal Name File search feature.)
      - If the Utility ID is invalid, an error message will appear to correct the problem. Re-enter the Utility ID and click Check Utility ID again.
      - If the Utility ID is valid, the utility name will appear to the right of the box. Please verify the upload is going to the correct docket by reviewing the docket title.



2. Click Choose File to browse for document to be uploaded.

TIP: Save the PDF or Excel spreadsheet for uploading to the desktop.

   a. Select the Document Type (definitions can be found in appendix A) from the drop down list.
   b. Type a meaningful description, such as "Testimony-Jane Smith".
   c. Repeat these steps for each upload.

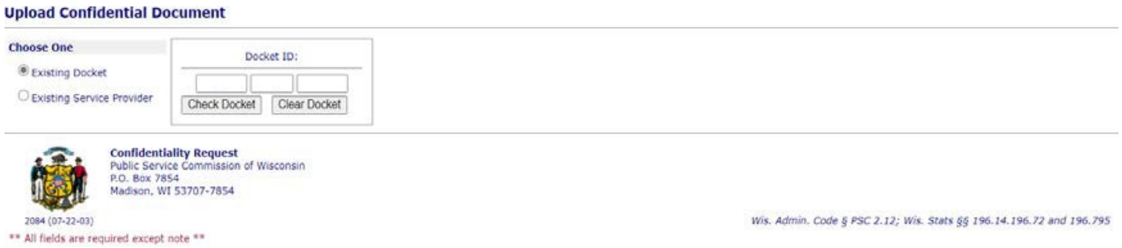
3. Click the "Upload" button to submit the document(s).

NOTE: If files are set to be uploaded with a total size larger than the maximum file size specified, an error message will pop up and all the information entered on the screen will be erased.

