
**ATTACHMENT B
ESTABLISHING PROCEDURES**

A. Presentation of Exhibits Electronically During Evidentiary Hearing.

1. Because the hearing will be held remotely by video-conference, all evidence must be presented electronically. This Attachment establishes procedures for the presentation of exhibits electronically during the evidentiary hearing.

2. If a pre-filed hearing exhibit marked for identification is admitted into evidence, it is anticipated that the electronic copy in the Commission's file will be admitted by administrative notice, in lieu of receiving the identical paper copy (*e.g.*, the fact administratively noticed is that the copy on file is the content of the otherwise-admissible hearing exhibit being offered into evidence.).

3. To facilitate the presentation of exhibits electronically during the evidentiary hearing, the Commission support staff will provide a spreadsheet identifying each pre-filed hearing exhibit as it exists in the administrative record. Except for confidential exhibits, the spreadsheet will include hyperlinks to the filings in the administrative record. The spreadsheet will be made available to the parties prior to the hearing and marked as a hearing exhibit. Commission support staff will display pre-filed electronic filings during the hearing using this spreadsheet.¹

4. Any stipulations or settlement agreements, along with any associated testimony or exhibits, must also be filed electronically in accordance with the procedures set forth herein.

¹ This spreadsheet is created by using the Commission's E-Filing System; this is why it is vitally important that the parties follow the requirements relating to titling exhibits when submitting them in the E-Filing System. Should the parties have technical questions relating to the electronic presentation of exhibits, they may contact Ms. Christie Nicks at Christie.Nicks@state.co.us or Mr. Ross Smith at Ross.Smith@state.co.us.

5. Final versions of all previously-filed hearing exhibits must be filed **on or before April 12, 2021**, unless otherwise ordered, so that the spreadsheet may be timely prepared and distributed several business days prior to the hearing. Hyperlinks will not be included for confidential or highly confidential information. Any exhibits filed after this deadline will not be included in the spreadsheet of hyperlinked electronic exhibits and will not be admitted by administrative notice.

6. A party intending to present an exhibit during the hearing which was not filed by the deadline for final versions must: (a) pre-mark such document with a hearing exhibit number within the party's assigned exhibit number block as required by this Attachment; and (b) upload such documents into the party's designated box.com folder before presenting them during the hearing.² These requirements also apply to documents not required to be pre-filed (*e.g.*, documents which may be used solely to impeach, refresh recollection, or for rebuttal).

7. The parties are responsible for ensuring that they and their witnesses have access to all pre-marked exhibits and are able to download and view documents from box.com *during the hearing*.

B. Hearing Exhibit Number Block Assignments.

8. In order to efficiently organize the numbering and preparation of exhibits for the hearing, all parties must use a unified numbering system for all hearing exhibits.

9. The party initiating the proceeding is assigned hearing exhibit numbers 100 to 299.

² The Public Utilities Commission Administrative Hearings Section uses a web-based document sharing service, box.com to manage certain exhibits during a hearing. All parties must ensure they can access and use box.com. An email with more details will follow.

10. Each intervening person or entity is assigned a block of 100 hearing exhibit numbers (*e.g.*, 300-399, 400-499, etc.) in the chronological order that notices of intervention by right and petitions for permissive intervention are filed, as reflected in the Commission's E-Filing System (E-Filing System). As a result, the first person or entity noticing an intervention by right or requesting permissive intervention is assigned hearing exhibit numbers 300 to 399, the second person or entity is assigned hearing exhibit numbers 400 to 499, etc. The parties must rely upon the E-Filing System to determine sequencing of requests for intervention (*i.e.*, without regard to whether or when the interventions were granted). To determine the sequencing and avoid duplicative use of blocks, the parties are encouraged to confer as needed.

C. General Identification Requirements for Hearing Exhibits.

11. In addition to following relevant requirements in the Commission's Rules of Practice and Procedure, 4 *Code of Colorado Regulations* 723-1 (*e.g.*, Rule 1202 regarding pre-filed testimony), the parties must comply with the identification and filing requirements for hearing exhibits outlined in this Attachment.³

12. Parties must mark all hearing exhibits for identification in sequential order, using hearing exhibit numbers within their assigned hearing exhibit number block.

