

# *eDocket*

## Reference Guide



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## DISCLAIMER

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*REMINDER: ALL documents submitted for filing in Docket are public records and will be available and viewable for public inspection at Docket Control and on the internet. As such, we remind filers that it is their responsibility to ensure all information of a personal or confidential nature is submitted in redacted form. Please contact Docket Control with questions on how to provide confidential material.*

# *e-Docket* Reference Guide

## ***INTRODUCTION***

### **OVERVIEW**

The Arizona Corporation Commission (ACC) welcomes you to the Electronic Docket Management System (*e-Docket*), an electronic docket information management system accessible to the general public on the internet. The following information is provided to explain the purpose and functions of *e-Docket* and present the procedures for searching and viewing the available data.

### **WHAT IS *e-Docket*?**

*e-Docket* is a web-based information management system used for public information pertaining to ACC cases and rule-making proceedings referred to herein as cases or dockets.

NOTE: All official filings must be submitted to Docket Control in paper form per the current procedures, which require an original and 13 copies. The ACC Docket Control office does not accept faxes or electronic filings at this time.

Filings are accepted during normal business hours, Monday through Friday [except for official state holidays], 8:00 a.m. to 5:00 p.m. at the ACC, 1200 West Washington St., Docket Control, Room #108, Phoenix, Arizona 85007.

### **Key Benefits of *e-Docket***

- Search dockets and view and print filed documents in open and closed cases.
- Monitor Dockets using the eDocket Subscription Service.
- Find and view ACC Calendar events.
- Run reports on Pending Matters, Decisions, New Applications and Filings.

## USING THIS REFERENCE GUIDE

This document is available in Adobe Portable Document Format (PDF) at the ACC web site and can be downloaded and viewed in Acrobat Reader.

In the "Search Methods" section of this Guide you will find the step-by-step procedures for performing each of the primary searches:

1. **Company Name.** Locate dockets and documents for a particular company.
2. **Docket Number.** Enter a docket number and view the Docket Details report for that docket with links to 6 other reports specific to that docket - Docket Sheet, Documents, Decisions, Case Schedule Staff Assigned, Service List, and Linked Dockets.
3. **Documents.** View a list of the filings docketed in a case and view the electronic images of those documents.
4. **Docket Detail.** Search using a combination of basic information pertaining to a docket to include company name (or DBA), docket type, current status and/or specified date range.
5. **Full Text Search.** Construct queries using specific key words or phrases and retrieve documents that contain those words/phrases. *Unavailable at this time.*
6. **Decisions.** Locate information and images for Decisions issued by the ACC.
7. **Events.** Locate the date, time and location of various events associated with a docket such as hearing, pre-hearing conference, procedural conference, telephonic procedural conference, open meeting, public comment sessions and special open meetings.

Additional searches include:

1. **View Reports.** There are a number of reports to choose from. Information can be examined by case type, date range and other options. The full docket number must be used. Some popular reports are:
  - a. **Daily Distribution Report.** Enter a specific date and view the list of documents that were docketed on any given date.
  - b. **Pending Matters Report.** View a comprehensive list of all open dockets.
  - c. **Decision Report(s).** ACC decisions can be viewed by most recent, date range or company.

## FUNCTIONAL SCREEN ELEMENTS

Functional screen elements are objects you select or click with the mouse to cause an action. The following table provides you with examples and brief explanations of the functional elements you will see in the various *e-Docket* screens.

### ELEMENT

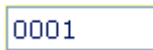
### FUNCTION

#### ***Drop-Down List Box***



A drop-down list box allows you to choose one option from a list of possibilities. It is a small window, displaying the currently selected option, next to a button marked with a down arrow. Click the button and the list will drop down. Select the option you would like by clicking on it with the mouse.

#### ***Text Box***



A small box into which you enter text or view text.

#### ***Hyperlink***

[View Company](#)

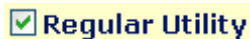
A connection between a screen item, such as a word, phrase, symbol or image and information pertaining to that item on another screen in another location. Linked items are usually underlined or the text is a different color. You can activate the link by clicking on the underlined or different colored text.

#### ***Button***



An element that performs the function specified on the face of the button. Activate the button by clicking it with the mouse.

#### ***Check Box***



A control device used to select or “deselect” one or more features or options from a set of options. When an option is selected, a checkmark appears in the box.

#### ***Radio Button***



A control device used to select between one or more features or options from a set of options. When an option is selected, its button is filled.

## **HARDWARE AND SOFTWARE REQUIREMENTS**

The following are the minimum system requirements:

The *e-Docket* web site was originally designed and tested using Internet Explorer 6.0. However the site is continually updated and it is recommended that your web browser be latest non-beta version of MSIE. At this writing, IE version 8. You can check your browser version by choosing "Help", and then, the "About" option in your browser.

