

Electronic Case Filing STATE CORPORATION COMMISSION

User Guide for e-Filing Documents in Cases Before the State Corporation Commission

Revised January 2021

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About the Virginia SCC Electronic Case Filing System

Since April 2002, the Virginia State Corporation Commission (SCC) has electronically scanned all hard copy public documents related to SCC proceedings. This internal process has allowed all case- related documents to be accessible to the public for viewing, printing, or downloading via the Docket Search feature of the SCC website: https://www.scc.virginia.gov/DocketSearch/

Since January 2001, the SCC has sponsored electronic filing for SCC case-related proceedings.

Initially limiting submissions to 20 pages, in January 2008, the Commission entered a final order in case number CLK-2007-00005 allowing electronic filing of documents of up to 100 pages for the convenience of all case participants.

The COVID-19 pandemic prompted modification again in 2020, and the current standard for electronic filing is now up to 250 pages (not to exceed 10MB).

Electronic filing is not mandatory. However, the Commission strongly encourages it as allowed per the SCC's Rules of Practice and Procedure

This User Guide describes how to electronically file documents in cases before the SCC. The specific guidelines for e-Filing are explained in Part II of this manual.

You are strongly encouraged to thoroughly review the entire manual. The following are key highlights to remember.

SCC e-Filing Highlights

- Approximately 95 percent of all documents filed in SCC cases are 250 pages or less.
 The size of such documents is readily manageable in an electronic form and can be conveniently printed, as needed.
- Only the most complex applications, pre-filed testimony, and exhibits exceed 250 pages. Because of their size, hard copies of such (and the required 15 copies) must continue to be filed directly with the SCC's Document Control Center.
- Any person wishing to take advantage of this feature is required to submit a signed, filing authorization form. The form can be found on the SCC website at: https://www.scc.virginia.gov/clk/efiling/
- For all electronic submissions, the person signing any document must be identified as the filer regardless of who submits the filing on behalf of the filer.
- Any electronic submission must be sent as one file in Portable Document Format (PDF). This ensures that the electronic document file can be printed as a paper document without loss of content or appearance.
- The Commission shall accept no responsibility for inadvertent display of filings intended for restricted audience. Any confidential document to be filed under seal may be submitted on USB (universal serial bus) flash drive directly with the Document Control Center.
- As an incentive to use e-filing, submissions filed electronically are exempt from the Commission's hard copy requirements. Submissions filed electronically that otherwise would incorporate large exhibits impractical for conversion to electronic format must be identified in the filing and include a statement that the exhibit has been filed in hardcopy and is available from the SCC or the filing party. Each such exhibit must be filed in original and 15 copies.
- Electronic filings may be submitted at any time and will be deemed filed on the date
 and at the time the electronic document is received by the SCC's database. If a
 document is received when the Clerk's Office is not open for public business, the
 document shall be deemed filed on the next regular business day.
- Documents successfully submitted electronically to the SCC will generate an e-mail acknowledgement to the filer indicating receipt.

- An electronic submission can be rejected by the Document Control Center if it is not properly identified or does not comply with all formatting requirements. The filer will be notified of any rejection.
- Any correction or modification to an electronic filing already submitted and accepted will require a new, revised filing with the SCC. Previously submitted filing(s) cannot be substituted or replaced. Instead, both the original and revised filings will be posted in the order of receipt.
- The filer is responsible for any delay, disruption, or interruption of the electronic submission and accepts the full risk that a document may not be properly filed as a result.
- The filing party is responsible for serving the document in accordance with applicable rules and orders, including service on the appropriate SCC attorney. If any party indicates a preference, it is permissible to provide such documents electronically.
- In the event the electronic filing procedure is not a convenient method for submitting an electronic version of a document with the SCC, the Document Control Center will accept a USB flash drive.
 - With any flash drive submission, the hardware must be accompanied by clear labeling to include the case number, the name of the filing party, a brief description of the document on the drive, the number of pages, and any special instructions. If the flash drive contains a filing that exceeds 250 pages, the filer must still provide an original and 15 copies per the SCC's Rules of Practice and Procedure.

Electronic Filing Overview

There are four steps that must be taken prior to using the SCC's Electronic Case Filing System.