13. Each type of a witness's testimony, including any attachments, (*e.g.*, direct, answer, rebuttal, cross-answer, and supplemental) must be marked with one hearing exhibit number.⁴ Even if comprised of multiple electronic documents, the testimony and attachments will be one hearing

³ In order to minimize the size and allow electronic text searches of the PDF files, versions filed in PDF format should be generated from the native executable electronic file format when possible.

⁴ Each type of testimony should be identified with a different hearing exhibit number. For example, John J. Doe's direct testimony may be Hearing Exhibit 100 and his rebuttal testimony may be Hearing Exhibit 105.

exhibit.⁵ The title of all pre-filed written testimony must include the type of testimony and the name of the witness. For example, if Hearing Exhibit 100 is the direct testimony of witness John J. Doe, the following title should be used: “Hearing Exhibit 100, Direct Testimony of John J. Doe.”

14. Anything accompanying pre-filed written testimony within a hearing exhibit (*e.g.*, exhibits, appendices, attachments, or attachments to filing) must be referred to as an “attachment” to the testimony and identified by the designated hearing exhibit number, the witness’s initials, and a number sequence. For example, if the party assigned block 300 files answer testimony of Albert B. Cooke that includes a table as an attachment, then the title of the table-attachment will be “Hearing Exhibit 300, Attachment ABC-1.” The attachment should not be referred to as Exhibit ABC-1 or Appendix A.

15. Parties should not duplicate hearing exhibits or attachments previously filed by another party. At the hearing, any party may sponsor an exhibit that was pre-filed by another party.

D. Executable Hearing Exhibits and Attachments.

16. Any spreadsheet filed as, or that is the basis for, an attachment to a hearing exhibit or a hearing exhibit, must be filed in both PDF format and in the native executable electronic file format (*e.g.*, .xlsx, .ods, .gsheet).⁶

⁵ While marked for identification with one hearing exhibit number, the testimony and each attachment should be filed in compliance with Rule 1202 of the Commission’s Rules of Practice and Procedure, 4 *Code of Colorado Regulations* 723-1, which provides that the primary document and each secondary document must be separately uploaded in the Commission’s E-Filing system.

⁶ When the executable version is filed in native format, the Commission’s E-Filing system will convert it into a PDF version and include it in the docket for the proceeding. The docket will then list the “Executable” version of the attachment, but will link to the converted the PDF version of the native attachment. Any such PDF version titled as “Executable” (consistent with the naming convention set forth above) will be disregarded for all purposes. It should not be cited by the parties, will not be cited by the Commission, and will not be displayed during the hearing.

17. The title of the executable version must mirror the title identifying the pre-filed version and include the word “Executable” after the hearing exhibit number. For example: Hearing Exhibit 300, Executable Attachment ABC-1, or Hearing Exhibit 300, Executable.

18. Parties are not required to paginate such executable exhibits, or file amended, modified, or corrected executable exhibits in redline/strikeout format.

E. Modifying, Amending, or Correcting a Previously Filed Hearing Exhibit On or Before Deadline for Corrections.

19. Should a party need to modify, amend, or correct a previously identified hearing exhibit **on or before the earlier of** the ordered deadline for such changes or the deadline to file final versions of exhibits, the following procedures must be followed.

20. Parties must mark for identification any revised exhibits or attachments with a revision number, listed directly after the exhibit or attachment’s title, regardless of file format. For example, if Hearing Exhibit 100, (Direct Testimony of John J. Doe) is revised, it must be marked for identification and filed as, “Hearing Exhibit 100, Direct Testimony of John J. Doe, Rev. 1.”

21. If the native executable electronic file format is **not** a spreadsheet, a complete revision including all changes in redline/strikeout format must be filed.⁷ Exhibits or attachments that are revised more than once must contain all redlined modifications as compared to the original version (*i.e.*, not only as compared to Rev. 1), and must be accompanied by a notice identifying changes in each revision from the most recent version. Parties may not identify or file any revised

⁷ Filing a “clean” version is not necessary and is discouraged.

hearing exhibit or attachment as “corrected,” “modified,” or “amended,” even if the revision corrects, modifies or amends a prior filing.

22. If the native executable electronic file format **is** a spreadsheet (*e.g.*, .xlsx, .uos, .gsheet), a complete revision must be filed, but the changes do *not* need to be reflected in redline/strikeout format. The filing must be accompanied by a notice attachment (*i.e.*, as a secondary document if electronically filed) identifying changes in each revision from the most recent previous revision.

