

Docketing Information System Electronic Filing Technical Requirements & Manual

1 Introduction

1.01 This document contains instructions and technical or functional requirements for the submission of digitized electronic files via the Internet (E-Filing) using the [Docketing Information System](#) (DIS) of the Public Utilities Commission of Ohio (PUCO) and the Ohio Power Siting Board (OPSB). Legal requirements and rules relating to procedures for PUCO cases can be found in Chapter [4901-1](#) of the [Ohio Administrative Code](#) (O.A.C.), and Case No. [06-900-AU-WVR](#). Likewise, legal requirements and rules relating to procedures for OPSB cases can be found in Chapter [4906-1](#), O.A.C. and Case No. [10-2404-GE-WVR](#). Notice of revisions of this manual will be sent to subscribers of the [E-File Listserv](#). This manual is available on the [DIS home page](#) by clicking on [Electronic Filing Information & Links](#).

1.02 This document presupposes the filer's access to the internet and the ability to create electronic files in portable document format (PDF). DIS and the integrated E-Filing functions are designed to be easy to use at minimal cost to the filer. No filing fees are imposed and no browser or operating system restrictions have been identified at this time, but testing has been limited to the computer hardware and software readily available to the PUCO and OPSB. Technical advice and notice of restrictions will be published on the [E-File Listserv](#) and incorporated into subsequent revisions of this manual. The PUCO and OPSB reserve the right to impose, without advance notice, restrictions or conditions to safeguard the system and data, including the revocation of privileges for any user or party, and the temporary or permanent termination of this system. Each filer and the party on whose behalf the filing is made assumes all risks associated with the use of the system, including the risk that the system or E-Filing function may become unavailable at any time without prior notice, or that electronic mail (email) notifications sent by DIS may be blocked or delayed by causes beyond the control of the PUCO, OPSB, or the participant.

1.03 Although DIS is generally available on a continuous basis, the system may become unavailable without prior notice due to technical malfunctions or power outages. E-Filed documents must be both uploaded to the system and accepted by the the Docketing Division (Docketing) to be considered duly filed. DIS provides both online and email confirmations when a document is successfully uploaded and indexed. The system also inserts a time and date stamp as the last page of the official PDF document. In the absence of a confirmation, the filer should assume that the filing was not completed. Filings may be made at any time the system is available, but acceptance of the filing by Docketing will be deemed to occur on the date time-stamped by the

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

system on the final page of the official PDF document if confirmation occurred during Docketing's normal business hours, or on the next business day if confirmation occurred after 5:30 p.m.

1.04 Docketing may reject any filing if the document is unreadable, fails to meet legal or technical requirements listed herein, or for any reason applicable to a paper filing. Upon acceptance by Docketing, the filing is posted on the DIS web site and notification is sent via email to all subscribers to the case(s), including the filer.

1.05 Certain documents, such as applications for rehearing pursuant to Ohio Revised Code Section [4903.10](#) or notices of appeal under ORC Section [4903.11](#) are subject to statutorily imposed deadlines which the PUCO (or the OPSB under ORC Section [4906.12](#)) can not extend. Filers are advised to make alternative arrangements for such filings in the event of an outage or technical failure. For all other filings, the E-Filing system will be deemed to be subject to a technical failure on a given day if it is unable to accept filings continuously or intermittently over the course of any period of time greater than one hour after 12:00 p.m. Should a technical failure occur, a filing (other than an application for rehearing or notice of appeal) which was not filed because of a technical failure shall be deemed timely filed if actually filed the next business day the system is able to accept filings. Such a delayed filing shall be accompanied by an affidavit attesting to the filer's unsuccessful attempts to file electronically at least two times after 12:00 p.m. separated by at least one hour or one time after 4:00 p.m. on each day of delay due to technical failure.

1.06 E-Filing is voluntary and may be used at the filer's discretion where not otherwise restricted. However, as a condition of making an E-Filing in any particular case, the filer agrees to be served via email notifications on all subsequent filings in that particular case. The filer may choose to make a paper filing for any particular document or case. But for those documents which are E-Filed, the PDF file becomes the official version of the document and no paper copy exists. Therefore, the E-filed document must be freely accessible to the public and in a file format that provides a consistent and predictable visual appearance, independent of the program used to create it. DIS currently uses the PDF file format to display scanned images of paper filings (with embedded optically recognized text for search capability). PDF viewer and creation software is available at little or no cost, and the PDF format provides fixed pagination for citation in legal pleadings. The use of a PDF file also allows the system to automatically insert a final page showing the time, case, and other filing information, and password protect the file against modifications to provide a measure of assurance for documents not directly downloaded from DIS.

1.07 While DIS and the computer network are protected by appropriate safeguards, including firewalls, redundant systems, and off-site backups, all computer systems are subject to failures and attacks. For this reason, all filings are scanned with anti-virus software and blocked from upload if infection is detected. Accepted filings are subsequently filmed to create unalterable long-term archival records consistent with State of Ohio retention requirements. The PDF version of the document will be deemed

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

the “official” document subject to verification with the filmed image. In the event that only a locked PDF version of a document is available, the filer may create a cover letter explaining such circumstances. The PDF version of the cover letter will serve as the official filing, and the locked PDF file can be uploaded as a source file (as described in the next section and Step 5 of the filing process, shown below).

1.08 In addition to the official PDF document, the system incorporates the acceptance of underlying source files wherever feasible. While the PDF version serves as the official document, in most instances the original source files are of greater utility to the parties, while providing superior indexing and search functionality. In addition, software is now available to eliminate metadata and the associated concerns of unintended exposure of data. Available source files should be included with each filing.

1.09 No documents containing confidential or proprietary information should be E-Filed, but redacted versions of confidential documents may be E-Filed. Confidential or proprietary information may be delivered to Docketing in acceptable electronic formats on CD-ROM with 2 paper copies. Other restrictions may apply to the E-Filing of certain document types or in specific cases. Filers should consult Chapters [4901-1](#) and [4906-1](#), O.A.C., as well as Case Nos. [06-900-AU-WVR](#) and [10-2404-GE-WVR](#) for PUCO and OPSB cases, respectively.