## DOCKET NUMBERS EXPLAINED

Explanation addressing the docket numbering system:

A docket number has five (5) primary and specific sections. The 4-digit field at the end is used for line siting case numbers only. Refer to the following docket number as an example:

T - 01234 A - 02 - 0021 - XXXXX  
1        2    3    4        5        6

1. **Prefix:** The "T" designates a telecommunications case. (See Appendix A for a complete list and description of all prefix designations.)
2. **Company Number:** The "01234" designates the company number unique to a specific company.
3. **Division:** The "A" designates the specific division.
4. **Year:** The "02" designates the year the case was filed. For example, this case was filed in 2002.
5. **Matter:** The "0021" designates the unique identifying matter number assigned to this case when the case was opened.
6. **Line Siting (Case Number):** The last 5-digit field at the end of the docket number is for line siting case types ONLY.

**NOTE:** *e-Docket* automatically generates matter numbers and displays them as 6-digits - a 2-digit year followed by a 4-digit sequential matter number. The sequential 4-digit matter number starts over each year.

## SUMMARY OF THE DATA SCREENS WITHIN A DOCKET

- **Docket Information Screen.** Basic information about a docket which includes:
  - Docket Number.
  - Company/dba Name.
  - Case Type.
  - Current Status.
  - Date the Docket was Opened.
  - Description.
  - Special instructions.
- **Docket Sheet.** A list and brief description of all documents, briefs, testimony, exhibits and transcripts etc., that have been docketed. From this screen you are able to view the electronic image of the document (if available).
- **Decisions.** A list of all Decisions issued in a particular docket. From this screen you are able to view the electronic image of each Decision document (if available).
- **Case Schedule.** Provides the date, time & location for the following events:
  - Hearings.
  - Pre-hearing conferences.
  - Procedural conferences.
  - Telephonic procedural conferences,
  - Open Meetings.
  - Public comment meetings.
  - Special open meetings.
- **Staff Assigned.** A list of ACC Staff members who are assigned to a particular docket, including a list of all A-Team members.
- **Service List.** A list of all parties to a case who have filing rights and who are notified of all scheduled events. The service list includes mailing addresses of the parties and can be used to create mailing labels or to generate a service list for document filing.
- **Linked Dockets/Consolidated Dockets.** If the docket is consolidated (*two or more dockets grouped together so that the dockets can be heard and resolved as a single proceeding*) with another docket or dockets, each docket number in the consolidation is linked to the other docket on the "Linked Dockets" tab within each docket.

## ***SEARCH METHODS***

### **1 - COMPANY SEARCH**

Overview: Locate docket and documents for a particular company. Type in (or select from the drop-down list) a specific company name or trade name (often referred to as "DBA") and view a list of dockets related to this company. The results list will contain links to all of these dockets. Click "View Details" to review detailed information for the docket.

Following is a step-by-step description to help facilitate navigation of this screen:

Note: The application will automatically conduct the search of both the "Company Name" and "DBA" fields.

- 1) In the text box for "Company Name" enter the name of a company in the text window. A list of company names that match that name will appear.

Or,

- 2) Simply use the drop-down feature to select the company name that you are looking for.

Or,

- 3) Enter the DBA to search the records.

Then,

- a) Select "Search".
- b) The results will be a listing of all dockets for the specific company that matches your search.
- c) Select "View Details" to view a specific docket for your company.

Other search options on this page include *Docket Number* and *Document*.

## 2 - DOCKET NUMBER SEARCH

Overview: Locate dockets by docket number. Enter a docket number and view key information pertaining to that docket. Click "View Details" to review detailed information for the docket.

Following is a step-by-step description to help facilitate navigation of this screen:

1) In the "Docket Number" field, enter the entire docket number (if known).

Or,

2) In the "Year-Matter" field, enter the year and matter number.

Then,

- a) Select "Search".
- b) The results provide you with the specific docket requested.
- c) Select "View Details" to view the docket information.

Other search options on this page include *Docket Details* and *Document*.

## 3 - DOCKET DETAIL SEARCH

Overview: Locate dockets and docket data by choosing from various combinations of search options. This page is extremely versatile and is helpful when conducting research which is narrow in scope.

Specify different parameters (company name, DBA, docket type, case type, current status and/or a specific date range) to search dockets.

Following is a step-by-step description to help facilitate navigation of this screen:

Note: Select one (1) or more of the parameters on the screen. You are not required to use every option.

1) In the "Company Name" field enter the name of the company in the text window.

And/Or,

2) In the "DBA" field enter the name of the company in the text window.

And/Or,

3) In the "Docket Type" field use the drop-down list box to select this option.

**And/Or,**

- 4) In the "Current Status" field use the drop-down list box to select this option.

**And/Or,**

- 5) To restrict the search to a specific date range use the list boxes to select day/month/year.

**Then,**

- a) Select "Search".
- b) The results will be a listing of all dockets meeting the selected criteria.
- c) Select "View Details" to access and view all the information for that docket.

Other search options on this page include **Docket Number** and **Document**.

#### **4 - DOCUMENT DETAIL SEARCH**

**Overview:** Locate and view documents by choosing from various combinations of search options. Specify the search parameters (docket number or year-matter, document code/document sub-code, company name, filed by, barcode and/or a specific date range) to narrow your search.