- 1. Obtain a copy of the User Guide from the SCC website and review its contents. The guide is available on the SCC website at: https://www.scc.virginia.gov/clk/efiling/
- 2. Complete and submit the SCC's e-filing authorization form. The form can be accessed from the SCC website at: https://www.scc.virginia.gov/clk/efiling/
- 3. Upon receipt of the authorization form, the SCC will send a confirmation e-mail by which the user may log in to the system and create a personal password. (The password must be at least 8 characters and include at least one uppercase letter, one number and one special character.)
- 4. Obtain Adobe Acrobat software (preferably the latest version) to convert your documents to the required portable document format (PDF). See http://www.adobe.com to learn more about the Acrobat software.

For questions or additional information on the SCC's Electronic Case Filing system, contact:

Division of Information Resources (804) 371-9141

or

Document Control Center Clerk's Office (804) 371-9838

Part I – Getting Started

A. How Do I Begin?

Complete and sign the SCC Electronic Filing Authorization from the SCC website at: https://www.scc.virginia.gov/clk/efiling/

By submitting the authorization form, you agree to abide by the SCC's Electronic Document Filing rules and guidelines. Further, you agree that your e-mail address and personal filer password shall serve as and constitute your signature for all purposes with respect to any document that you submit or authorize to be submitted electronically.

For all electronic submissions, the person signing any document must be identified as the filer regardless of who submits the filing on behalf of the filer.

The signed authorization form must be delivered to the Document Control Center of the Clerk's Office. The Clerk's Office must have the authorization on file to fulfill the requirements of 5 VAC 5-20-20 of the SCC's Rules of Practice and Procedure (https://www.scc.virginia.gov/pages/Rules-of-Practice-and-Procedure).

Once the Document Control Center receives an authorization form, the SCC will notify the authorized filer by e-mail that an e-Filing account has been created. The e-mail will contain a link to allow the authorized filer to log into the account for the first time.

Dear eFiling User,

As a result of submitting the eFiling Authorization form with the Clerk's Office of the Virginia State Corporation Commission, a new eFiling account has been created for you

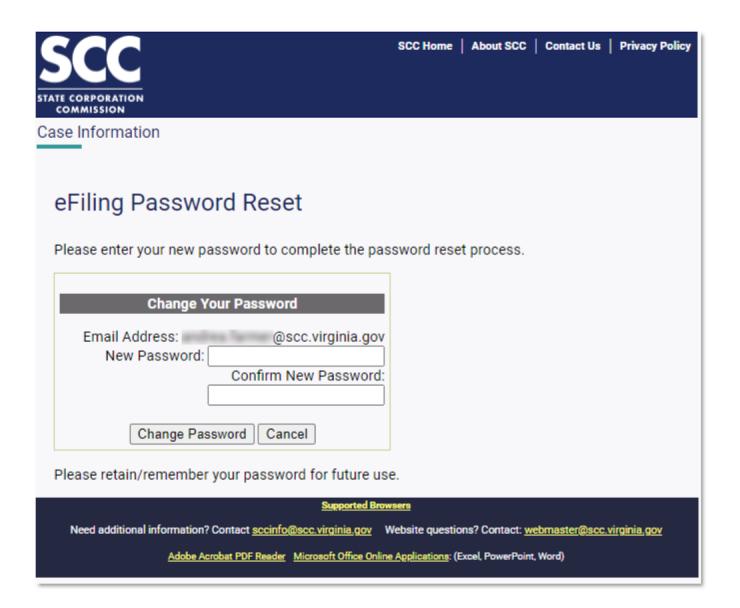
Please use the following link http://www.scc.virginia.gov.efilingpublic/ResetPassword.aspx?
id=YQBuAGOAcgBlAGEALgBmAGEAcgBtAGUAcgBAAHMAYwBjAC4AdgBpAHIAZwBpAG4AaQBhAC4AZwBvAHYAfAC%
2fOrJEYRook?txVsWmoD51x5d4gA%3d463d to log into your account for the first time. The password link will expire in 72 hours.

After logging into the SCC eFiling Website for the first time, you will be prompted to enter a new password (you need to enter this twice). Please retain your new password for future use.

Once you have entered your new password and logged into the system, please review your account information to ensure its accuracy.

Please print this email to retain it for your records.

Upon accessing the system, the authorized filer will be prompted to create a new password (to be entered twice for confirmation). The password must be at least 8 characters in length, include at least one uppercase letter, one number, and one special character.



Select CHANGE PASSWORD to initially log into the system. The CANCEL button will clear any password entry and you can try again.