1.10 As a condition of E-Filing, parties who choose to E-File agree to be served via automatic system-generated electronic mail notifications of all subsequent filings in the cases in which they E-File. The DIS case record service list indicates which parties are E-Filers in the case who will be served by DIS. All other parties must be served by traditional methods. Parties may choose to E-File in some cases and paper file in others.

In order to electronically file documents with DIS, you will first need to:

- complete and submit a participation agreement via fax or hardcopy,
- create an account, and
- create a DIS profile.

After fulfilling these preliminary one-time requirements and approval of the filer’s profile by Docketing, the filer will need to create and/or assemble the electronic files and complete the actual filing process. Each of these steps in the process is shown and discussed in more detail in the sections below.

2 Participation Agreement

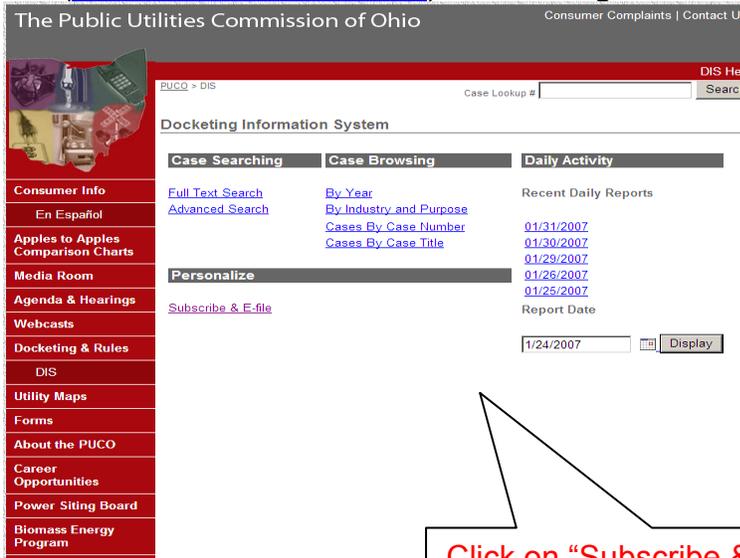
2.01 The [electronic filing participation agreement](#) is appended to this manual and available on the [DIS home page](#) by clicking on [Electronic Filing Information & Links](#). Each participant (other than PUCO or OPSB employees) will need to complete and submit an agreement via fax or hardcopy to Docketing before E-Filing will be permitted.

The Public Utilities Commission and Ohio Power Siting Board Docketing Information System Electronic Filing Manual

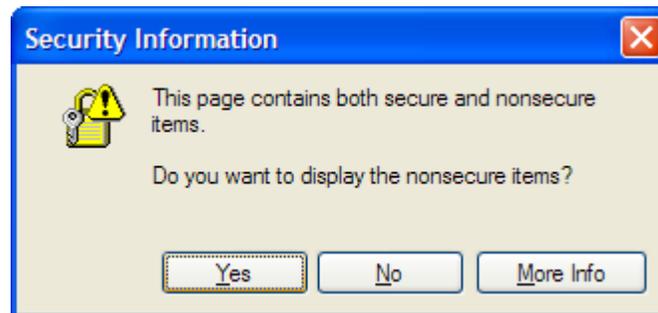
2.02 Each filer (other than PUCO and OPSB employees) must also create an account (username and password). The use of the filer's username and password constitutes validation that E-Filed documents were submitted by the filer on behalf of each party indicated by the filing, unless the filer notifies Docketing of an error or inaccuracy. Each filer must monitor email notifications and confirmation messages sent by DIS and notify Docketing immediately upon discovery of any error or inaccuracy. The use of "/s" immediately before the filer's name constitutes the filer's signature in all documents E-Filed using the filer's account,. DIS electronic mail notification of filings constitutes valid service of documents.

3 Creating an Account

3.01 PUCO and OPSB employees must add "puc\" before their usernames when logging into DIS. All other users must create an account (which will be used for conducting all electronic transactions with the PUCO or OPSB) by going to the DIS web site (<http://dis.puc.state.oh.us/>) and clicking on the "Subscribe & E-file" link.



3.02 Depending on your web browser and/or operating system security settings, you may be prompted to respond to a dialogue box like the one shown below. If so, click "yes".



The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

3.03 This should take you to the account log in screen shown below.

The Public Utilities Commission of Ohio

Consumer Complaints | Contact Us

Home Electric Natural Gas Telephone Water Railroad Motor Carrier

PUCO > Log In

Search

Log In

User Name:

Password:

Remember me next time.

Log In

[Create Account](#) [Forgot Password](#)

Consumer Info

En Español

Apples to Apples

Media Room

Agenda & Hearings

Webcasts

If you do not already have an account, click on the “Create Account” link as shown above. If you already have an account, enter your user name (PUCO and OPSB employees must add “puc\” before their usernames which are not case sensitive) and password (which is case sensitive). If you wish to avoid entering this information every time you log in, you can check the box to have your browser remember this information.

3.04 Clicking on the “Create Account” link on the account log-in page should take you to the “Sign Up for Your New Account” page shown below.