4. Review the Submission summary for errors. Print for recordkeeping purposes.

Submit confidential documents

1. From the Upload Confidential Document page, choose the Existing Docket or Existing Service Provider option.


Upload Confidential Document

Choose One
Existing Docket
Existing Service Provider

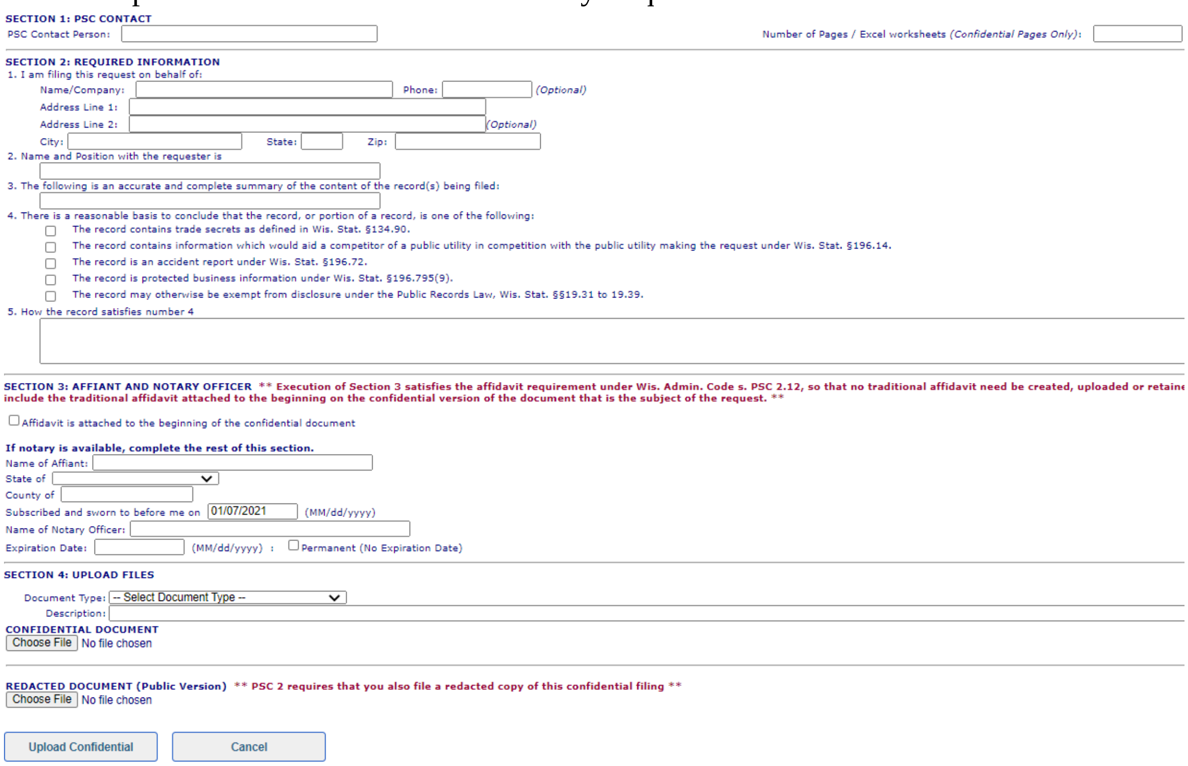
Docket ID:
Check Docket | Clear Docket

Confidentiality Request
Public Service Commission of Wisconsin
P.O. Box 7854
Madison, WI 53707-7854

2084 (07-22-03)
Wis. Admin. Code § PSC 2.12; Wis. Stats §§ 196.14.196.72 and 196.795
** All fields are required except note **

Type in docket or utility ID, then click the "Check Docket" or "Check Utility" button.
- If the docket ID or utility ID is invalid, an error message will appear to correct the problem. Re-enter the ID and recheck.
- If the docket ID or utility ID is valid, the title or utility name will appear to the right of the box. Please verify the upload is going to the correct docket by reviewing the docket title.

2. Complete each section of Confidentiality Request.


SECTION 1: PSC CONTACT
PSC Contact Person:
Number of Pages / Excel worksheets *(Confidential Pages Only)*:

SECTION 2: REQUIRED INFORMATION
1. I am filing this request on behalf of:
Name/Company: Phone: *(Optional)*
Address Line 1:
Address Line 2: *(Optional)*
City: State: Zip:
2. Name and Position with the requester is
3. The following is an accurate and complete summary of the content of the record(s) being filed:
4. There is a reasonable basis to conclude that the record, or portion of a record, is one of the following:
- The record contains trade secrets as defined in Wis. Stat. §134.90.
- The record contains information which would aid a competitor of a public utility in competition with the public utility making the request under Wis. Stat. §196.14.
- The record is an accident report under Wis. Stat. §196.72.
- The record is protected business information under Wis. Stat. §196.795(9).
- The record may otherwise be exempt from disclosure under the Public Records Law, Wis. Stat. §§19.31 to 19.39.

5. How the record satisfies number 4

SECTION 3: AFFIANT AND NOTARY OFFICER ** Execution of Section 3 satisfies the affidavit requirement under Wis. Admin. Code s. PSC 2.12, so that no traditional affidavit need be created, uploaded or retaine include the traditional affidavit attached to the beginning on the confidential version of the document that is the subject of the request. **

Affidavit is attached to the beginning of the confidential document

If notary is available, complete the rest of this section.
Name of Affiant:
State of
County of
Subscribed and sworn to before me on 01/07/2021 (MM/dd/yyyy)
Name of Notary Officer:
Expiration Date: (MM/dd/yyyy) : Permanent (No Expiration Date)

SECTION 4: UPLOAD FILES
Document Type: -- Select Document Type --
Description:
CONFIDENTIAL DOCUMENT
Choose File No file chosen

REDACTED DOCUMENT (Public Version) ** PSC 2 requires that you also file a redacted copy of this confidential filing **
Choose File No file chosen

Upload Confidential | Cancel

- Section 1: PSC Contact
  - Enter in the case coordinator's name on the docket or PSC staff's name requesting the information.
- Section 2: Required Information
  - Fill in all text fields and check applicable boxes.
- Section 3: Affiant and Notary Officer
  - Fill out this section only in lieu of attaching an affidavit to the confidential document.

