

# NCUC Electronic Filing User Guide

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# NCUC Electronic Filing User Guide

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## First Time Users

### Creating an NCID account:

In order to use the Commission's electronic filing system, you must first create an account in the state's central identity management system, NCID. This should be done for each filer, even within the same company. In order to create an account, please go to: <https://ncid.nc.gov/idmdash/#/default> and follow the prompts to create an account.

NOTE: You must keep track of your challenge question answers in order to reset this account at any time in the future. NCUC does not maintain user accounts. Any future account maintenance (password resets, etc.) can be done at <https://ncid.nc.gov>.

Once account creation is complete, this user ID and password can be used to log into the NCUC Online Filing System.

For more information about creating an NCID account, please refer to section 2.2 Individual and Business Users in the online NCID Users Guide at:

<https://files.nc.gov/ncdit/documents/files/NCID-NG-User-Guide.pdf>

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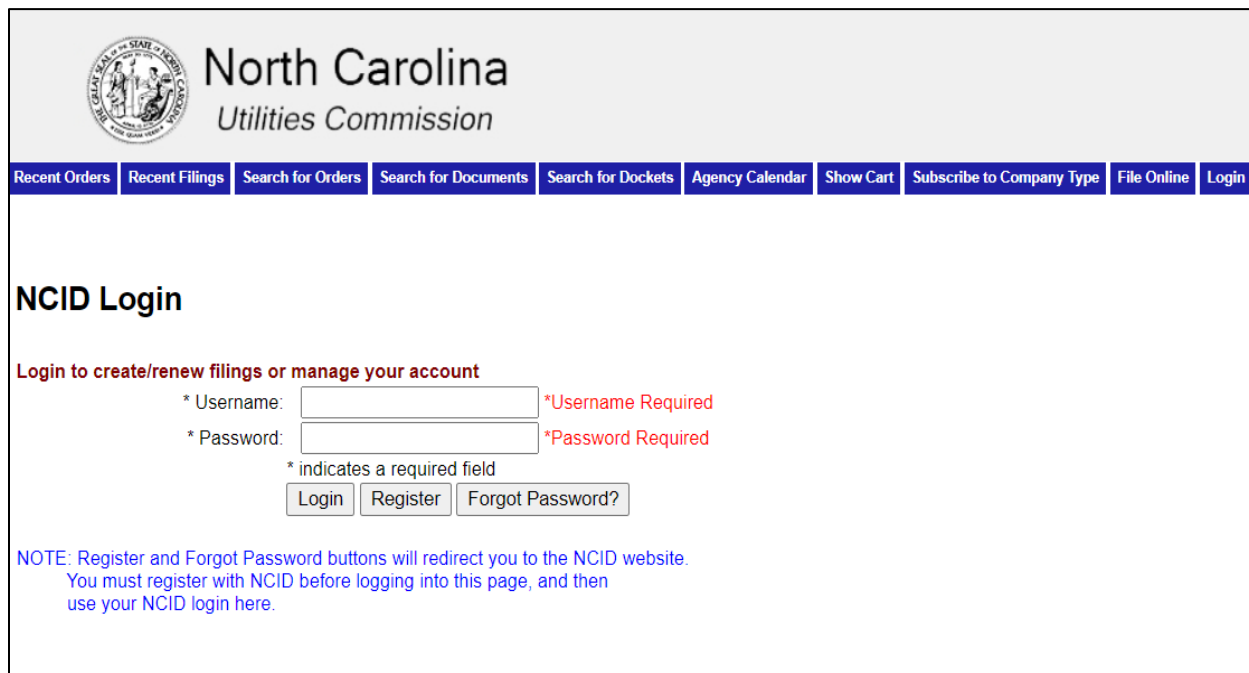
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## Filing Online

Go to the user portal at:

<https://starw1.ncuc.gov/NCUC/page/NCIDLogin/portal.aspx>

Login with your NCID username and password and click the login button.