Sign Up for Your New Account

User Name:

Password:

Confirm Password:

E-mail:

Security Question:

Security Answer:

Create User

Consumer Info

En Español

Apples to Apples

Media Room

Agenda & Hearings

Webcasts

Docketing & Rules

DIS

Rules

Tariffs

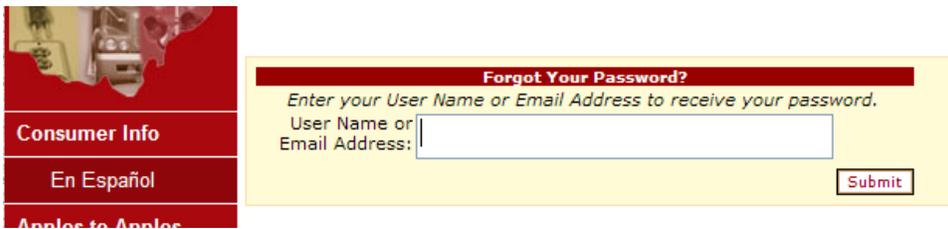
Fill in your choices for username, password, primary E-mail address and your own security question and answer. Your username can be anything you select which is not already in use. Your password must be at least 8 characters, and contain at least three of the following four character types:

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

1. English alphabetic uppercase characters: A through Z;
2. English alphabetic lowercase characters: a through z;
3. numbers: 0 though 9;
4. punctuation characters: - ! , \$ # % – ?

You will also be asked to create a security question and answer to be used in the event you forget your password. You can create whatever security question and answer you wish, but they should be simple and easy to remember. Please note that the answer is case sensitive.

3.05 If you forget your username or password, click on the “Forgot Password” link on the “Log In” page and you will see the screen shown below. You can enter either your username or your primary e-mail address. You will then be prompted to answer your security question (which is case sensitive). After you have correctly answered, your password will be automatically reset and the new password will be sent to your primary e-mail address.



The image shows a screenshot of a web application interface. On the left is a red sidebar with a navigation menu containing the following items: 'Consumer Info', 'En Español', and 'Apples to Apples'. The main content area is a yellow box with a red header that reads 'Forgot Your Password?'. Below the header, there is a line of text: 'Enter your User Name or Email Address to receive your password.' This is followed by a label 'User Name or Email Address:' and a text input field. To the right of the input field is a 'Submit' button.

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

4 Creating a DIS Profile

4.01 After you have created your account, you will be able to log into DIS by going to the DIS home page (<http://dis.puc.state.oh.us>) and clicking on the “Subscribe & E-file” link. This will take you to the log-in screen shown below.

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

Home Electric Natural Gas Telephone Water Railroad Motor Carrier

PUCO > Log In

Log In

User Name:
pucotester

Password:
.....

Remember me next time.

Log In

[Create Account](#) [Forgot Password](#)

4.02 Upon successfully logging in, you should see a personalized DIS page similar to the one shown below:

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

PUCO > DIS > Subscribe & E-file

DIS Help

Case Lookup #

Subscribe & E-file for pucotester

A profile is required before documents can be filed.

File	Profile	Subscriptions
E-File a document Change Password or Primary Email Address	Add/Modify Profile Information Cases in which I file Parties for which I file Add/Modify up to 4 email addresses	Email format: <input type="radio"/> HTML <input checked="" type="radio"/> Text <input type="checkbox"/> Subscribe to the complete Daily Activity Report <input type="button" value="Update"/> Personal Daily Report Case Notifications
Reserve a case number (This function is currently unavailable. Please call PUCO Docketing at 614.466.4095) Logout		

System messages like the one shown above (“A profile is required before documents can be filed.”) are displayed in red. Each participant must complete the DIS profile information and be approved by Docketing before the “E-File a document” link becomes active. You can, however, modify your subscriptions without being approved for E-

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

Filing. To complete your profile information, click on the “Add/Modify Profile Information” link under the “Profile” column, which will take you to your profile screen.

4.03 Your DIS profile contains information which will allow DIS to identify you as a filer and will be used to contact you if there is a problem with a filing. Before you can file a document, you must complete your profile information and click the “Save” button, which will take you back to your personal DIS page.



Filing Profile

Your e-filing profile contains data that will allow you to file documents electronically. Information contained in the "Personal Identification" section identifies you as the filer and will be used to contact you if there is a problem with a filing. The "Cases and Parties" section contains the cases in which you will be filing and the parties on whose behalf you will be filing. Before you can file a document, you must complete the "Personal Identification" section. Information in the "Cases and Parties" section can be entered on this screen or on the screens in the filing process.

Personal Identification

Your Name	Title	First	MI	Last
	Mr.	Test	R	Filer
Company/Firm	Test & Filer, LPA			
Address	123 Avenue Dr.			
	Suite 999			
City	Columbus			
State	OH			
Zip	43215-1234			
Phone	Voice	Fax		
	614-123-4567			
Save		Cancel		

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

4.04 The system message shown on the screen below indicates that this filer's profile has not yet been approved and the "E-File a document" link under the "File" column is not active.

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

DIS Help

PUCO > DIS > Subscribe & E-file Case Lookup # Search

Subscribe & E-file for Mr. Test R Filer

PUCO Docketing has not yet approved your Profile for Electronic Filing. Please contact the PUCO Docketing division at (614) 466-4095 to have your Profile activated.

File	Profile	Subscriptions
E-File a document Change Password or Primary Email Address Reserve a case number (This function is currently unavailable. Please call PUCO Docketing at 614.466.4095) Logout	Add/Modify Profile Information Mr. Test R Filer Test & Filer, LPA 123 Avenue Dr. Suite 999 Columbus, OH 43215-1234 614-123-4567 pucotester@gmail.com Cases in which I file Parties for which I file Add/Modify up to 4 email addresses	Email format: <input type="radio"/> HTML <input checked="" type="radio"/> Text <input type="checkbox"/> Subscribe to the complete Daily Activity Report <input type="button" value="Update"/> Personal Daily Report Case Notifications

The system will alert Docketing to review your profile for approval so that you can begin E-Filing. If you need immediate assistance, call (614) 466-4095. Upon approval of your profile, the following message will be sent to your primary address (listed under the "Profile" column of your personal DIS page):

```
From: DISSUBSCRIPTION @ puc.state.oh.us
NOTICE: Do not reply to the sender address of this message. Please send all
replies or questions to docketing @ puc.state.oh.us or call (614) 466-4095.

Your DIS profile has been approved. You are now able to subscribe to case and
daily activity distribution lists, and file documents by logging in to the
PUCO's Docketing Information System at:

http://dis.puc.state.oh.us/

For questions or assistance, please call the PUCO Docketing Division at (614)
466-4095.
```

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

4.05 Your E-Filing profile maintains a list of the cases in which you file so that you will be served with e-mail notifications on those cases. You can add cases to your profile during the filing process or by clicking on the links under the “Profile” column of your personal DIS page which will take you to a screen similar to the one shown below. To add cases to your profile, enter a case number (YY-NN) and click the “Add” button.