  - If the affidavit is attached to the upload, indicate so in this section by marking the checkbox.
  - If attaching the affidavit to the upload, place it at the beginning of the confidential upload only.
  - When filing a confidential spreadsheet, the first worksheet should contain an embedded affidavit in PDF format.
- Section 4: Upload Files

  When filing a confidential document with the PSC, users are required, where there are portions of the document that do not require confidential handling, to file a separate public copy of the document with the confidential material redacted out.
  - Select the Document Type (definitions can be found in appendix A) from the drop down list.
  - Type a meaningful description such as “Confidential Testimony-Jane Smith”.
  - Click “Choose File” to browse for the confidential document.
  - Click “Choose File” to browse for the redacted copy version of confidential document. The description that is entered for the confidential document will automatically be added for the redacted (public) copy, with the addition of this text “(REDACTED COPY)” at the end of the description field.

3. Click the “Upload Confidential” button to submit the document.

4. Review the Submission report summary for errors. Print for recordkeeping purposes.

How to file a confidential disc

Discs may be submitted to the PSC when confidential information and critical energy infrastructure information (CEII) needs to be provided. All discs are stored in a locked cabinet at the PSC's office, with restricted access, for the applicable retention period.

- Log into ERF or create a new individual user account.
- Click "Confidential" in the Upload Documents section from the left sidebar menu.
- Check the existing docket ID or existing service provider utility ID to ensure correct filing.
- Read through the Confidentiality Request and complete each section.
  - **Please include notation in document description that you are submitting a disc and if the disc contains Critical Energy Infrastructure Information (CEII).**
  - **Print the completed Confidentiality Request webpage prior to clicking "UPLOAD". This printed page will need to accompany the disc sent to the PSC.**
- Click "Upload". The e-filing will remain in queue until the physical disc is received at the PSC office.
- Send printed Confidentiality Request page and disc to:

  PUBLIC SERVICE COMMISSION OF WISCONSIN
  4822 MADISON YARDS WAY
  MADISON WI 53707-7854

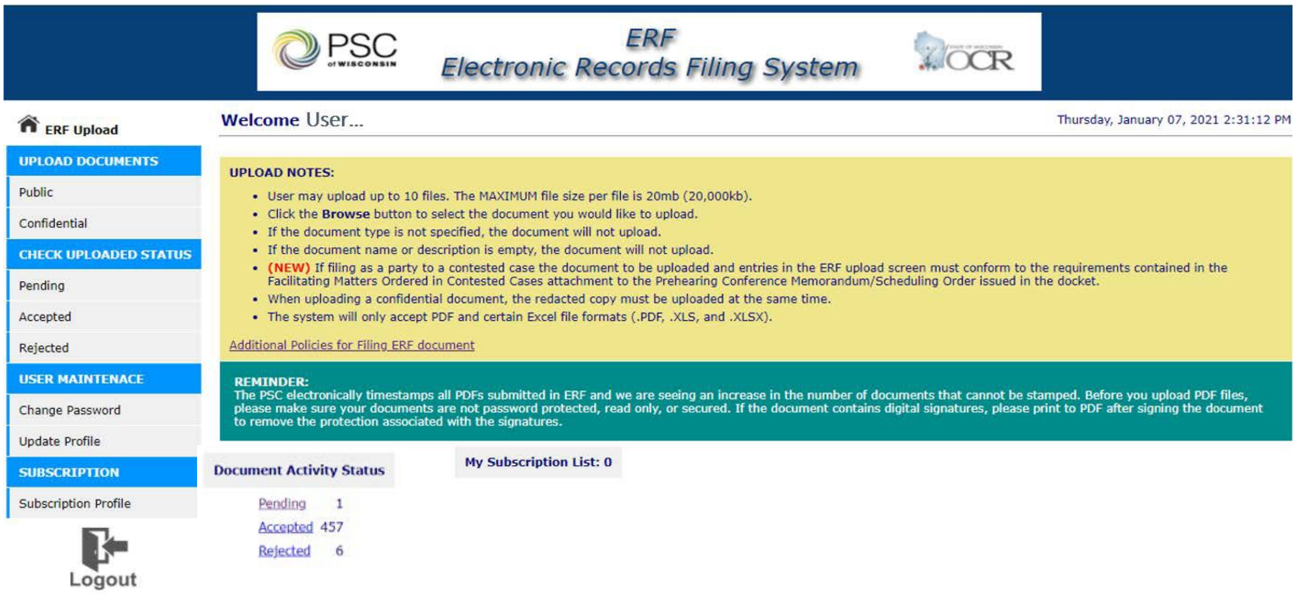
- Once the disc is received, RMU will process the disc and the corresponding ERF upload. The filer will received an automated email from PSCRecordsMail@wisconsin.gov as acceptance / confirmation.