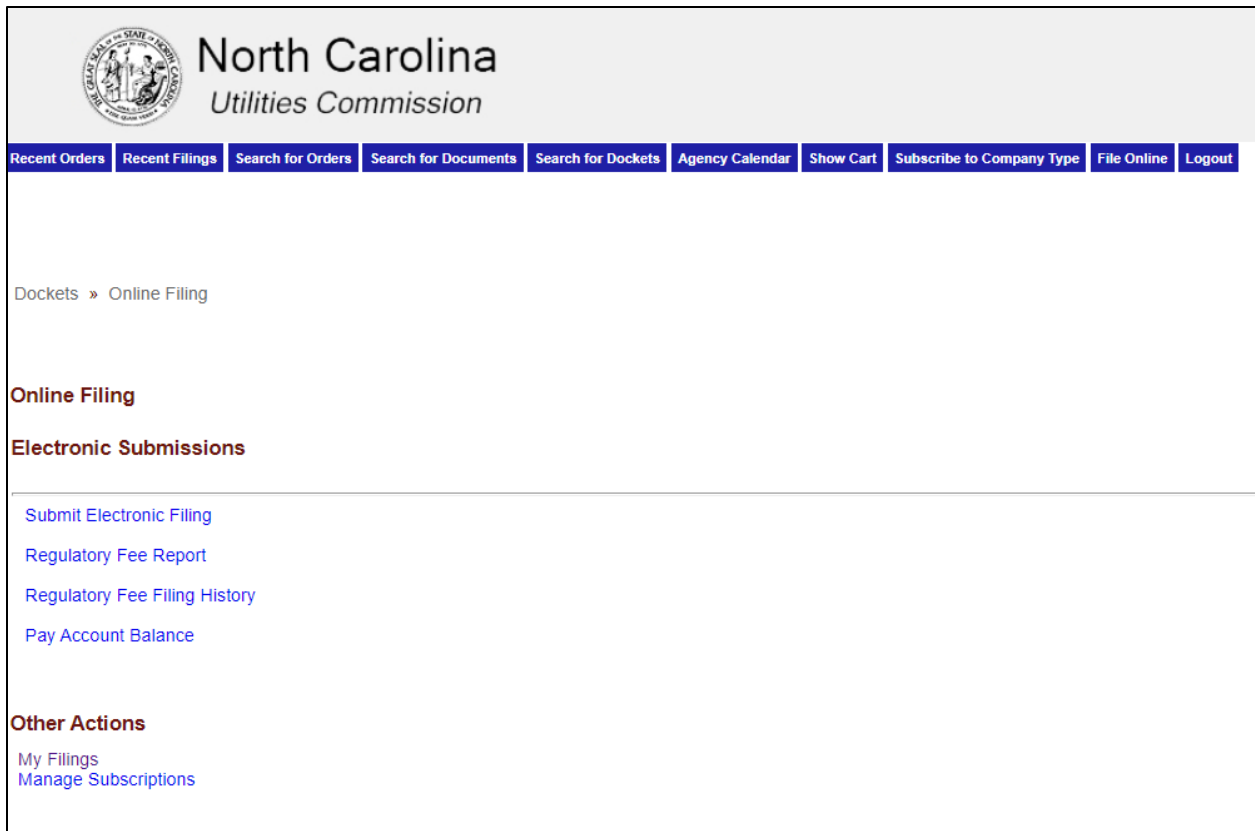
The screenshot shows the NCUC website header with the logo and navigation menu. Below the header is the "NCID Login" section. It includes a heading "Login to create/renew filings or manage your account", two input fields for "Username" and "Password" with red asterisks and labels "\*Username Required" and "\*Password Required" respectively. A note below the fields states "\* indicates a required field". At the bottom of the login section are three buttons: "Login", "Register", and "Forgot Password?". A blue note below the buttons reads: "NOTE: Register and Forgot Password buttons will redirect you to the NCID website. You must register with NCID before logging into this page, and then use your NCID login here."