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

DIS Help

[PUCO](#) > [DIS](#) > [Subscribe & E-file](#) > Case in which I file Case Lookup #

Cases in which I file

Enter a case number

Cases in which I file

4.06 Cases showing the full case number will appear in the list on the right. Note that no filings are permitted in closed or archived cases. If a case is closed, it will be automatically removed from your profile list. When you are done, click the “Save” button which will return you to your personal DIS page.

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

DIS Help

[PUCO](#) > [DIS](#) > [Subscribe & E-file](#) > Case in which I file Case Lookup #

Cases in which I file

Enter a case number

Case 01-0002-CT-ABN is closed or archived

Cases in which I file

- 04-6000-XX-XXX
- 03-6000-XX-XXX
- 07-0001-PL-AEC
- 07-0002-TP-NAG
- 07-0003-TP-CIO
- 07-0004-GA-CSS
- 07-0005-TP-NAG
- 05-0005-HT-AIR

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

4.07 Your profile also maintains a list of the parties on whose behalf you make filings. You can add a new party to your profile during the filing process or by clicking on the “Parties” link under the profile column of your personal DIS page to get to the following screen.

The screenshot shows the 'Parties for which I file' interface. At the top, there is a navigation bar with 'The Public Utilities Commission of Ohio' on the left and 'Consumer Complaints | Contact Us' on the right. Below this is a red header with 'DIS Help' on the right. A breadcrumb trail reads 'PUCO > DIS > Subscribe & E-file > Party for which I file'. A 'Case Lookup #' field with a 'Search' button is also present. The main content area is titled 'Parties for which I file'. On the left, there are two sections: 'Add a new Company/Organization' with an empty text box, and 'Add a new Individual' with a form containing fields for Title (dropdown menu with 'Mr.' selected), First Name (text box with 'Testy'), Middle Name (text box with 'B.'), and Last Name (text box with 'Filing'). Below these fields are 'Ok' and 'Cancel' buttons. To the right of the individual form are 'Add >>' and '<< Remove' buttons. On the far right, a list box titled 'Parties for which I file' contains the entry 'Test Filer Company'.

If the party is a person, fill in the First, Middle and Last Name fields in the box and click the “Add” button.

4.08 If the party is not a person, fill in the Add a new Company/Organization box and click the “Add” button. Your parties should appear in the list on the right. To remove a party, select the name in the list and click the “Remove” button.

The screenshot shows the 'Parties for which I file' interface. At the top, there is a navigation bar with 'The Public Utilities Commission of Ohio' on the left and 'Consumer Complaints | Contact Us' on the right. Below this is a red header with 'DIS Help' on the right. A breadcrumb trail reads 'PUCO > DIS > Subscribe & E-file > Party for which I file'. A 'Case Lookup #' field with a 'Search' button is also present. The main content area is titled 'Parties for which I file'. On the left, there are two sections: 'Add a new Company/Organization' with a text box containing 'Yet Another Party, Inc.', and 'Add a new Individual' with a form containing fields for Title (dropdown menu), First Name, Middle Name, and Last Name. Below these fields are 'Ok' and 'Cancel' buttons. To the right of the individual form are 'Add >>' and '<< Remove' buttons. On the far right, a list box titled 'Parties for which I file' contains the entries 'Filing, Testy Mr.', 'Test 2 Utility, Inc.', and 'Test Filer Company'.

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

4.09 Your primary email address is the one used to create your PUCO/OPSB account. To change your primary email address, click on the “Change Password or Primary email Address” link under the “File” column of your personal DIS home page.

The screenshot shows the 'Subscribe & E-file for Mr. Test R Filer' page. At the top, there is a navigation bar with 'The Public Utilities Commission of Ohio' and 'Consumer Complaints | Contact Us'. Below this is a breadcrumb trail: 'PUCO > DIS > Subscribe & E-file'. A 'Case Lookup #' field with a 'Search' button is present. The main content area is titled 'Subscribe & E-file for Mr. Test R Filer' and is divided into three columns: 'File', 'Profile', and 'Subscriptions'.
- The 'File' column contains links: 'E-File a document', 'Change Password or Primary Email Address', 'Reserve a case number', and 'Logout'.
- The 'Profile' column contains a link 'Add/Modify Profile Information' followed by user details: 'Mr. Test R Filer', 'Test & Filer, LPA', '123 Avenue Dr. Suite 999', 'Columbus, OH 43215-1234', '614-123-4567', and 'pucotester@gmail.com'. Below these are links for 'Cases in which I file', 'Parties for which I file', and 'Add/Modify up to 4 email addresses'.
- The 'Subscriptions' column shows 'Email format:' with radio buttons for 'HTML' (selected) and 'Text'. There is a checked checkbox for 'Subscribe to the complete Daily Activity Report' and an 'Update' button. Below are links for 'Personal Daily Report' and 'Case Notifications'.

4.10 In addition to your primary email address (listed under the “Profile” column of your personal DIS page), DIS allows you to have up to four additional email address to which notifications and subscriptions will be sent. Click on the link under the “Profile” column, type in the addresses and click the “Save” button.

The screenshot shows the 'Add/Modify Email Addresses' page. At the top, there is a navigation bar with 'The Public Utilities Commission of Ohio' and 'Consumer Complaints | Contact Us'. Below this is a breadcrumb trail: 'PUCO > DIS > Subscribe & E-file > Add/Modify Email Addresses'. A 'Case Lookup #' field with a 'Search' button is present. The main content area is titled 'Add/Modify Email Addresses' and contains four 'Email:' labels, each followed by an empty text input field. At the bottom of the form are two buttons: 'Save' and 'Cancel'.