Check document activity status

Once the document is submitted, the document activity status will be changed to pending. Pending means that the document has been received by the PSC and awaits processing.

RMU staff will review the uploaded document(s) and approve or reject them. When uploads are processed, the filer will be notified via email. The email will include the document name, type, description, received date, etc... If the filing was rejected, the rejection reason will be included in the email.

1. ERF users may check on the status of their filings by clicking on the Accepted, Pending, or Rejected hyperlinks under Documents Activity Status in their account.

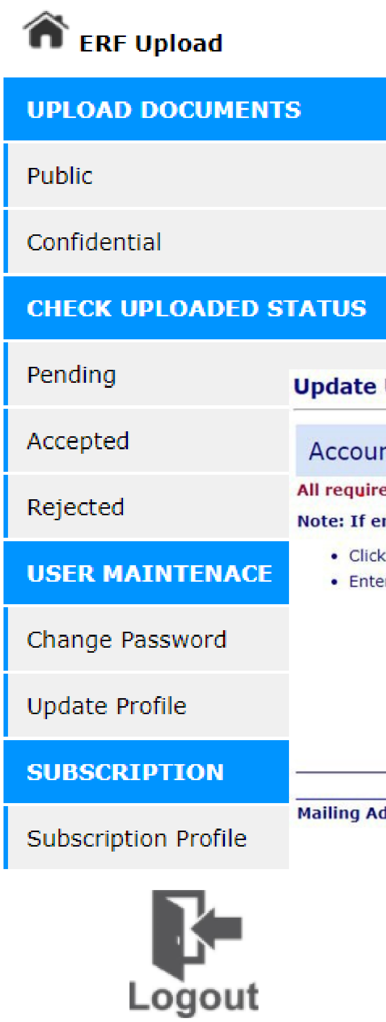


2. Clicking one of the hyperlinks will produce a list of document details for each status type. If a document has been rejected, the reason for rejection is also listed among the details.

   Users are encouraged to use this screen to check on the status of their documents. The status of the document(s) is updated in real time.

Update user profile

Users may change their profile information by clicking on the Update Profile feature under the User Maintenance section from the side menu.