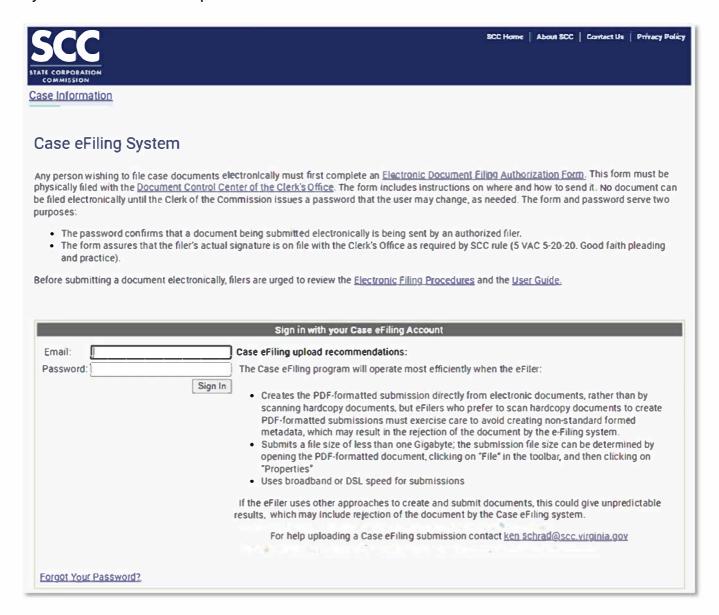
Once logged in, review account information to ensure accuracy of the information. Select Account Information to access this screen; complete/correct any missing or inaccurate information.

| SCC | | SCC Home About SCC Contact Us Privacy Policy | | |
|---|-------------------------------------|--|--|--|
| STATE CORPORATION | | | | |
| Case information | | | | |
| Home Submit A Document Account Information Change Password User Guide Log Off | | | | |
| | | | | |
| Authorized e-Filer Information | | | | |
| The following information was derived from the filer authorization form previously submitted to the Clerk's Office. You are encouraged to update this information as necessary. | | | | |
| The boxes marked with an * must contain the required information. | | | | |
| Filer's Name | SCC User | *(Required) | | |
| Filer's Phone # | 555-555-5555 | *(Required) | | |
| Filer's Fax # | 555-555-4444 | | | |
| Filer's E-mail Address | @scc.virginia.gov | update | | |
| Filer's Mailing Address | P.O. Box 1197 Richmond, VA 23218 | | | |
| | KICIMONO, VA 25216 | | | |
| | | | | |
| | | * (Required) | | |
| Filer's Law Firm, Company or Organization | SCC | * (Required) | | |
| Filer's Law Firm, Company or Organization Mailing Address | P.O. Box 1197 | | | |
| | Richmond, VA 23218 | | | |
| | | | | |
| | | | | |
| Filer's Law Firm, Company or Organization Phone # | 555-555-3333 | | | |
| Filer's Law Firm, Company or Organization Fax # | 555-555-2222 | | | |
| Filer's Law Firm, Company or Organization Web Address | scc.virginia.gov | | | |
| Save Reset | | | | |
| To change your password click here. | | | | |
| To change your password click here. Seconted Browners | | | | |
| Need additional information? Contact accinfo@acc.virginia.gov Website questions? Contact: <u>webmaster@acc.virginia.gov</u> | | | | |
| Adole Acrobet POF Reader Microsoft Office Online Applications: (Excel PowerPoint, Word) | | | | |
| | | · | | |

B. How Do I File a PDF File on the SCC Web Site?

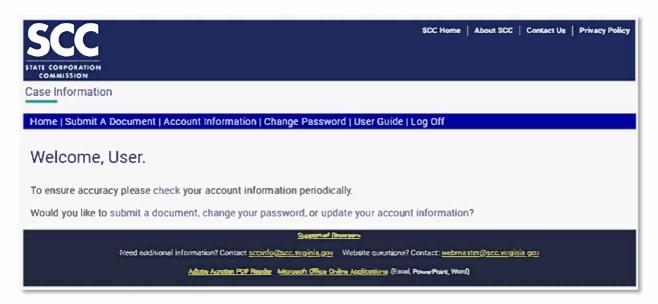
- 1. Go to the SCC website at https://www.scc.virginia.gov
- 2. Select the link to Case Information https://www.scc.virginia.gov/pages/Case-Information
- 3. Select the link to Electronic Filing https://www.scc.virginia.gov/clk/efiling/