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

4.11 DIS also allows approved E-Filers to reserve new case numbers through the web site. Click on the “Reserve a case number” link under the “File” column of your personal DIS page to get to the following page. Enter a case title (generally the company name), and select the appropriate industry and purpose codes. Click the OK button and the system will assign the next available case number.

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

[DIS Help](#)

[PUCO](#) > [DIS](#) > [Subscribe & E-file](#) > Reserve a case

Case Lookup #

Reserve a case from web

Case Title:

Status: Reserved

Industry Code:

Purpose Code:



The Public Utilities Commission of Ohio
180 E. Broad St., Columbus, OH 43215
Ted Strickland, Governor • Alan R. Schriber, Chairman
An Equal Opportunity Employer and Service Provider

Please note that you should file the initial document within one business day or contact Docketing at (614) 466-4095 if you are unable to do so.

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

[DIS Help](#)

[PUCO](#) > [DIS](#) > [Subscribe & E-file](#) > Reserve a case

Case Lookup #

Reserve a case from web

Case No: 07-0402 has been reserved

NOTE: A document must be filed in this case within one business day or the case may be voided. If you are unable to comply with this requirement, please contact the PUCO Docketing Division at docketing@puc.state.oh.us or call 614-466-4095

5 Document Preparation & File Formats

5.01 Before commencing the actual filing process, the filer should locate and prepare the PDF and source file(s) to be E-Filed. It is usually helpful to copy the files to your desktop to facilitate the upload from your computer to the DIS server. It is also good practice to make sure all metadata (such as tracked changes or revisions) has been removed from your files. More information on tools and procedures to remove metadata is available under the electronic filing link at www.puco.ohio.gov/puco/docketing/.

5.02 The E-Filing system requires the filing of a modifiable (no password protection) PDF file as well as the electronic source file(s) used to create the PDF. The PDF file will be modified by DIS upon successful upload by the insertion of a last page bearing the time, date and filing information shown on the confirmation page. The PDF will also be password protected against modification to facilitate validation in subsequent use when the file is not directly downloaded from DIS.

5.03 Only one official PDF file is permitted per filing and the file size should not exceed 5MB. If a source document naturally produces a PDF file which exceeds this limit, the PDF should be divided into smaller files and filed as separate documents but labeled appropriately in the document summary (e.g., "Part 1 of 2"). Multiple source documents, including additional PDFs, can be uploaded in the same filing regardless of file size. The PDF file size limitation is not strictly a reflection of any system limitation, but is intended to help accommodate those members of the general public who may be viewing the document via slower dial-up access.

5.04 Whenever possible, PDFs should be created from electronic source files, as opposed to scanned images, because those created from the actual sources are considerably smaller and provide more accurate content indexing for DIS search functions. In addition, various software tools and procedures are now available to remove all metadata (such as tracked changes or revisions) from source files prior to upload. More information may be found on the electronic filing page referenced above. If the filed PDF is from a scanned image, or in the event one or more source files are unavailable, the filer may create a substitute source file using a Microsoft Word (or other acceptable format) document, explaining the circumstances as to why the PDF is a scanned image and/or the source file(s) are not included.

5.05 DIS is designed to accept source documents for maximum utility for all parties, as well as superior indexing and search functionality. A list of the native/source file formats which may be uploaded in the E-Filing process is posted at www.puco.ohio.gov/puco/docketing/.

Filers who have other native/source file types they wish to upload should contact Docketing at docketing@puc.state.oh.us or (614) 466-4095.

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

6 E-Filing a Document:

6.01 In order to electronically file documents with DIS, you will first need to file a participation agreement, create a PUCO/OPSB account, and create a DIS profile, as discussed in Section 4. After your profile has been approved by Docketing, go to the DIS web site (<http://dis.puc.state.oh.us/>), click on the “Subscribe & E-file” link, and log in. The “E-File a document” link under the “File” column of your personal DIS page should now be active. If it is, you are now able to file documents.

Although DIS is generally available on a continuous basis, the system may be unavailable during weekends or between 1:00 a.m. and 3:00 a.m. (Eastern Time) on weekday mornings. Filers should also note that any filings made after 5:30 p.m. will not be accepted or deemed filed until the next business day.

Before commencing the actual filing process, the filer should locate and prepare the PDF and source file(s), as discussed in Section 5. It is usually helpful to copy the files to your desktop to facilitate the upload from your computer to the DIS server. You might also want to remove all metadata (such as tracked changes or revisions) from any source files. More information on tools and procedures to remove metadata is available under the electronic filing link at www.puco.ohio.gov/puco/docketing/.

6.02 To begin the filing process, log in to DIS and click on the “E-File a document” link under the “File” column of your personal DIS page.

The Public Utilities Commission of Ohio

Consumer Complaints | Contact Us

PUCO > DIS > Subscribe & E-file

Case Lookup # Search

Subscribe & E-file for Mr. Test R Filer

File	Profile	Subscriptions
E-File a document	Add/Modify Profile Information	Email format: <input checked="" type="radio"/> HTML <input type="radio"/> Text
Change Password or Primary Email Address	Mr. Test R Filer	<input checked="" type="checkbox"/> Subscribe to the complete Daily Activity Report
Reserve a case number	Test & Filer, LPA	<input type="button" value="Update"/>
Logout	123 Avenue Dr.	Personal Daily Report
	Suite 999	Case Notifications
	Columbus, OH 43215-1234	
	614-123-4567	
	pucotester@gmail.com	
	Cases in which I file	
	Parties for which I file	
	Add/Modify up to 4 email addresses	

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

6.03 Step 1 is to select the case(s) in which the document will be filed. DIS will not allow filings to be made in closed or archived cases. If the case in which you are filing is already in your profile list, it can be selected from the drop-down menu on the left.