**Note:** You must have a docket number to electronically file online. If your filing does not have a docket number that was previously created, you will need to reserve one using the reserve docket number form on the Commission's website [here](#). The only filings that do not require a docket number are company folder filings.

Docket numbers must be displayed on the top page of all electronic correspondence in accordance with Commission rules. Filings received without docket numbers will be rejected: **Rule R1-8. DOCKET NUMBERS REQUIRED ON PLEADINGS AND PAPERS** All pleadings, papers and correspondence relating to formal proceedings to which docket numbers have been assigned shall refer to such docket numbers.

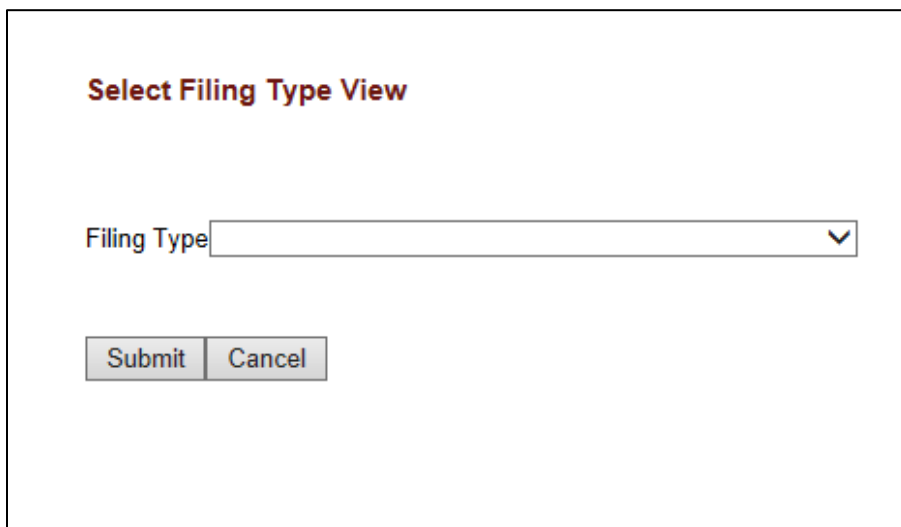
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Once logged in, go to the File Online tab. Under Electronic Submissions, select Submit Electronic Filing.



The screenshot shows the North Carolina Utilities Commission website interface. At the top left is the state seal. The header includes the text "North Carolina Utilities Commission". A navigation bar contains several tabs: "Recent Orders", "Recent Filings", "Search for Orders", "Search for Documents", "Search for Dockets", "Agency Calendar", "Show Cart", "Subscribe to Company Type", "File Online", and "Logout". Below the navigation bar, the breadcrumb "Dockets » Online Filing" is visible. The main content area is titled "Online Filing" and "Electronic Submissions". Under "Electronic Submissions", there are links for "Submit Electronic Filing", "Regulatory Fee Report", "Regulatory Fee Filing History", and "Pay Account Balance". Under "Other Actions", there are links for "My Filings" and "Manage Subscriptions".

Select the correct filing type from the drop-down menu shown below and click submit.



The screenshot shows a form titled "Select Filing Type View". It contains a label "Filing Type" followed by a drop-down menu. Below the drop-down menu are two buttons: "Submit" and "Cancel".

