

NEWFOUNDLAND AND LABRADOR
BOARD OF COMMISSIONERS OF PUBLIC UTILITIES
120 Torbay Road, P.O. Box 21040, St. John's, Newfoundland and Labrador, Canada, A1A 5B2

Filing Guidelines

Routine Applications and Compliance Filings

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1 These Filing Guidelines are intended to streamline the process of filing documents in
2 applications/proceedings where the Board has set an established schedule, and for the review
3 of routine and annual compliance filings by Newfoundland and Labrador Hydro and
4 Newfoundland Power.

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6 The Board may at its discretion vary or supplement these guidelines, if deemed necessary. In
7 major applications and/or proceedings, such as General Rate Applications and/or public
8 hearings and reviews, the Board will normally issue a procedural order setting out, among
9 other things, the manner of filing documents and identifying the intervenors in that particular
10 application.

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13 **1. Public Record**

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15 (a) Unless otherwise directed by the Board, all documents filed with the Board shall be
16 placed on the public record.

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18 (b) A party may apply to the Board requesting that a document or other information filed
19 with the Board be considered confidential and not be released or released subject to
20 conditions set by the Board.

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22 (c) The Board is bound by the provisions of the *Access to Information and Protection of*
23 *Privacy Act, RSNL 2002 Chapter A-1.1*. Documents which are determined by the Board
24 to be confidential will be dealt with in accordance with the provisions of this
25 legislation.

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28 **2. Filing of Documents**

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30 (a) All documents shall be filed with the Board Secretary.

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32 (b) Documents may be filed by:

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34 (i) hand delivery;

35 (ii) courier service;

36 (iii) registered mail;

37 (iv) electronic mail; or

38 (v) facsimile.

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40 (c) Filing is accomplished on the date when the Board first receives the submission,
41 whether electronically or in paper format.

42

43 (d) For routine applications and compliance filings, paper copies will only be required
44 where the Board notifies parties of the requirement in the review schedule. If the
45 Board requires paper copies, they should be filed within 2 business days of receiving
46 notification. For parties located outside of the St. John's area, the Board will allow 4
47 business days for the filing of paper copies.

- 1 (f) Where the Board has set a review schedule for an application or proceeding, all
2 documents shall be filed no later than 3:00 pm on the date set by the Board.
3 Documents filed after this time or on a Board holiday shall be considered as filed on
4 the next Board business day.
5
- 6 (g) Unless a schedule has been set, all routine or compliance filings such as those
7 established by legislation, directed by Board order or by policy shall be filed no later
8 than 4:30 pm on the filing date.
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- 10 (h) All documents will have the date recorded when received by the Board.
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13 **3. Form of Documents**

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- 15 (a) Paper and electronic filings are considered Board records.
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- 17 (b) When paper documents are required, they shall be prepared as follows:
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- 19 (i) typed, written or printed on 8½" X 11" letter size paper, 3-hole punched;
 - 20 (ii) single or double sided;
 - 21 (iii) each page shall be numbered; and
 - 22 (iv) where reasonable, each line shall be numbered.
- 23
- 24 (c) All documents filed electronically must be searchable and allow for key-word
25 searching. This will require documents to be scanned with optical character
26 recognition (OCR) or converted to OCR before they are filed with the Board.
27
- 28 (d) The electronic copy must be an exact copy of the original signed document, including
29 covering letters.
30
- 31 (e) Upon request the Board may consider filing exceptions regarding the form of
32 documents.
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35 **4. Revisions to Documents**

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- 37 (a) A party may revise any document to correct errors or to provide new information.
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- 39 (b) Where all or any part of a document is revised, each revision shall indicate the page(s)
40 revised, the line(s) revised, the content revised (e.g. shading to indicate revised
41 content), the number of the revision (i.e. 1st revision), and the date of the revision.
42
- 43 (c) Where all or any part of a document is revised, the document must be re-filed
44 electronically in its entirety; however, only the revised pages are required to be filed

1 (d) in paper copy (and only if there has been notification to file paper copies on the
2 matter).

3

4 (e) Where a revision is made to a document the Board may, upon its own motion or upon
5 the request of another party, after receiving submissions of the parties, make any
6 order in respect of the revisions.

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9 **5. Number of Paper Copies to be filed**

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11 (a) When notified, parties filing documents with the Board shall file 11 (eleven) paper
12 copies.

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14 (b) In certain proceedings the Board may alter the number of copies required to be filed.

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16 (c) Any party wishing to opt out of receiving paper copies may do so by making the
17 necessary arrangements with the parties involved in a specific matter.

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20 **6. Requests for information**

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22 (a) The parties shall observe the schedule set for the issuance and filing of requests for
23 information (“RFIs”) and for responses to RFIs.

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25 (b) RFIs shall be:

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27 (i) labeled with the initials of the party issuing the RFI;

28 (ii) designated so as to provide notice of to whom the RFI is directed
29 (i.e. PUB-NP-001; PUB-CA-001); and

30 (iii) numbered consecutively with whole numbers. The number should not contain
31 sub-numbering (e.g. PUB-NLH-001A). However, sub-numbering can be used
32 within the request itself (e.g. the number will still be a whole number: PUB-
33 NLH-001 but may contain a, b, c, etc. within the body of the request).

34

35 (c) Responses to RFIs shall be:

36

37 (i) filed as individual pages. The electronic copy of each response shall be filed as
38 a separate file; and

39 (ii) numbered on the top right-hand corner of each page with the RFI number and
40 the page number. If the response has an attachment, the RFI number and the
41 attachment number as well as the number of pages should be included on the
42 top right-hand corner of each page.

43

44 (d) RFIs and responses to RFIs constitute part of the Board’s record and will be considered
45 to be evidence in any proceeding.

1 **7. Service of Documents**

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3 The Board may direct to whom service shall be provided.

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6 **8. Time**

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8 The parties shall observe the schedule established by the Board as amended from time to
9 time.

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12 **9. Motions**

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14 (a) Motions must be filed in writing with the Board and served upon the other parties.
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16 (b) The responding parties must file response briefs with the Board and serve upon the
17 other parties in accordance with the schedule set by the Board.
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20 **10. Exceptions**

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22 The Board may dispense with, vary or supplement any provisions of these Rules on those
23 terms the Board considers necessary.
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26 **11. Public Viewing**

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28 Interested persons may view any or all documents filed with the Board, except confidential
29 or private information, on the Board's website (www.pub.nl.ca) or at the Board's office by
30 contacting the Board Secretary.
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33 **12. Copies of Board Documents/Information**

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35 (a) The Board will provide one copy of any document authored by the Board or its
36 Consultants, and which is not available on its website, at no charge.
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38 (b) Copies of documents originating or authored by a party should be requested directly
39 from that party.
40
41 (c) Copies of the Legislation can be obtained from the Queen's Printer, viewed at the
42 Board's Office, or viewed on the Board's website at www.pub.nl.ca.
43
44 (d) The Board may charge copy fees for the cost associated with the reproduction of any
45 document requested in accordance with the applicable legislation.