Following is a step-by-step description to help facilitate navigation of this screen:

Note: Select one (1) or more of the parameters on the screen. You are not required to use every option.

- 1) Set at least one (1) parameter for the search.
- 2) In the "Docket Number" field enter the entire docket number (if known).

**Or,**

- 3) In the "Year-Matter" field enter the year and matter number.

**And/Or,**

- 4) In the "Document Code" field select one (1) code only from the drop-down list box.

**And/Or,**

- 5) In the "Sub Code" field select one (1) code only from the drop-down list box.

**And/Or,**

- 6) In the "Company Name" field enter a company name or select a company name from the drop down list box. Incorporating this search option will assist in sufficiently narrowing your search.

And/Or,

- 7) In the "Filed By" field enter the name of the individual who filed the document or select from the drop down list box.

And/Or,

- 8) In the "Barcode" field enter the entire barcode number for your document (if known).

And/Or,

- 9) To restrict the search to a specific date range use the drop-down list boxes to select day/month/year.
  - a) IF you select a date range and no other parameters, the result will be a list of all documents in all dockets that were filed/docketed during the date range specified in your search.

Then,

- b) Select "Search".
- c) The results will be a listing of all documents meeting the selected criteria.
- d) Select "View Image" to view a specific document.

Other search options on this page include *Docket*.

## **5 - DOCUMENT FULL TEXT SEARCH**

Construct queries using key words or phrases and retrieve documents containing those terms. Not available at this time.

## **6 - DECISION NUMBER SEARCH**

Locate information for Decisions issued by the ACC. Currently, images are available for Decisions that were issued during 2001 or after March 10, 2004. Docket Control is in the process of imaging Decision dockets back to and including January 1, 2001. All historical Decisions that are not in *e-Docket* are maintained in Docket Control.

Following is a step-by-step description to help facilitate navigation of this screen:

- 1) Enter the Decision number in the "Decision Number" field.
- 2) The results screen will provide you detailed information specific to that Decision, to include:
  - a) Company name.
  - b) Filed by.
  - c) Barcode number.
  - d) Microfilm location.
  - e) Document code and sub code.
  - f) File date.
  - g) Brief description of the Decision.

3) Click on "View Image" to view the document image.

Or,

4) Click on "View Details" to view the docket or dockets for this Decision.

There are no other search options on this particular search screen.

## **7 - EVENT DETAIL SEARCH**

Locate the date, time and location of various events (hearing, open meeting, pre-hearing conference, procedural conference, public comment, special open meeting, telephonic procedural conference) scheduled for a specific date or date range.

Following is a step-by-step description to help facilitate navigation of this screen:

- 1) In the "Event Type" field use the drop-down list to select the type of event.
- 2) To restrict the search to a specific date or date range use the list boxes to select day/month/year.

Then,

3) Click "Search".

4) The results will be a listing of all events which meet the selected criteria.

There are no other search options on this particular search screen.

## ***REPORTS***

To view a list of available reports, click on the "Reports" icon. A drop down menu will appear. Reports can be chosen from this list. All reports are accessed in a similar manner. Instructions are below:

### **VIEW DAILY DISTRIBUTION REPORT**

The Daily Distribution Report lists all documents filed with the ACC on a specific date (as specified in your search).

For the current day, this report is a near real-time report. As documents are filed, entered, scanned and reviewed for quality control purposes by the ACC Docket Control office, the list is updating. Consequently, you may want to check the current day's report throughout the day.

On days when the ACC Docket Control office receives a high volume of filings, incoming documents may not be processed and thus, available for viewing, until the following business day.

Following is a step-by-step description to help facilitate running this report:

- 1) From any screen within the e-Docket program move your mouse to the top of the screen and click on the icon that says "Reports". This will take you to the "Reports" screen.
- 2) At the far left of the screen you will see the "Select Report" field.
  - a) Click on the title of the report you want to view.  
**EXAMPLE:**
  - b) Click on "Daily Distribution Report".
  - c) Select "Filing Date" using the drop-down boxes.
  - d) Select the format for the report
  - e) Click on "Run Report".
  - f) Results: The next screen will be the Daily Distribution Report for the specified date. The report includes the following information for each filing listed on the report:
    - i) Docket number.
    - ii) Case type.
    - iii) Company/DBA name.
    - iv) Document type.
    - v) Name of individual who filed the document.

To view a list of available reports, click on the "Reports" icon. A drop down menu will appear. Reports can be chosen from this list.

## Appendix A: Prefix Designations

A	ACC Administrative Actions/Securities
C	Communications
E	Electric
G	Gas
I	Irrigation
L	Line Siting Committee
RC	Rules/Communications
RE	Rules/Electric
RG	Rules/Gas
RI	Rules/Irrigation
RR	Railroad Safety
RRR	Rules/Railroad
RS	Rules/Securities
RSW	Rules/Sewer
RT	Rules/Telecommunications
RW	Rules/Water
S	Securities
SW	Sewer
T	Telecommunications
W	Water
WS	Wastewater/Sewer