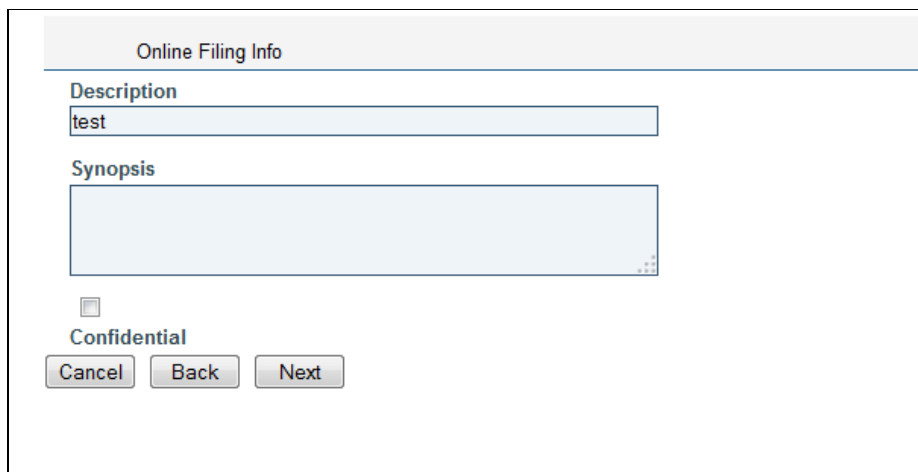
# NCUC Electronic Filing User Guide

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Type in the description of the filing. The synopsis is optional.

NOTE: If the filing is confidential, you must check the confidential box. You will need to file both a redacted and non-redacted version of a filing, but they must be filed as two separate filings, and you must be sure to file the non-redacted version as confidential. The word “confidential” should be included in the description of the confidential filing and the word “redacted” should be included in the description of the redacted filing.

Click next.



The screenshot shows a web form titled "Online Filing Info". It contains the following elements:

- A "Description" label above a text input field containing the word "test".
- A "Synopsis" label above a larger, empty text area.
- A checkbox labeled "Confidential" which is currently unchecked.
- Three buttons at the bottom: "Cancel", "Back", and "Next".

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The entity/company selection is required. The filing must be for a company that is regulated by the Commission. If you are unsure of this or if you are a company that is requesting to be registered with the Commission, please contact the NCUC Chief Clerks Office at 919-733-7328.

To search for a company, type in any part of a company name and click search. Wildcard searches are allowed by using an asterisk (for example E\*).

**Selected Entities View** Select Company Related to User

or  
Type company name and click search

Entity Name	Primary Address	EmailAddress	Telephone	Fax
-------------	-----------------	--------------	-----------	-----

# NCUC Electronic Filing User Guide

If the company/entity is found, click the Entity name to select it.

Name:   
Entity Name:

Entity Name	Entity Number	Address
<a href="#">DukeNet Communications, LLC</a>	P-426	Mail Code ST29D 400 South Tryon Street Charlotte, NC 28285
<a href="#">Duke University</a>	STS-3	Box 90210 Durham, NC 27708
<a href="#">Duke Energy Carolinas, LLC</a>	E-7	526 S. Church Street Charlotte, NC 28202
<a href="#">DUKE ENERGY RENEWABLES NC SOLAR, LLC</a>	SP-5448	139 E. Fourth St. Attn. Brian Stallman, Vice President Cincinnati, OH 45202
<a href="#">DUKE, SUSAN P.</a>	SP-1469	111 HILLSPRING LANE CHAPEL HILL, NC 27516
<a href="#">DUKE ENERGY PROGRESS, LLC</a>	E-2	PO Box 1551 Raleigh, NC 27602-1551
<a href="#">DUKE UNIVERSITY</a>	SP-3345	114 S. BUCHANAN BLVD DURHAM, NC 27708

The company/entity will be added. If this entity is not correct, click the delete link and select again. Otherwise, click the submit button.

**Selected Entities View**

Select Company Related to User

or  
Type company name and click search

Entity Name	WebAddress	EmailAddress	Telephone	Fax	
Duke Energy Carolinas, LLC		heather.smith@duke-energy.com	1-704-594-6200		<a href="#">Delete</a>

# NCUC Electronic Filing User Guide

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If a company/entity was not correctly added to the filing, you will receive this message. Click the return button to search for a company/entity. If you are unsure of this or if you are a company that is requesting to be registered with the Commission, please contact the NCUC Chief Clerks Office at 919-733-7328.

## **Related Entity**

An entity must be related to this submission. Return to Relate Entity screen?

[Return](#)

[Cancel](#)



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**Note:** You must have a docket number to electronically file online. If your filing does not have a docket number that was previously created, you will need to reserve one using the reserve docket number form on the Commission's website [here](#). The only filings that do not require a docket number are company folder filings.