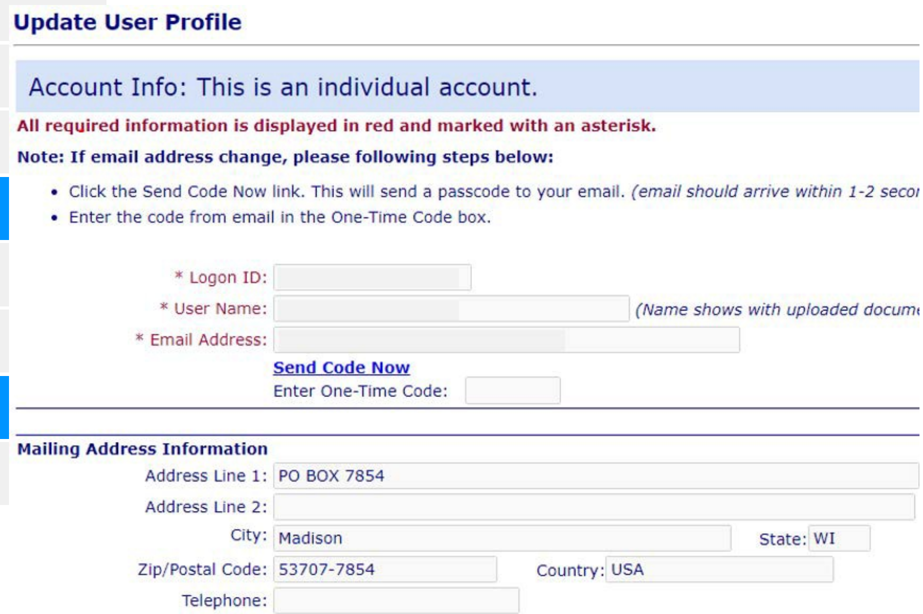


To change the individual account information:

1. Enter all the required fields and retrieve the one-time code to type in the text box.

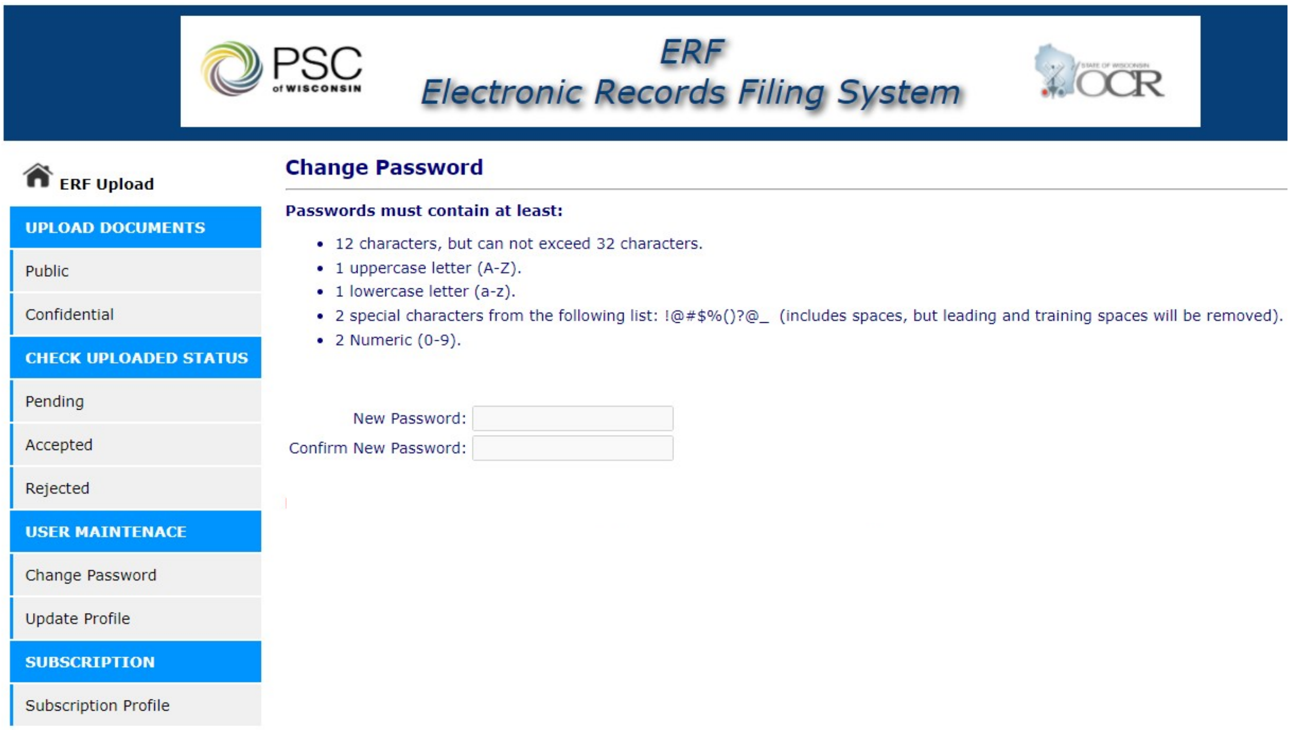
2. Type in all pertinent optional fields to be updated.