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

DIS Help

PUCO > DIS > Subscribe & E-file > E-File a document Case Lookup #

Step 1
Document Filing: Case Selection

Filing by: Mr. Test R Filer

Select the case(s) for this filing

Cases in your profile
Add a new case number

Case numbers for this filing

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

6.04 If the case is not already in your profile, enter the case number (YY-NN) in the box on the left and click the “Add” button. The full case number will be displayed in the list on the right. If the listed case is not the correct one, click on the case to select it and then click the “Remove” button. When each of the correct cases are displayed in the list in the right side box, click on the “Continue” button. Cases in which you E-File are automatically added to your profile so that email notifications for all subsequent filings in the case are automatically sent to you. Closed cases will be automatically deleted from your profile. (Note: Your E-Filer case list is separate from any case notification subscriptions you may have in DIS. To see or modify your list of those subscriptions, click on the “Case Notifications” link under the “Subscriptions” column of your personal DIS page.)

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

DIS Help

[PUCO](#) > [DIS](#) > [Subscribe & E-file](#) > E-File a document Case Lookup #

Step 1
Document Filing: Case Selection

Filing by: Mr. Test R Filer

Select the case(s) for this filing

Cases in your profile Add a new case number	<input type="text"/> <input type="text"/>	<input type="button" value="Add >>"/> <input type="button" value="<< Remove"/>	Case numbers for this filing <input type="text" value="03-6000-XX-XXX"/> <input type="text" value="04-6000-XX-XXX"/>
--	--	---	--

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

6.05 Step 2 requires the filer to select or add the parties on behalf of whom the filing is made. Note that the filer's name and case numbers are now displayed at the top of the screen. If the party is already in your profile list, it can be selected from the drop-down menu on the left. If the party is not already in your profile list, enter the name of the party in the appropriate Company/Organization or Individual name box on the left and click the "Add" button. Note that parties added in this step are automatically saved in your profile list for future use. When each of the parties are displayed in the list in the right side box, click on the "Continue" button.



Step 2
Document Filing: Party Selection

Filing by: Mr. Test R Filer
Case Number(s): 03-6000-XX-XXX, 04-6000-XX-XXX

Select the parties for this filing

The screenshot shows the "Select the parties for this filing" interface. On the left, there are three sections: "Parties listed in your Profile" with a dropdown menu, "Add a new Company/Organization" with a text input field containing "Test 2 Utility, Inc." and an "Add >>" button, and "Add a new Individual" with a form containing fields for "Title", "First Name", "Middle Name", and "Last Name". In the center, there are two buttons: "<< Remove" and "Add >>". On the right, there is a list box titled "Parties for this filing" containing "Test Filer Company". At the bottom, there are three buttons: "<< Previous", "Cancel Filing", and "Continue >>".

6.06 Step 3 requires the filer to select the document type and complete the summary information which will describe the filing on the DIS case record (aka "docket card") for view by the public. Note that the selected document type will automatically become part of the summary so you do not need to type it into the box. It is important to select the correct document type because (1) some system functions may be triggered by the type of filing, and (2) the summary description is indexed by the PUCO's and other internet search engines, so the description you provide may effect the ability to find your filing in future searches. Further information or assistance in selecting the proper document

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

type or summary description is available by calling Docketing at (614) 466-4095. If you are satisfied with the description click the "Continue" button.

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

DIS Help

PUCO > DIS > [Subscribe & E-file](#) > E-File a document Case Lookup #

Step 3
Document Filing -- Document Information

Filing by: Mr. Test R Filer
Case Number(s): 03-6000-XX-XXX, 04-6000-XX-XXX
Parties: Test Filer Company, Test 2 Utility, Inc.

Describe the document you wish to file

Select Type of Document

Comments

Complete the Summary for the Docket Card (e.g. Testimony of Joe Witness)

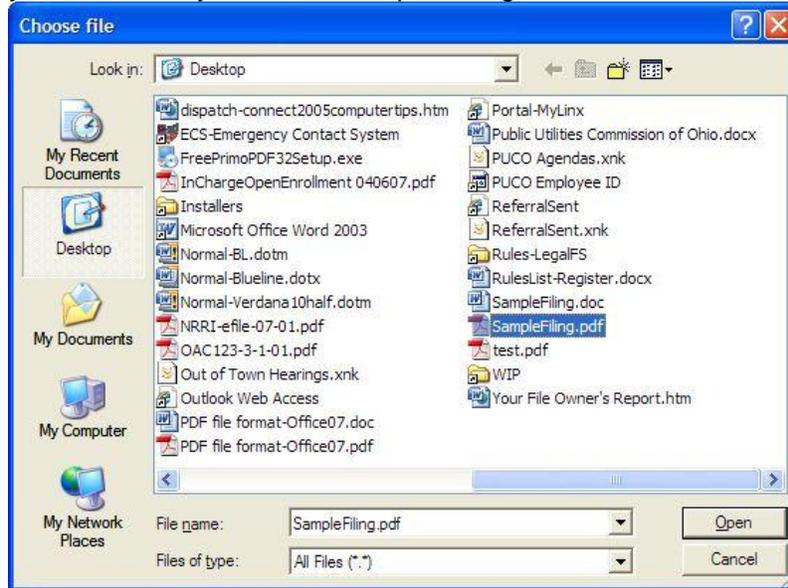
The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

6.07 Step 4 is uploading the official PDF file. First, check the case numbers and document summary displayed at the top of the screen. If these are incorrect, click on the “Previous” button to go back to make changes. Second, make sure your PDF complies with Section 5 of this manual. Each filing must be limited to one official PDF file which must be modifiable (no password protection) so that the time-stamped confirmation page can be inserted at the end. In addition, your official PDF file should not be created from a scanned image unless no other method is available. If your official PDF file size is greater than 5MB, divide the file so that no part exceeds this limit, and make separate filings for each part, labeling each part appropriately in the document summary (e.g., “Part 1 of 2”).