To see dockets related to the company/entity previously selected, click the drop-down menu and select the correct docket. Click the add button. Repeat this process for each applicable docket/matter. If all related dockets have been added for this filing, click the submit button.

**or**

To perform a docket search or to file into a closed case/matter, type in the docket number or partial docket number with a wildcard search (for example E-7\*) and click the search button.

**Related Dockets**

Please select the open matter(s) for this filing. You will repeat this process for each applicable matter. Do not make a selection if your filing is for a new matter or not associated with a matter. Use the search function if you want to submit this filing into a closed matter

Select Docket related to Companies  
E-7 Sub 0-reserved test

or

Type in Docket Number and click search

Docket #	Description
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Click on the correct docket number if found. To search with a partial number, enter the numbers and an asterisk to do a wildcard search (for example e-7\*) and click search. Once the correct docket is found, click on the docket number link to select it.

Search Docket View

Docket #:

DocketNumber	Description	Synopsis	Issue Date
<a href="#">SP-751 Sub 0</a>	Petition for Sale/Transfer of Certificate of Public Convenience and Necessity from SECDC, LLC		8/14/2013 12:00:00 AM

If all related dockets have been added for this filing, click the submit button.

**Related Dockets**

Please select the open matter(s) for this filing. You will repeat this process for each applicable matter. Do not make a selection if your filing is for a new matter or not associated with a matter. Use the search function if you want to submit this filing into a closed matter

Select Docket related to Companies

or

Type in Docket Number and click search

Docket #	Description	
<a href="#">W-218 Sub 0</a>	New Docket	<a href="#">Delete</a>
<a href="#">T-4526 Sub 0</a>	testing to create sub 0	<a href="#">Delete</a>
<a href="#">E-7 Sub 1</a>	test to see if sub 1 is assigned glm	<a href="#">Delete</a>

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Enter a contact name and contact phone number for the filer. These fields are required. This information should be about the person who is actually submitting the electronic filing. It will only be used by the Chief Clerks office to contact the filer if necessary.

File Submission Contact Information

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File Submission Contact Information

**Contact Name**

**Contact Phone Number**

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At least one document is required per filing. To upload a document(s), click the browse button. Only PDF documents are accepted.

Once each file is found and selected, an optional description may be entered. You must click the Add File button to complete the file upload for each file. If the files are correctly uploaded, the file name and file size will be displayed. The file size upload limit is 50MB per file. If your document is larger than this, please split it into multiple documents for uploading. Once all files are uploaded, click the submit button.

**Upload File**

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Click the Browse button to select a file. Click the Add button to add the file. Click the Submit button to continue.

\* **Browse for a file:**

**Enter a description for the file (optional):**

\* indicates a required field

Name	Size	Description
Test document.pdf	73587	<a href="#">Delete</a>

If there is no fee associated with this filing, the screen below will be displayed. Click Finalize Submission. For filings with fees, see page 14.

**Filing Process Ended.**

**Click the Finalize Submission button to complete the submission.**

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Click the "Finished" button to complete the filing and return to the web portal.



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## Electronic Payment of Filing Fees

When the filing type selected requires a fee, the screen below will be displayed with the fee amount. The only accepted payment method is electronic check. You will need to have your bank routing number and bank account number available. Click the pay now button to continue.

**Payment Processing**

The amount due is \$25.00

Select Pay by electronic check and click next.

\* Indicates required field


**Choose method of payment**

Pay by electronic check

\* Account Type:  ▼

# NCUC Electronic Filing User Guide

The required information is marked with an asterisk. Once all information is entered, click next.



## NCUC Docket System

### Payment Information

\* Indicates required field

#### Billing Address

\*First Name:

M.I.:

\*Last Name:

\*Street Line 1:

Street Line 2:

\*City:

\*State:

\*Zip:

\*Phone:

\*E-Mail:

#### Payment Details

\*Payment Amount: 25.00 USD

Your account will be debited in 1 to 3 days from the date identified. If your payment date falls on a non-banking day your payment will be executed on the next available banking day. Current date payments received 4:00 PM MT will be executed on the next valid banking day.