3. Click the Update User Info button to save the changes. (A message will appear above the buttons to indicate that the information has been updated.)



Change password

1. Users may change their password by clicking Change Password under the User Maintenance section from the side menu.
2. Read through the password requirements criteria and type a new password in both the New Password and Confirm Password text boxes.
    - TIP: Type password in notepad or word document to ensure the password meets the requirements. Then copy and paste the password into the text boxes.
3. Click Submit to save the password.



Subscriptions

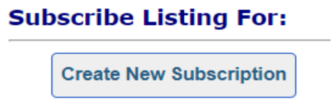
Create new subscription

By subscribing to a list, an ERF user can receive automated email notifications whenever a record is accepted that meets the specified criteria of the subscription. For example, a user may create a subscription relating to a certain docket ID or a specific document type (such as a testimony or motion).

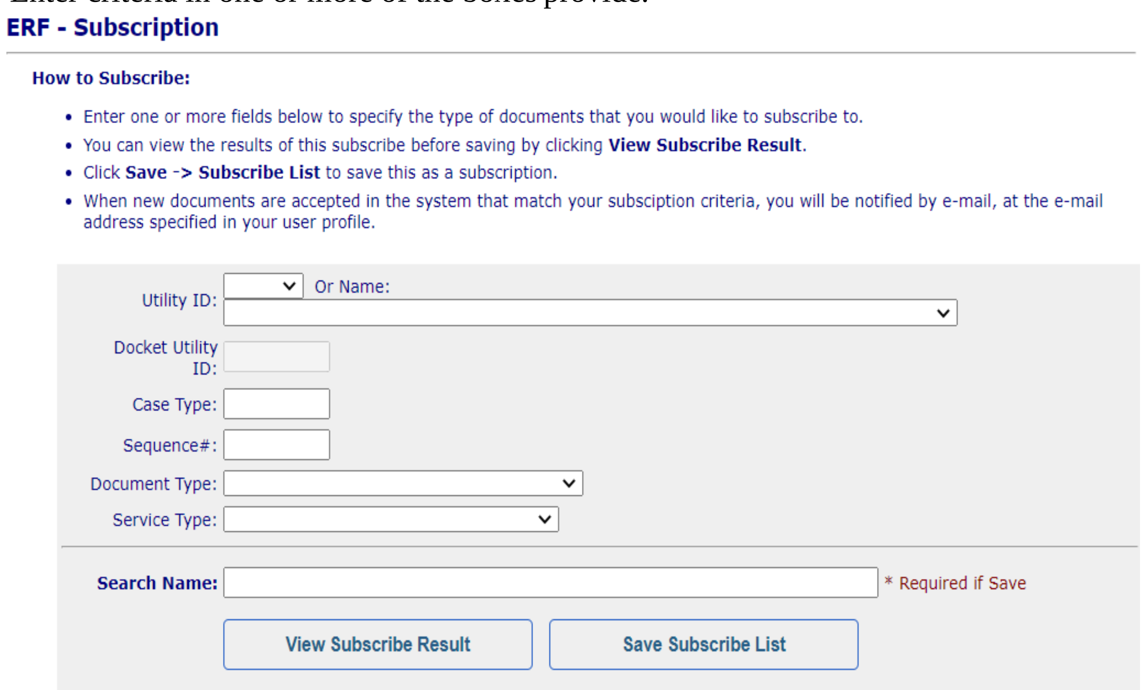
Subscription List notifications will be run a set times during the day by an automated process. One email will be sent for each subscription if there are new documents that match those subscriptions.

1. After logging into ERF, users may subscribe to a search list by clicking Subscription Profile under the Subscription section on the side menu.