Your computer screen will display the following and you will be prompted to log in by entering your e-mail address and password:

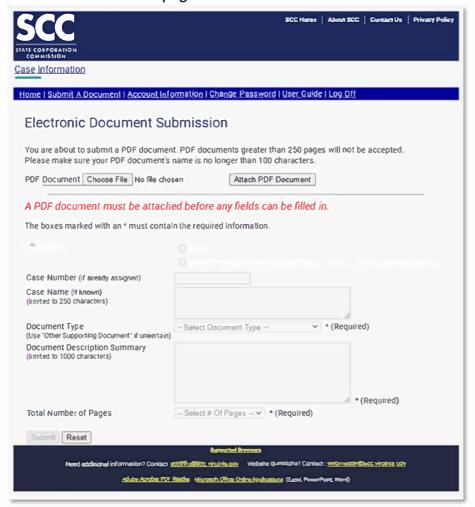


Once the information is entered, select SIGN IN.

Your computer screen will display a Welcome page

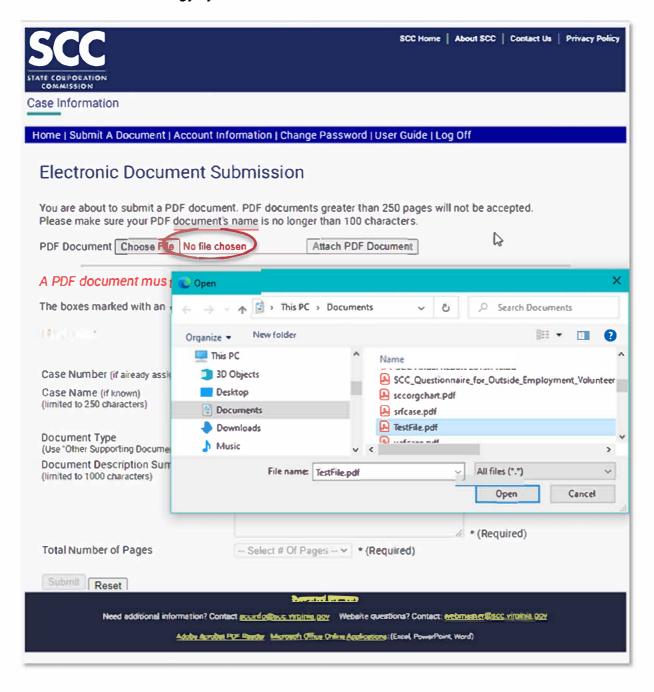


Select the link to SUBMIT A DOCUMENT. Your computer screen will now display the Document Submission page.



The form fields cannot be completed until the PDF file intended for submission is designated.

Step 1 – Select CHOOSE FILE to navigate to the PDF file on your computer in whichever drive (C:, D:, U:, etc.) it may be stored. This configuration may depend on your own computer system or that of the firm or organization that operates your information technology system.



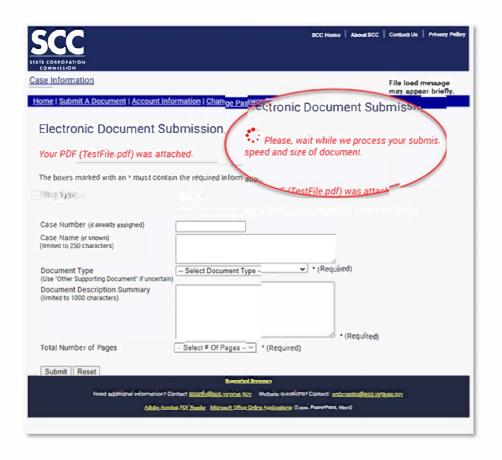
Step 2 – choose the correct file and select OPEN

Upon the OPEN selection, the designated file will automatically transfer, and the name of the file will display next to the text box.



Once you are certain it is the correct file, select ATTACH PDF DOCUMENT.

A new page will display on your monitor indicating the (filename) of the attached file, and the form fields will accept input. (You may experience a short delay while the file loads.)



Step 3: The form fields are now active; enter the information as indicated.