#### Payment Method

\*Account Number:  [What's This?](#)

\*Re-Type Account Number:


\*Routing Number:  [What's This?](#)

\*Account Type:  Checking  Savings

[Back](#) [Next](#) [Exit](#)

# NCUC Electronic Filing User Guide

Review the payment information. If all information is correct, click the Pay Now button. If corrections are needed, click the back button.



## NCUC Docket System


### Payment Review

Address
<b>Billing Address:</b> Test User 430 N. St. Raleigh, NC 27603 (919) 919-9191 testuser@ncuc.net
Payment Method
Electronic Check Checking x1111 121000358
Payment Amount
Amount: 25.00 USD
Total: 25.00 USD
By clicking PAY NOW, I authorize my payment to be processed as an electronic funds transfer or draft drawn from my account. If the payment is returned unpaid, I authorize you or your service provider to collect the payment and my state's return item fee by electronic funds transfer(s) or draft(s) drawn from my account.
If this payment is from a corporate account, I make these authorizations as an authorized corporate representative and agree that the entity will be bound by the NACHA Operating Rules. To exit without authorizing, click EXIT.
<a href="#">Back</a> <a href="#">Pay Now</a> <a href="#">Exit</a>



# NCUC Electronic Filing User Guide

A receipt screen will be displayed. The receipt can be printed if necessary, by clicking the Printable Receipt link. You must click the Exit button to correctly complete the transaction.

 **NCUC Docket System**

**Payment Results**

**Thank You** [Printable Receipt](#)

Merchant: NC Util Commission/Star System  
Merchant City/State: Raleigh, NC  
Payment Status: Payment Success  
Payment Date: 09/27/2013  
Confirmation Number: 13092700594253  
Billing Address: Test User  
430 N. St.  
Raleigh, NC 27603  
(919) 919-9191  
E-Mail Address: testuser@ncuc.net  
Total Amount: 25.00 USD  
Account #: x1111  
Routing #: 121000358  
Account Type: Checking  
Reference: ab2b74b8-29c5-412e-9a6c-4dd1e0f92796

[Exit](#)

Click Finalize Submission to complete the filing.

**Filing Process Ended.**

**Click the Finalize Submission button to complete the submission.**

[Finalize Submission](#)