The screenshot shows the user interface for the Public Utilities Commission of Ohio's Docketing Information System (DIS). At the top, there is a navigation bar with "The Public Utilities Commission of Ohio" on the left and "Consumer Complaints | Contact Us" on the right. Below this is a red header with "DIS Help" on the right. A breadcrumb trail reads "PUCO > DIS > Subscribe & E-file > E-File a document". To the right of the breadcrumb is a "Case Lookup #" field with a search button. The main content area is titled "Step 4 Document Filing: Select the official pdf file". Below the title, it displays "Case Number(s): 03-6000-XX-XXX, 04-6000-XX-XXX" and a "Summary: Comments regarding test filing process electronically filed by Mr. Test R Filer on behalf of Test Filer Company and Test 2 Utility, Inc." A dark grey bar contains the heading "Select the official pdf file". Below this bar is a "Choose File" button followed by the text "no file selected". On the right side of this section is an "Add File" button. At the bottom of the interface are two buttons: "<< Previous" on the left and "Cancel Filing" on the right.

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

6.08 If everything is in order, click the “Choose File” button to display a dialogue box which will allow you to select your files for uploading.



Click on your official PDF document and click on the Open button.

6.09 Check the file path which is now displayed to be sure the correct file is selected. Click the “Browse” button to change your selection. If it is correct, click on the “Add File” button to upload the file.

PUCO > DIS > Subscribe & E-file > E-File a document DIS Help

Case Lookup #

Step 4
Document Filing: Select the official pdf file

Case Number(s): 04-6000-XX-XXX
Summary: Correspondence electronically filed by Mr. Test R Filer on behalf of Test Filer Company

Select the official pdf file

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

6.10 If the file is uploaded successfully, it will appear as a link or icon in a new bottom section of the screen showing the files which have been uploaded. This file is now labeled “Official pdf file” and is an active link which you can click to see the contents. If this is not the correct file, click the box next to the file link and click on the “Remove Selected File(s)” button. Then repeat the steps above to select the correct document. Once the correct official PDF file is uploaded, click the “Continue” button.

Document Filing: Select the official pdf file

Case Number(s): 04-6000-XX-XXX

Summary: Correspondence electronically filed by Mr. Test R Filer on behalf of Test 2 Utility, Inc.

Select source file(s)

Files selected for this filing. Review filenames before submission.

[SampleFiling.pdf](#) **Official pdf file**

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

6.11 Step 5 is to upload all source files. While DIS only permits one official PDF document per filing, there is no limit on the number of associated source files which may be uploaded as source files. Uploadable source file formats are listed in Section 5 of this manual. If you have an unlisted source file format, please contact Docketing at (614) 466-4095. If no source file is available, an explanation of the circumstances should be filed in its stead.

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

DIS Help

PUCO > DIS > Subscribe & E-file > E-File a document Case Lookup #

Step 5
Document Filing: Select source file(s)

Case Number(s): 03-6000-XX-XXX, 04-6000-XX-XXX

Summary: Comments regarding test filing process electronically filed by Mr. Test R Filer on behalf of Test Filer Company and Test 2 Utility, Inc.

Select source file(s)

no file selected

Files selected for this filing. Review filenames before submission.

[SampleFiling.pdf](#) Official pdf file

[SampleFiling.doc](#) Source file

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

6.12 The actual upload process for Step 5 is the same as in Step 4 and should be repeated until all source files have been uploaded. Each file is labeled as a source file and can be reviewed by click on the active link. Files can be removed by checking the box next to the file link and clicking on the “Remove Selected File(s)” button. Click the “Continue” button after all files are uploaded.

Step 5

Document Filing: Select source file(s)

Case Number(s): 04-6000-XX-XXX

Summary: Correspondence electronically filed by Mr. Test R Filer on behalf of Test Filer Company

Select source file(s)

Files selected for this filing. Review filenames before submission.

- [SampleFiling.pdf](#) Official pdf file
- [SampleFiling.doc](#) Source file
- [PDF file format-Office07.doc](#) Source file
- [CaseForm.doc](#) Source file

6.13 Step 6 is to review all information and files before submitting your filing. Click the “Previous” button to go back and make changes or the “Submit Filing” button if everything is correct.

Step 6

Document Filing -- Review Filing

Case Number(s): 04-6000-XX-XXX, 03-6000-XX-XXX

Summary: Comments regarding the E-Filing Procedures electronically filed by Mr. Test R Filer on behalf of Test 2 Utility, Inc. and Test Filer Company

Files selected for this filing. Review filenames before submission.

- [SampleFiling.pdf](#) Official pdf file
- [CaseForm.pdf](#) Source file
- [SampleFiling.doc](#) Source file
- [Cases by Title.doc](#) Source file
- [Expense Report.xls](#) Source file

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

6.14 Step 7 is the confirmation page which can be printed or captured as a screen shot for your files. The confirmation information will also be sent to your email address(es) and inserted as the final page of the official PDF document. Click the "Continue" button to return to your personal DIS page.

The Public Utilities Commission of Ohio Consumer Complaints | Contact Us

[DIS Help](#)

PUCO > [DIS](#) > [Subscribe & E-file](#) > [E-File a document](#) Case Lookup #

Step 7 E-Filing Confirmation

Please print and save this page as confirmation that the following document was electronically filed with the Public Utilities Commission of Ohio Docketing Information System:

Date & Time: 4/5/2007 2:36:27 PM
Case Number(s): 03-6000-XX-XXX, 04-6000-XX-XXX
Summary: Comments regarding test filing process electronically filed by Mr. Test R Filer on behalf of Test Filer Company and Test 2 Utility, Inc.
Confirmation Number: bed1523b-2e35-4a2f-aa2f-8365ff8e9ae2

Official PDF File: bed1523b-2e35-4a2f-aa2f-8365ff8e9ae2_Official_pucotester45200723432PM_SampleFilingSecure.pdf
Source File(s): bed1523b-2e35-4a2f-aa2f-8365ff8e9ae2_pucotester45200723526PM_SampleFiling.doc

Filings received after 5:30 p.m. Eastern Time will be deemed to be filed the following business day. All filings are subject to review and acceptance by the PUCO Docketing Division. Please call (614) 466-4095 if you have questions or need assistance. Do not reply to this message. Send any correspondence to docketing@puc.state.oh.us.