The Case Number (if already assigned).
 This number is assigned by the Clerk's Office the first time it receives any new application, petition, motion, complaint, or pleading. The typical format is 'area'

-'year' - 'number' (assigned by the Clerk): CLK-2021-00005

Areas:

CLK – Cases involving Office of the Clerk

BFI - Cases involving Financial Institutions

INS - Cases involving Insurance

PUR – Cases involving Public Utilities (Communications, Energy, Water/Sewer)

SRF - Cases involving Securities

URS - Cases involving Utility & Railroad Safety

• The Case Name (if known).

This is typically how an SCC case is styled.

APPLICATION OF HIGHLAND NEW WIND DEVELOPMENT, LLC

For Approval to Construct, Own and Operate an Electric Generation Facility in Highland County, Virginia pursuant to §§ 56-46.1 and 56-580 D of the Code of Virginia

The Document Type (required).

A dropdown menu is available for selecting the type which most accurately represents the document. Simply scroll down the list until you find the proper document type; double click to automatically populate this field.

• **Document Description Summary** (required)

This is a brief description of the document being submitted. Limited to 1,000 characters, it may be the same as the paragraph that describes the document in any cover letter that accompanies the filing. This same summary will appear as the description on the SCC website and on the Daily Document Log Report prepared by the SCC's Document Control Center.

Sample Entry:

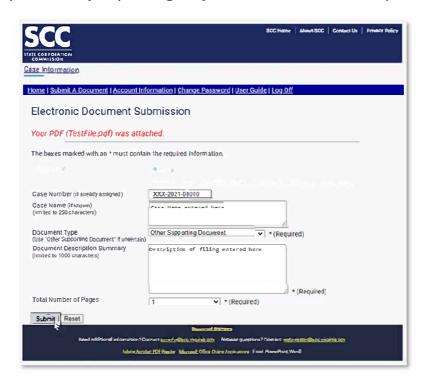
Hearing Examiner Recommends The SCC Enter An Order That: Adopts The Findings Set Forth Above; 2) Approves The Stipulation; And 3) Dismisses This Case From The SCC's Docket Of Active Cases And Passes The Papers Herein To The File For Ended Causes.

• Total Number of Pages (required)

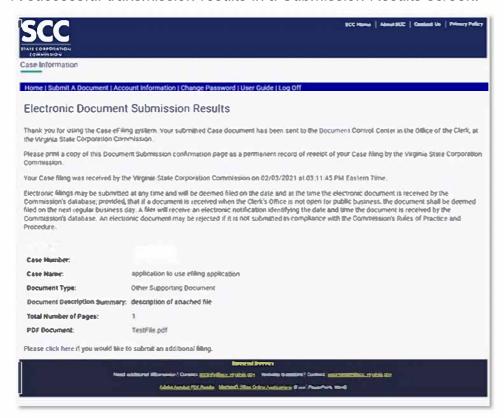
This number should represent all pages that will be generated by the PDF file; it may not exceed 250. Upon completion select the SUBMIT button.

NOTE: The RESET button will clear all information and remove file attachment and you will be required to start again.

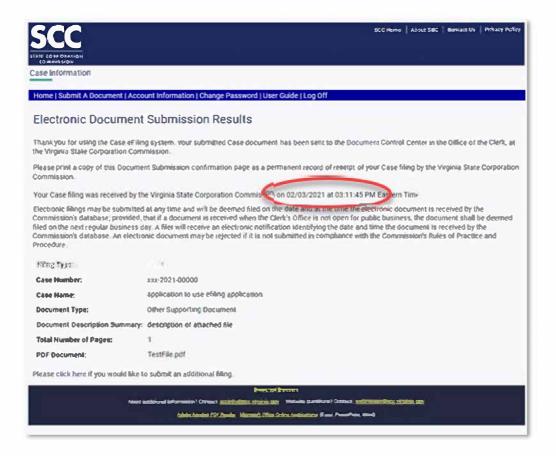
On SUBMIT, the following screen will appear while the submission is processed. Expect a delay depending on your Internet connection speed and file size.



A successful transmission results in a Submission Results screen:



It is highly recommended that you print a copy of this confirmation page as your record of the filing. It will include the date and time the filing was received by the SCC's computer system.



IMPORTANT!

Electronic filings may be submitted at any time and will be deemed filed on the date and at the time the electronic document is received by the SCC's database. If a document is received when the Clerk's Office is not open for public business, the document shall be deemed filed on the next regular business day. A filer will receive an electronic notification identifying the date and time the document is received by the Commission's database. An electronic document may be rejected if it is not submitted in compliance with the Commission's Rules of Practice and Procedure and the Electronic Filing Procedures.