2. To add a new subscription, click Create New Subscription.



3. Enter criteria in one or more of the boxes provide.



4. To view the results, click View Subscribe Result. The information entered will be displayed below the buttons.

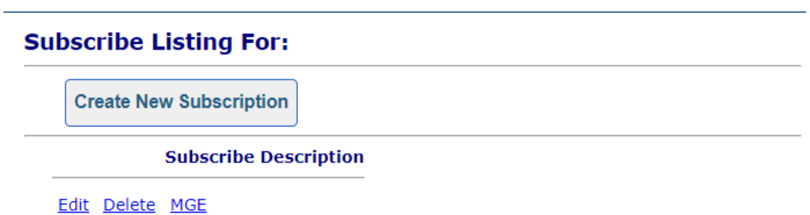
5. To save the subscription: enter a name and then click the Save Subscribe List.

There are specific combinations of criteria that are allowed:

- Utility ID only (*e.g.*, all documents for WEPCO)
- Utility ID and case type (*e.g.*, all “TI” case documents for Wisconsin Bell)
- Case type only (*e.g.*, any and all “TI” case documents)
- Full docket number (Utility ID, Case Type and Sequence # (*e.g.*, all documents for a specified docket)
- Docket number and document type (*e.g.*, all Correspondence for a specific docket)
- Utility ID and document type (*e.g.*, all Reply Briefs for a specific utility)
- Document type only (*e.g.*, all Orders)
- Utility ID and case type and document type (*e.g.*, all Orders for Wisconsin Bell “TI” cases)
- Industry type (*e.g.*, all Telecommunications filings)
- Document type and industry type (*e.g.*, all Orders for the electric industry)
- Case type and document type and industry type (*e.g.*, all Orders for electric industry “CE” cases)
- Case type and industry type (*e.g.*, all “CE” case documents for the electric industry)

Edit a subscription

1. Users may edit a subscription under Subscription Profile then click Edit in front of a subscription name.



2. Modify the search criteria.
3. To view the search results, click the View Subscribe Result button. The information returned will be displayed below the buttons.
4. Click the Save Subscribe List button.

Delete a subscription

Users may delete a search list by clicking the delete button in front of the subscription name.

Run a subscription

Users may run a subscription by clicking on the subscription name.

Corporate Accounts

Corporate accounts function in a managerial way with the ability to view the status of documents uploaded to ERF on their behalf, add or edit authorized users, edit account settings and create subscriptions.

Check Document Activity Status

1. Corporate Accounts may check on the status of all documents that have been filed on their behalf by clicking on the Check Document Activity Status link.
2. The document status screen will list the pending, accepted, and rejected documents. If a document is rejected the reason for rejection is also listed on this screen.

   Users are encouraged to use this screen to check on the status of their documents. The status of the documents is updated in real time as the documents are processed.

User Maintenance

1. Corporate account may add accounts or change authorized user account activity status by clicking Authorized User Accounts on the side menu.
2. To add a new user account, enter a unique Logon ID for the new account. Set the Active User indicatory to Y-Yes or N-No then click the Add New User button.
3. To change the status on an account, click Edit in front of the account to be changed.
   - Change the Active Use indicator to Y (activate account) or N (inactivate account)
   - Click Update to save change or Cancel to ignore the change

   NOTE: Accounts can be made inactive but they cannot be deleted because the account information is stored with every document that is submitted using this system.

Change admin password

1. Users may change their password by clicking on the Change Password link.
2. Enter the new password in both the New Password and Confirm Password boxes.
3. Click Submit to save the password.

Update Admin Profile

1. Corporate accounts may change their profile information by clicking on the Modify Admin Profile link.
2. To change the account information:
   - Enter all the required fields, and all pertinent optional fields.
   - Click the Update User Info button to save the changes. (A message will appear above the buttons to indicate that the information has been updated.)
3. Click the Back to Menu button to return to the menu.

   *Subscription instructions are same as those for individual ERF account. Please previous section.