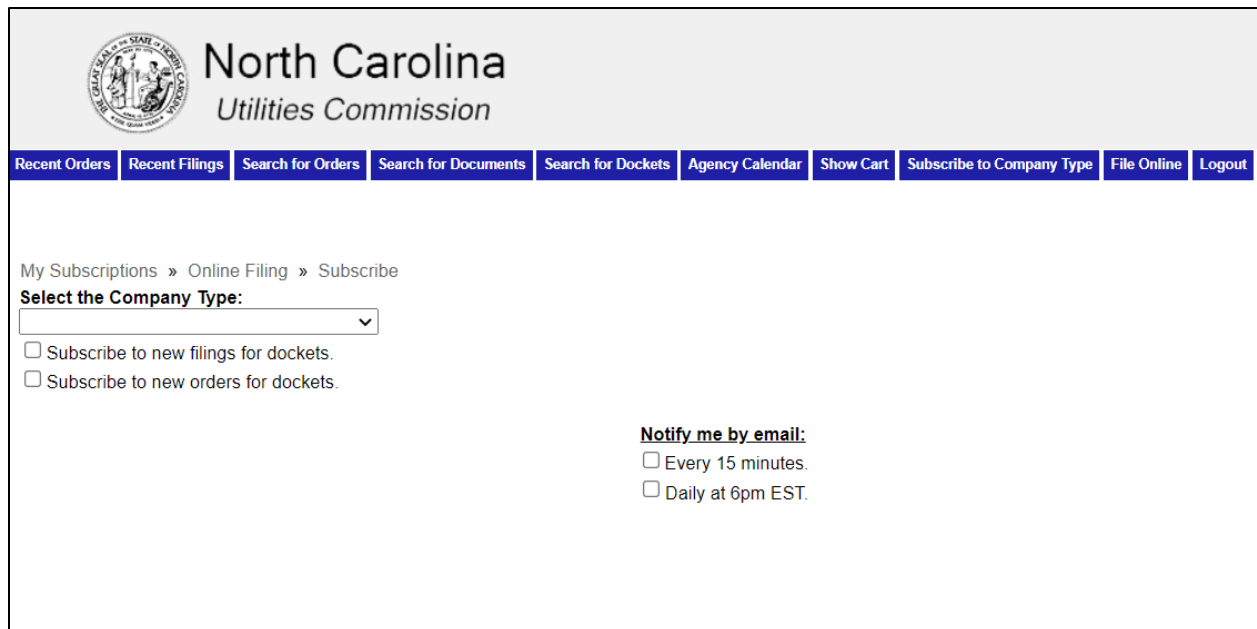
# NCUC Electronic Filing User Guide

## Creating Electronic Notification Subscriptions

Electronic Notification Subscriptions can be created for the following:

- By Company Type – for all filings, all orders or both
- By Docket – for all filings, all orders or both
- Notification can be set for delivery every 15 minutes or daily at 6pm EST.

### Subscriptions by Company Type



The screenshot shows the North Carolina Utilities Commission website interface. At the top left is the state seal. To its right is the text "North Carolina Utilities Commission". Below this is a navigation bar with buttons for "Recent Orders", "Recent Filings", "Search for Orders", "Search for Documents", "Search for Dockets", "Agency Calendar", "Show Cart", "Subscribe to Company Type", "File Online", and "Logout". The main content area shows a breadcrumb trail: "My Subscriptions » Online Filing » Subscribe". Below this is a section titled "Select the Company Type:" with a dropdown menu. Underneath are two checkboxes: "Subscribe to new filings for docket." and "Subscribe to new orders for docket.". To the right of these is a section titled "Notify me by email:" with two checkboxes: "Every 15 minutes." and "Daily at 6pm EST."

Under “Select the Company Type”, use the drop-down menu to find the correct type and click to select it. Use the checkboxes to subscribe to all filings, all orders or both. Under “Notification by Email”, select the frequency for delivery. Click the subscribe button.

# NCUC Electronic Filing User Guide

## Subscriptions by Docket and/or Company

The screenshot shows the North Carolina Utilities Commission website. At the top left is the state seal and the text "North Carolina Utilities Commission". A navigation bar contains links: "Recent Orders", "Recent Filings", "Search for Orders", "Search for Documents", "Search for Dockets", "Agency Calendar", "Show Cart", "Subscribe to Company Type", "File Online", and "Logout". Below the navigation bar, the breadcrumb "Dockets » Subscribe » Docket WR-3760 Sub 0" is visible. The main heading is "Docket WR-3760 Sub 0". Below this are tabs for "Details", "Documents", "Service List", and "Subscribe". Under "Subscribe to Docket:", there are two checkboxes: "Subscribe to new filings for the docket(s)." and "Subscribe to new orders for the docket(s)". Under "Subscribe to Related Companies", there is a table with the following data:

Company Name	Company Type	Subscribe to New Filings	Subscribe to New Orders
Park & Abbey Associates, LLC	WR – Water Resellers	<input type="checkbox"/>	<input checked="" type="checkbox"/>
NP Abbey, LLC	WR – Water Resellers	<input type="checkbox"/>	<input type="checkbox"/>

Below the table, there is a section "Notify me by email:" with two options: "Every 15 minutes." (checked) and "Daily at 6pm EST." (unchecked). A "Subscribe" button is located in the bottom right corner of the form area.

To receive notifications for a docket or company, select the Search for Dockets tab. Search for, select and open the correct docket.