As a fail-safe, the field information collected will be delivered in an e-mail to the address of the authorized filer.

Your electronic submission was received





This email was sent to you for informational purposes only. Please do not reply to this email address.

Thank you for using the Case e-Filing system. Your submitted Case document has been sent to the Document Control Center in the Office of the Clerk, at the Virginia State Corporation Commission.

Your Case filing was received by the Virginia State Corporation Commission on 2/3/2021 at 04:20:51 PM Eastern Time.

Electronic filings may be submitted at any time and will be deemed filed on the date and at the time the electronic document is received by the Commission's database; provided, that if a document is received when the Clerk's Office is not open for public business, the document shall be deemed filed on the next regular business day. A filer will receive an electronic notification identifying the date and time the document is received by the Commission's database. An electronic document may be rejected if it is not submitted in compliance with the Commission's Rules of Practice and Procedure.

Case Number:

xxx-2021-00000

Case Name:

Application to use efiling application

Document Type:

Document Description Summary:

description of attached file

Number of Pages:

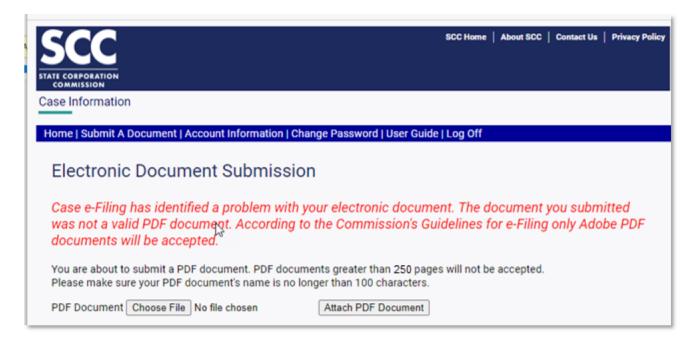
Filer's Law Firm, Company or Organization: Scc

SUBMISSION ERRORS

If the attachment is not a PDF file, you will be advised of that error and asked to attach a properly formatted file.

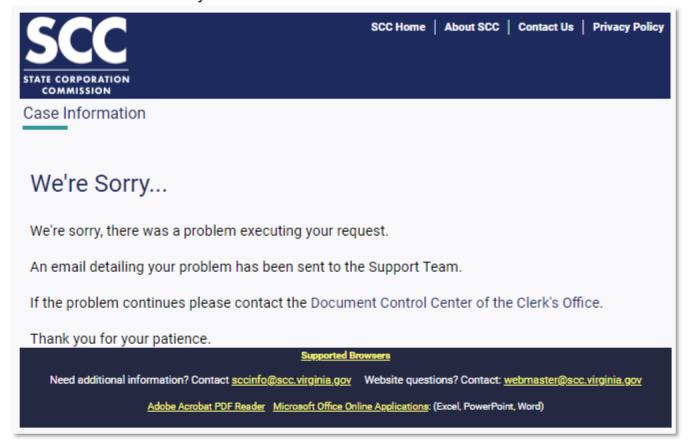
If any required information is not provided in the text box, you will automatically be prompted to fulfill that requirement and resubmit.

If the document being submitted is too large or, during processing, is discovered to contain a virus, you will be advised of the error and you will need to begin the process again.



SYSTEM ERRORS

Should the system malfunction, you will encounter the following message. The error notification is automatically sent to SCC technical staff.



LOGOFF

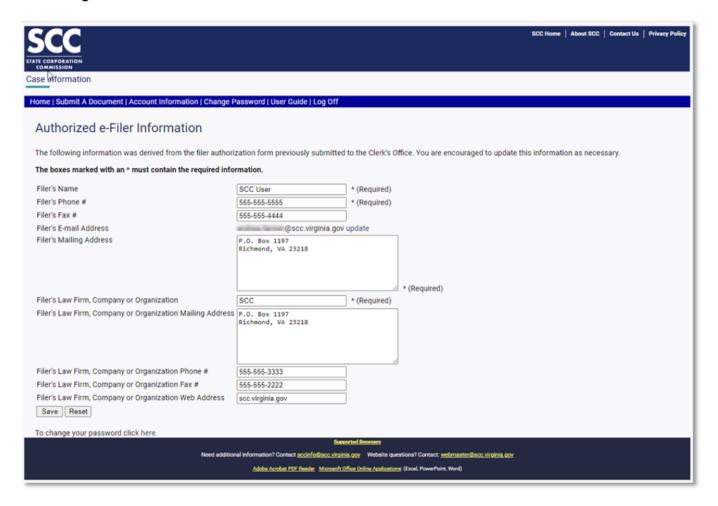
For your own security and that of the SCC's e-Filing system, a user should LOG OFF every time you wish to exit. Use the menu bar that appears at the top of each webpage during which you are actively logged in.