Appendix A - document type definitions

ALJ Order	(Commission Staff only) An Order issued by the Administrative Law Judge.
Application	A request to open a docket to issue or amend a certificate, license, permit or any other approval, authorization, or
Brief	A written argument of law and fact on the merits of a proceeding filed by a party to the proceeding. This category includes initial briefs.
Briefing Memorandum	(Commission Staff only) A memorandum that delineates and describes various issues, alleged facts, and alternatives associated with a docket produced to assist the decision maker in review the record.
Comments	Information or assertions of any outside person or organization regarding a particular Commission docket or action filed by invitation of the Commission.
Confidentiality Determination	(Commission Staff only) A decision made on a request for confidential handling treatment.
Contract	An agreement between two or more parties which, if it contains the elements of a valid legal agreement, is enforceable by law or by binding arbitration.
Correspondence	Any filing that does not fit into any other category. Except correspondence that relates to a filing that fits into another category. This should be filed using that other category or combined into the same filing as the other document. For example, do not file, separately as correspondence, a cover letter to a document that fits into another category. Instead, if a filing must include a cover letter, merge the cover letter and the other document together and file using the other document's document type.
Data Request / Response	A request by the Commission to any person to produce information, and the response to that request. In a proceeding, this document type also includes responses to discovery between parties.
Decision Matrix	(Commission Staff only) A table that delineates and describes various issues, alleged facts, and alternatives associated with a docket produced to assist the decision maker in the review

Environmental Review	(Commission Staff only) A document produced to implement the Commission's duties under Wis. Stat. § 1.11, such as; letters with respect to scoping, preliminary determination, notice of availability, no significant impact; EA; Draft EIS; and Final EIS.
Exhibit - Offered	A document introduced by a party to a proceeding or Commission staff as an exhibit in that proceeding. This includes exhibits introduced by Motion.
Exhibit - Received	(Commission Staff only) An Offered Exhibit received into the record of a proceeding at the direction of the Administrative Law Judge or the Commission.
Mailing / Service List	A list of all individuals who were served an official record.
Memorandum	A document typically used for communication within an organization, designating something to be noticed, remembered, or acted upon. For example, a Commission Agenda Memo and a Commission Information Memo.
Minutes	(Commission Staff only) The written record of the Commission's Open Meetings kept by the Secretary of the Commission.
Motion	A request by a party to a proceeding for some specific relief in that proceeding and all other filings that the request generates, such as cover letters, briefs, stipulations and affidavits. File an exhibit introduced through a Motion as an "Exhibit-Offered" separate from the Motion and verifying affidavit.
Notice	(Commission Staff only) A document that opens a docket, or informs parties to a proceeding and the public of actions or events the Commission may take that may affect their rights, obligations or duties, or both.
Order	(Commission Staff only) The document outlining the directives and decisions made by the PSC in a docketed case.
Petition	A written request to the commission, other than an application or complaint, to open a docketed case or take official action.
Reply Brief	A brief filed in response to a previously filed brief.
Report	A document that describes the methodology, and result of an experiment, investigation, or inquiry. This includes compliance filings.
Request for Intervention	A request by a person to become a party in a docket.
Tariffs	(Commission Staff only) An open contract between a utility service provider and the public, filed with a regulating body such as the PSC. Such tariffs outline the terms and conditions of providing utility service to the public including rates, fees, and charges. This category includes the tariff acknowledgement letters from PSC staff.

Telecommunication Affiliated Interest	(Commission Staff only) Any documents filed in relation to affiliated interest agreements as defined by Wis. Stat.§ 196.52, which are negotiated between telecommunications organizations.
Testimony – Offered	A document introduced by a party to a proceeding or Commission staff as written testimony in that proceeding.
Testimony – Received	(Commission Staff only) Testimony – Offered received into the record of a proceeding at the direction of the Administrative Law Judge or the Commission.
Transcript	(Commission Staff only) A written record of oral proceedings before the Commission or taken in connection with a docket.
Unacceptable Filing	(Commission Staff only) An ERF filing no longer accessible to ERF users because it erroneously released to the public information the Commission determined to be confidential.

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