Go to the Subscribe menu under that docket number. Use the check boxes under “subscribe to docket” to select new filings and/or orders for the docket.

To subscribe to notifications for the related company on that docket, check the appropriate box to subscribe to new filing and/or new orders. Under Notify me by email, select the frequency for delivery. Click the subscribe button in the lower right corner of the screen.

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## Other Actions for logged in users

Additional actions are available for registered/logged in users:

My Filings: Displays all filings that the logged in user has submitted.

Manage Subscriptions: Used to update or unsubscribe to electronic subscriptions.



**North Carolina**  
*Utilities Commission*

[Recent Orders](#) [Recent Filings](#) [Search for Orders](#) [Search for Documents](#) [Search for Dockets](#) [Agency Calendar](#) [Show Cart](#) [Subscribe to Company Type](#) [File Online](#) [Logout](#)

Dockets » Online Filing

**Online Filing**

**Electronic Submissions**

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[Submit Electronic Filing](#)  
[Regulatory Fee Report](#)  
[Regulatory Fee Filing History](#)  
[Pay Account Balance](#)


**Other Actions**

[My Filings](#)  
[Manage Subscriptions](#)

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## My Filings

Under Other Actions, click on the My Filings link. Filings for the user are displayed and may be sorted by status.



**North Carolina**  
*Utilities Commission*

[Recent Orders](#) [Recent Filings](#) [Search for Orders](#) [Search for Documents](#) [Search for Dockets](#) [Agency Calendar](#) [Show Cart](#) [Subscribe to Company Type](#) [File Online](#) [Logout](#)

[Dockets](#) » [Online Filing](#) » [My Filings](#)

### My Filings

Requested  Approved  Receiving In Progress  Rejection In Progress  Rejected  Pending Rejection  eFilingIncomplete  Show All

<b>test please delete</b> Date Submitted: 7/25/2018 Status: Rejected Date of status change: 7/26/2018
<b>test</b> Date Submitted: 12/12/2017 Status: eFilingIncomplete Date of status change: 12/12/2017
<b>test</b> Date Submitted: 1/12/2017 Status: eFilingIncomplete Date of status change: 1/12/2017

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## Manage Subscriptions

Click on the File Online tab, and under Other Actions, click the Manage Subscriptions link.



The screenshot displays the North Carolina Utilities Commission website interface. At the top left is the state seal, followed by the text "North Carolina Utilities Commission". A navigation bar contains several tabs: "Recent Orders", "Recent Filings", "Search for Orders", "Search for Documents", "Search for Dockets", "Agency Calendar", "Show Cart", "Subscribe to Company Type", "File Online", and "Logout". Below the navigation bar, the breadcrumb "Dockets » Online Filing" is visible. The main content area is divided into sections: "Online Filing", "Electronic Submissions", and "Other Actions". Under "Electronic Submissions", there are links for "Submit Electronic Filing", "Regulatory Fee Report", "Regulatory Fee Filing History", and "Pay Account Balance". Under "Other Actions", there are links for "My Filings" and "Manage Subscriptions".

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**North Carolina**  
*Utilities Commission*

[Recent Orders](#) [Recent Filings](#) [Search for Orders](#) [Search for Documents](#) [Search for Dockets](#) [Agency Calendar](#) [Show Cart](#) [Subscribe to Company Type](#) [File Online](#) [Logout](#)

Dockets » Subscribe » Online Filing » My Subscriptions

### My Current Subscriptions

You may unsubscribe to any current subscriptions or modify email notifications.

**Current Company Type Subscriptions**

Company Type	New Filings	New Orders	Email every 15 Min	Email Daily At 6pm EST
G – Gas	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
EMP – Electric Merchant Plants	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Unsubscribe to all new filings for Company Types  
 Unsubscribe to all new orders for Company Types

All subscriptions that have been created by this account will be displayed. Modify selections by checking or unchecking the appropriate boxes. Click the Unsubscribe boxes to unsubscribe to the appropriate subscription types.