IMPORTANT – You are automatically timed out of the system after 20 minutes of inactivity. If timed out, you must log back into the system.

C. How Do I Change My User Information?

Once an account has been established, the authorized filer is responsible for ensuring that the information is current.

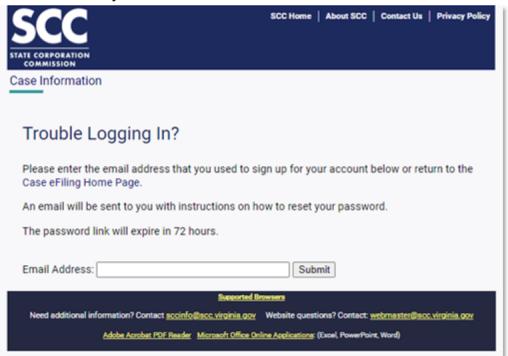


At any time, an authorized filer may update the account information through the eFiling system. Make any necessary changes and SAVE. The RESET button will clear any newly entered information and you can try again. Upon updating the user account information, an e-mail will automatically be sent to the filer acknowledging that changes have been made.

To change your password, click on any CHANGE PASSWORD prompt. You will be asked to enter your old password, and then enter the new password (twice for confirmation).



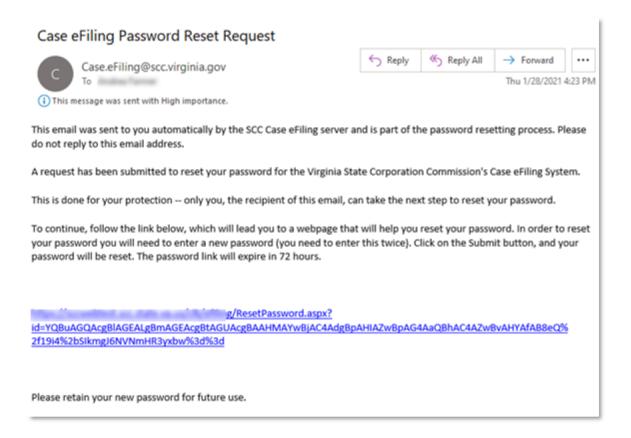
If you forget your password, click on any FORGOT PASSWORD prompt. You will be asked to enter your e-mail address.



Upon submission, the system will acknowledge your request, and email you instructions.



The SCC will notify the authorized filer by e-mail. The e-mail will contain a link to allow the authorized filer to log into the account by creating a new password.



Upon logging into the system, you will be prompted to enter a new password (twice for confirmation). The password must be at least 8characters and must include at least one uppercase letter, one number and one special character. The password is case sensitive.

Please remember your password.

Part II - General Guidelines

SCC Guidelines for Electronic Document Filing

Authorization to File Electronically

- 1. In order to submit an electronic document, the filer must complete a submission form available only on the SCC's web site at: www.scc.virginia.gov/clk/efiling/docfile.aspx.
- 2. Electronic submission of a document by an authorized filer is a matter of convenience. Authorized filers are encouraged but not required to participate.
- 3. All required information fields on the form must be completed for a document to be sent electronically.
- 4. The submission form must contain the following information: Case Number (if already assigned); Case Name (if known); Document Type; Document Description Summary (describing content of document); Total Number of Pages.
- . The person who signed the document must be identified as the filer regardless of who submits the filing on behalf of the filer.
- . The submission must be a Portable Document Format (PDF) file. The electronic document file must be capable of being printed as a paper document without loss of content or appearance for inclusion in the official case file.
- . A document should be submitted as one electronic file. The submission cannot exceed 2 pages (standard 8 ½ by 11 inches). Submissions filed electronically are exempt from the copy requirements of the Commission's Rules of Practice and Procedure.
- 8. Submissions filed electronically that otherwise would incorporate large exhibits impractical for conversion to electronic format must be identified in the filing and include a statement that the exhibit was filed in hardcopy and is available for viewing at the Commission or a copy may be obtained from the filing party. Each such exhibit must be filed in an original and 15 copies.
 - . Electronic filings may be submitted at any time and will be deemed filed on the date and at the time the electronic document is received by the SCC's database, provided that documents received when the Clerk's Office is not open for public business shall be deemed filed on the next regular business day. A filer will receive an electronic notification identifying the date and time the document is received by the SCC's database. An electronic document may be rejected if it is not submitted in compliance with these rules.
- 1 . All electronic documents will be scanned for computer viruses prior to processing. Any document found to contain a virus will not be accepted for processing.
- 11. An electronic submission will be accepted by the Document Control Center (DCC) only if properly identified and in compliance with all formatting requirements. Documents successfully submitted electronically to the Commission will result in a return e-mail acknowledgement to the filer to indicate that the Commission has received the electronic submission.
- 12. Any correction or modification to a document filed electronically will require a