6.15 DIS will immediately send a confirmation message, similar to the one shown below, to your primary email address and up to four additional addresses listed in your profile. Please be sure that mail coming from puc.state.oh.us is not blocked by your email system or Internet service provider.

From: DISSUBSCRIPTION @ puc.state.oh.us
Sent: Tuesday, April 10, 2007 11:04 AM
To: pucotester @ mail.com
Subject: E-Filing Confirmation

Please print and save this page as confirmation that the following document was electronically filed with the Public Utilities Commission of Ohio Docketing Information System:

Date & Time: 4/10/2007 at 11:04:01.3604122 EST
Case Number(s): 04-6000-XX-XXX, 03-6000-XX-XXX
Summary : Comments regarding the E-Filing Procedures electronically filed by Mr. Test R Filer on behalf of Test 2 Utility, Inc. and Test Filer Company
Confirmation Number: 9a4ec055-0605-4f90-ae05-398d634bfb9e

Official PDF File: 9a4ec055-0605-4f90-ae05-398d634bfb9e Official_pucotester4102007105926AM_SampleFiling.pdfSecure.pdf
Source File(s): 9a4ec055-0605-4f90-ae05-398d634bfb9e_pucotester4102007105944AM_CaseForm.pdf, 9a4ec055-0605-4f90-ae05-398d634bfb9e_pucotester4102007110001AM_SampleFiling.doc, 9a4ec055-0605-4f90-ae05-398d634bfb9e_pucotester4102007110009AM_Cases by Title.doc, 9a4ec055-0605-4f90-ae05-398d634bfb9e_pucotester4102007110149AM_Expense Report.xls

Filings received after 5:30 p.m. Eastern Time will be deemed to be filed the following business day. All filings are subject to review and acceptance by the PUCO Docketing Division. Please call (614) 466-4095 if you have questions or need assistance. Do not reply to this message. Send any correspondence to docketing@puc.state.oh.us.

The Public Utilities Commission and Ohio Power Siting Board
Docketing Information System Electronic Filing Manual

6.16 Every filing is subject to review and acceptance by Docketing. Acceptance will be deemed to occur on the confirmation date if the filing time occurred during Docketing's business hours, or on the next business day if the confirmation occurred after business hours. Docketing may reject any filing if a file is unreadable, fails to meet legal or technical requirements, or any reason applicable to a paper filing. If your filing is rejected, you will be notified by email of the reason for such rejection. If your filing is accepted, the filing is immediately posted on the DIS web site and an email message similar to that shown below is sent to the filer and all subscribers to the case(s).

From: DISSUBSCRIPTION@puc.state.oh.us
Sent: Tuesday, April 10, 2007 12:01 PM
To: pucotester @ mail.com
Subject: New filing for case: 04-6000-XX-XXX

A new document has been added to case(s): 03-6000-XX-XXX 04-6000-XX-XXX

Link to document:
<http://dis.puc.state.oh.us/DocumentRecord.aspx?DocID=7348252d-fb5f-4f51-89c5-7a226fb3b912>

Summary: Comments regarding the E-Filing Procedures electronically filed by Mr. Test R Filer on behalf of Test 2 Utility, Inc. and Test Filer Company

NOTICE: The transmission of this message may constitute service of the foregoing document upon the recipient pursuant to rules adopted by the Public Utilities Commission of Ohio. Do not reply to this message. Please send all replies or questions to docketing @ puc.state.oh.us or call (614) 466-4095.

Docketing Information System Electronic Filing Participation Agreement

Pursuant to Chapter 4901-1, Ohio Administrative Code, the undersigned hereby requests to voluntarily participate in the electronic filing of documents via the Internet (E-Filing) using the Docketing Information System (DIS) of the Public Utilities Commission of Ohio (PUCO) and Ohio Power Siting Board (OPSB). The undersigned agrees that the use of a username and password in accordance with the PUCO's and OPSB's orders, rules, and technical specifications will constitute the filer's signature and validation of filed documents pursuant to Ohio's Uniform Electronic Transactions Act, Chapter 1306, Revised Code. The undersigned also agrees that notification of filings via the DIS electronic mail procedure shall constitute valid service of E-Filed documents. The undersigned further agrees to monitor email notifications and confirmation messages sent by DIS and notify Docketing immediately upon discovery of any error or inaccuracy. Unless otherwise directed by the PUCO or OPSB, the participant may choose to E-File in some instances but not in others. However, as a condition of making an E-Filing in any particular case, the filer agrees to be served via automatic email notifications generated by the system on all subsequent filings in that particular case.

The undersigned further acknowledges that participants and the parties on whose behalf they are filing assume all risks associated with the E-Filing of documents using DIS, including the risk that the system or E-Filing function may become unavailable at any time without prior notice, or that electronic mail notifications sent by DIS may be blocked or delayed by causes beyond the control of the PUCO or OPSB, or the participant. In addition, the undersigned acknowledges that failure to abide by the PUCO's or OPSB's orders, rules, technical requirements or other directives may result in the revocation of electronic filing privileges without prior notice.

Filer Information :

Name: _____
Company/Firm: _____
Mailing Address: _____
City, State & Zip Code: _____
Telephone(s): _____
Email address: _____ @ _____

Signature: _____

Send completed forms via fax (614-466-0313) or hardcopy to:
PUCO/OPSB Docketing Division
Attn: E-Filing
180 East Broad Street
Columbus, Ohio 43215-3793

After submission of this form, participants must create an account, and complete a DIS profile before E-Filing will be permitted. Further information is available at dis.puc.state.oh.us under [Electronic Filing Information & Links](#) or by calling (614) 466-4095.