

# Iowa Utilities Board EFS Filing Standards

The Iowa Utilities Board (IUB) electronic filing system (EFS) was launched in 2009. Filings in proceedings initiated prior to 2009 are available by request in paper at the IUB offices, 1375 E. Court Ave, Des Moines, Iowa.

## General Filing Requirements

In general, all filings related to a docket should be filed in EFS. Please review [199 Iowa Administrative Code chapter 14](#) for details regarding any exceptions or waivers.

Address all written communications to the IUB at:

Iowa Utilities Board  
Attn: Customer Service  
1375 E. Court Ave.  
Des Moines, IA 50319

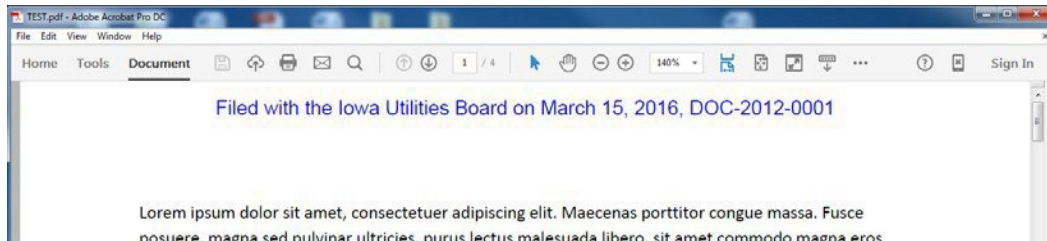
## Cover Letter and Affidavit

Cover letters are not required but can be useful to staff in understanding the purpose of the filing. When filing a cover letter, combine it with the filing. Affidavits do not need to be filed separate from the document; combine them as the last page of the document.

## Margin Requirements and Document Stamp

### PDF Files

- Text searchable preferred
- In order for the stamp to be visible on each document, one-inch margins are recommended.



### Excel Files

- 2003 or newer, .xls, and .xlsx only
- Include all cell formulae and cell references to allow staff to analyze and reproduce calculations
- Avoid placing information in cell A1; the system will automatically place the date stamp there. However, when downloading the Excel file, you can move the stamp to another location on the worksheet and save the file.

	A	B	C	D	E	F	G
1		Filed with the Iowa Utilities Board on June 7, 2016, Fcu-2014-0001					
2		Test Utility Company					
3		Iowa Service Area			Exhibit I		
4		Net Cost					

### GIS (map) Files

- Accepted map file types include: kmz, kml, shp, shx, dbf, and prj
- The system will automatically place a date and docket stamp on the file name

### Submitting Confidential Information

If you request confidential treatment of any information in a document, you must submit a request for confidential treatment along with two versions of the document:

1. **Public version:** This version should be a redacted copy of the confidential filing. When submitting an Excel document, all confidential information should be redacted with formulas deactivated.
2. **Confidential version:** This version should be clearly marked as confidential (preferably in red). Include all confidential material and formulas where applicable.

**Note: If an entire document is confidential, a public version must be submitted to serve as a placeholder for reference when searching in EFS. It is the filer's responsibility when submitting a public version of any document to take appropriate measures to ensure that any embedded confidential information is nonviewable, nonsearchable, and nonreversible.**

### System Filing Requirements

Filers may file information in the following formats:

1. PDF (text searchable preferred)
2. MS Excel (2003 or newer) for spreadsheets and workbooks (.xls and .xlsx only)
3. GIS (map) Files
4. Accepted map file types include: kmz, kml, shp, shx, dbf, and prj

Remove all password protection from documents submitted.

**Note: It is preferred to keep documents under 15 megabytes in size and under 20 documents per filing.**

### Signatures

Live signatures are not allowed within any filed document. A signature designation of “/s/ Name” is required per 199 Iowa Administrative Code (IAC) 14.13. Handwritten signatures are not allowed in an electronic document because documents showing a handwritten signature are often scanned and not word-searchable.

### Naming Conventions for Documents and Filings in EFS

When naming filings and documents, be clear, consistent, concise, and complete. When a filing contains a single document, the filing title and document title may be the same.

Filings made under the Iowa Administrative Code, the Code of Iowa, or United States Code should include the code citation in the filing title (e.g., Alternate Energy Production Annual Report, 199 IAC 15.11(3); Joint Filing of Guidelines, 199 IAC 20.2(4)(g); Fourth Quarterly Report, Iowa Code 476.29).

Filing and document titles may be up to 200 characters. The file name for the actual document you attach has an 80-character limit.

### Testimony

The document name for a document containing testimony should include the word “Testimony” and at least the last name(s) of the witness(es) in the document title (e.g., Smith Exhibit Direct Testimony). Testimony shall be designated using the filing party’s name, last name of the witness, and then the type of testimony: “Direct,” “Rebuttal,” “Reply,” or “Supplemental.”

Example: “[Filing Party Name] Smith Direct Testimony.” The testimony shall be marked and offered into evidence at the hearing.

### Exhibits

Similar naming should apply for exhibits and workpapers or any other documents where the identity of the person presenting the information is key information (e.g., Smith Exhibit 1).

Any evidence supported by a witness shall be marked with the witness’s last name and then Exhibit, the type of exhibit (e.g., “Direct,” “Rebuttal,” “Reply,” “Supplemental”), and the Exhibit number. Exhibits shall be filed separately from the testimony.

Examples: “[Filing Party Name] Smith Direct Exhibit 1” or “[Filing Party Name] Smith Direct Exhibits 1, 2, 3.”

### Hearing Exhibits

Hearing exhibits shall be marked with the filing party’s name then the exhibit number. A copy of all hearing exhibits shall be provided to the court reporter, the other parties, the board, and copies for IUB staff.

Example: “[Filing Party Name] Hearing Exhibit 101.”

### Workpapers

Workpapers filed in support of an exhibit shall be marked with the filing party’s name, then the exhibit number for the exhibit that the workpapers support, and then the word “workpapers.” Workpapers do not need to be provided to the court reporter unless the workpapers are made an exhibit at the hearing.

Example: “[Filing Party Name] Smith Direct Exhibit 1, Workpapers.”

### **Other examples of general docket filing titles:**

Appearance	Post-Construction Inspection Report
Comment	Response
Customer Complaint	Staff Review Letter
Objection	Standard Inspection

**Other examples of docket specific filing titles:**

Application for Authority to Provide Competitive Local Exchange Service  
Application for Electric Rate Increase  
Application for Extension of Electric Franchise  
Complaint to Reduce Access Charges to Economic Cost  
Complaint for Reform of Access Charges  
Complaint Regarding Unfair Application of Balancing Penalties  
Joint Motion for Adoption of Stipulation  
Proposed Purchased Gas Adjustment Tariff Revision

**Other examples of document titles:**

Cover Letter  
Tariff Filing  
Electric Reports  
Gas Reports  
Petition to Intervene  
Petition for Formal Proceeding  
Proof of Publication  
Amendment (add a numeric value if needed; example: Amendment 3)  
Exhibit (add a numeric value if needed; example: Exhibit B1)  
Testimony Direct (add last name of testifying party)

Contact Customer Service at (515) 725-7337 or [ITsupport@iub.iowa.gov](mailto:ITsupport@iub.iowa.gov) for any questions relating to these standards.

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