- revised filing with the Commission. In other words, a document already filed cannot be substituted or replaced. Instead, document versions will be posted online in the order of receipt.
- 13. The filer is responsible for any delay, disruption, or interruption of the electronic submission and accepts the full risk that the document may not be filed as a result.
- 14. All electronic documents must conform to the common written format requirements of the Commission's Rules of Practice and Procedure.
- 1 . Most electronically filed documents are public records and will be available for viewing on the Commission's web site as well as in the Clerk's Office.
- 1 . Use of video or sound within the body of an electronically submitted document is not allowed.
- Hyperlinks embedded within an electronic document may only refer to information within that same document. Hyperlinks cannot be used to refer to external documents or information sources that are likely to change.
- 18. The filing party is responsible for serving the document in accordance with applicable rules and orders, including service on the appropriate Commission attorney. If any party indicates a preference, it is permissible to provide such documents electronically.
- 1 . In the event the electronic filing procedure is not a convenient method for submitting an electronic version of a document with the Commission, the DCC will accept a USB flash drive (thumb drive). With any flash drive submission, the hardware must be accompanied by clear labeling to include the file type, the case number, the name of the filing party, a brief description of the document, the number of pages, and any special instructions, i.e. proprietary version or public version. If the flash drive contains a filing that exceeds 2 pages, the filer must still provide an original and 15 paper copies per the Commission's Rules of Practice and Procedure.
- 2 . Once registered, any authorized electronic filer may change their user information through the "on-line" electronic user account management feature on the Case e-Filing system.
- 21. For further information or for assistance, contact Information Resources by e-mail, sccinfo@scc.virginia.gov, or by telephone at (804) 371-9141.

Part III – Alternate Emergency Procedure

What to do if the SCC's Electronic Case e-Filing website is not accessible or available.

There may be an occasion when a user is unable to access the SCC website due to problems with the computer systems of the Commonwealth of Virginia, the SCC, or the user's own network or Internet access.

Alternate methods for submitting files should only be used if regular access is not available. All submissions must contain a properly created PDF file to be accepted.

The following methods are NOT to be used as the normal filing mechanism.

 If system access is unavailable, but you do have access to email, e-mail the file to: sccinfo@scc.virginia.gov

The body of the email should contain the identifying information listed below, and the PDF file should be attached to the message. This is the same information that is entered under "document information" and includes:

Name of the authorized filer submitting the document
Name of the organization on whose behalf the document is being submitted
The Case Number (if known)
Case Name (if known)
Document Type
Document Description Summary
Total Number of Pages

2. If all else fails, the Document Control Center will accept a USB flash drive (thumb drive). With any flash drive submission, the hardware must be accompanied by clear labeling to include the case number, the name of the filing party, a brief description of the document, the number of pages, and any special instructions, i.e. proprietary version or public version. If the flash drive contains a filing that exceeds 100 pages, the filer must still provide an original and 15 paper copies per the Commission's Rules. Hand deliver to:

State Corporation Commission

Document Control Center – Clerk's Office 1st floor
1300 East Main Street

Richmond, Virginia 23219

Plan and create a contingency procedure. Computer or network problems can arise at any time. If the Electronic Case e-Filing website is not available, please provide enough time to submit a document in an alternate manner to meet your filing deadline.

The SCC is not responsible for any items that are not received because of a failure in delivery mechanisms.