

## **R1-28 GIVING NOTICE OR FILING PAPERS WITH THE COMMISSION BY MAIL; ELECTRONIC FILING**

(a) Any notice, motion, pleading, or other document or paper may be filed with or served on the Commission by hand delivery, courier service, or United States mail, unless required by statute to be filed or served by some other means, but the same shall not be deemed filed or served until the day and date actually received at the office of the Commission in Raleigh. Rule R1-27 also applies to giving notice of filing papers by mail. In addition, any notice, motion, pleading, or other document may be electronically filed with the Commission using the Commission's online electronic filing system.

(b) An electronic filing may consist of one or multiple files. Confidential information must be redacted from public filings. Each filing must be either public or confidential, and confidential files must be so marked when filed. When a party files confidential information, the party must make two separate filings. The first is a complete copy of the confidential version of the filing with the word "confidential" in the description of the filing. The second is a public filing constituting a complete copy of the filing with confidential information redacted in such a way that the pagination of both the confidential and public filings is the same and with the word "redacted" included in the description of the filing. Except as provided in Section (e) below, do not file paper copies of documents that are filed electronically. Other provisions of any statute, rule, or order regarding the content and format of specific filings remain applicable.

(c) All documents filed electronically should be filed in a text-based, searchable, noncompressed Portable Document Format (i.e., PDF) format rather than in an image file format.

(d) The typed characters representing the name of a person shall be sufficient to show that such person has signed the pleading or other document for purposes of electronic filing. Verification pages, when required, shall be printed, signed, notarized, converted to an electronic format, and included in the electronic filing as a separate file.

(e) The following documents should be filed electronically; provided, however, 12 three-hole punched paper copies of the entire filing, one of which shall be single-sided, must be provided to the Commission on the following business day in lieu of the number of copies required pursuant to the applicable statute, rule, or order. If such filing is made electronically on the day of or day before a hearing on the matter, the paper copies shall be provided to the Commission no later than one hour prior to the scheduled start of the hearing. The failure to provide the required number of paper copies within the prescribed timeframe may result in the electronic filing being rejected and excluded from the record in that proceeding.

- (1) For all Class A and B electric, telephone, natural gas, water, and sewer utilities, applications for or filings of a general increase in rates, fares, or charges for revenue purposes or to increase the rate of return on investment or to change transportation rates, fares, etc. pursuant to Rule R1-17, and all testimony and exhibits of expert witnesses filed by any party to the general rate case proceeding.
- (2) For all Class A and B electric utilities, applications for changes in rates in annual rate rider proceedings pursuant to G.S. 62-133.2, 62-133.8, and 62-133.9, and Rules R8-55, R8-67, and R8-69, and all testimony and exhibits of expert witnesses filed by any party to such proceeding.
- (3) For all Class A and B natural gas utilities, applications for changes in rates in annual prudence review proceedings pursuant to G.S. 62-133.4 and Rule R1-17(k), and all testimony and exhibits of expert witnesses filed by any party to such proceeding.
- (4) Other documents, such as testimony and exhibits of expert witnesses, as ordered in specific proceedings.

In addition to the above requirements, when applicable, copies of testimony and exhibits of each expert witness shall be separated, one from the other, by the use of colored paper dividers such that one witness' testimony or separate exhibit shall not begin on the reverse side of the same page as another when provided to the Chief Clerk's Office.

(f) Fingerprint cards and criminal history record release forms required to be filed by applicants for certificates of exemption to transport household goods pursuant to G.S. 62-273.1 and Rule R2-8.1 may not be filed electronically, but must be filed on paper pursuant to Section (a).

(g) Reports on performance results required to be filed by local exchange telephone companies and competing local providers pursuant to Rule R9-8(d) may be filed electronically, provided that an electronic copy in Excel is also provided to the Public Staff. The electronic copy in Excel may be emailed to the Public Staff at [communications@psncuc.nc.gov](mailto:communications@psncuc.nc.gov).

(h) Both paper and electronic filings must be received by the Commission by 5:00 p.m. Eastern time to be considered to be filed on that business day. A filing may be made electronically at any time, but filings submitted after 5:00 p.m. Eastern time are considered to be filed on the next business day. A filing that does not comply with all applicable statutes, rules, or orders may be rejected, unless the filing is accompanied by a motion requesting a

waiver of the applicable requirement of a rule or order and the motion is granted. If a filing is rejected, the document is deemed not to have been filed with the Commission. A filing that requires a filing fee is not considered to be filed until the fee has been submitted to the Commission.

*(NCUC Docket No. M-100, Sub 139, 11/13/13; NCUC Docket No. M-100, Sub 139 & P-100, Sub 99; 05/13/14; NCUC Docket No. M-100, Sub 147, 6/27/17; NCUC Docket No. M-100, Sub 147, 04/17/18; NCUC Docket No. M-100, Sub 147, 7/31/19; NCUC Docket No. M-100, Sub 139, 10/14/22; NCUC Docket No. M-100, Sub 147, 9/15/2023.)*