23. The most recent revision of a hearing exhibit will be the version used during the evidentiary hearing. References in testimony to obsolete versions of other testimonies will be construed to be amended to refer to the latest filed version of such testimony, unless otherwise specified. Although corresponding page and line references may reasonably be affected by such construction, corrected references will not be necessary (*i.e.*, no need to amend) so long as the reference remains in reasonable proximity to the referenced material.

F. Modifying, Amending, or Correcting a Previously Filed Hearing Exhibit After Deadline for Corrections.

24. Should a party need to modify, amend, or correct a previously identified hearing exhibit **after the earlier of the** ordered deadline for such changes or the deadline to file final versions of exhibits, the following procedures must be followed to upload them into the party’s designated box.com folder.

25. If the native executable electronic file format is **not** a spreadsheet, all changes should be reflected on replacement pages only in redline/strikeout format that will be: (a) marked for identification with a hearing exhibit number within the party’s assigned exhibit number block

with a revision number (as explained above), in accordance with this Attachment's requirements; and (b) uploaded into the party's designated box.com folder prior to using the exhibit during the hearing.⁸ The replacement pages must also include an additional notice attachment, (*i.e.*, as a secondary document), identifying changes in each revision from the most recent previous revision.

26. If the native executable electronic file format **is** a spreadsheet (*e.g.*, .xlsx, .uos, .gsheet), all changes should be reflected **on replacement pages only** that will be: (a) marked for identification with a hearing exhibit number within the party's assigned exhibit number block with a revision number (as explained above), in accordance with the procedures in this Attachment; and (b) uploaded into the party's designated box.com folder prior to using the exhibit during the hearing. The changes do *not* need to be in redline/strikeout format. The revision pages must also include an additional notice attachment (*i.e.*, as a secondary document) identifying changes in each revision from the most recent previous revision. Additionally, a complete revision of the executable spreadsheet, including all changes, must be filed in accordance with this Attachment's requirements.

27. If the changes are permitted, and assuming the original filing is otherwise admissible, both hearing exhibits would be admitted into evidence during the hearing with the latter replacement pages superseding and prevailing to the extent of conflict in the previous revision.

28. References to superseded portions of a hearing exhibit will be construed to be amended to refer to the replacement pages, unless otherwise specified. Although corresponding page and line references may reasonably be affected by such construction, corrected references

⁸ Filing a "clean" version is not necessary and is discouraged.

will not be necessary (*e.g.*, no need to amend) so long as the reference remains in reasonable proximity to the referenced material. Thus, a reference in answer testimony to page 10, line 5 of someone else's direct testimony need not be revised when a replacement page 10 is filed so long as page 10, line 5 is in reasonable proximity to the referenced material.

G. Confidential or Highly Confidential Exhibits.

29. Any hearing exhibit (including attachments) filed in accordance with the Standards of Conduct in the Commission's Rules of Practice and Procedure containing confidential information must be pre-marked for identification by the same hearing exhibit number within the assigned block identifying the portion in the public record and shall be designated with a "C" following the number of the hearing exhibit or attachment.

30. For example, a witness's pre-filed written testimony might be identified as Hearing Exhibit 100, Direct Testimony of John J. Doe. If portions of the testimony in Hearing Exhibit 100, Direct Testimony of John J. Doe are claimed to be confidential, those portions would be filed in accordance with the Standards of Conduct and identified as Hearing Exhibit 100C, Direct Testimony of John J. Doe. Hearing Exhibit 100, Direct Testimony of John J. Doe would remain in the public record (redacted to exclude confidential material).

31. Further, if portions of Hearing Exhibit 100, Direct Testimony of John J. Doe, Attachment JJD-1 are claimed to be confidential, those portions should be filed in accordance with the Standards of Conduct and identified as Hearing Exhibit 100, Attachment JJD-1C. Hearing Exhibit 100, Attachment JJD-1 would remain in the public record (redacted to exclude confidential material). Comparably, should any highly confidential protections be afforded, the hearing exhibit number should be designated with an "HC" following the number.

H. Titling Exhibits in E-Filing System.

32. When filing hearing exhibits in the E-Filing System, parties must title the exhibits to *match the title of the hearing exhibit*, but may not use all uppercase format.⁹ All exhibit titles entered into the E-Filing System must start with “Hearing Exhibit XXX.” Building on the above examples, John J. Doe’s Direct Testimony should be titled “Hearing Exhibit 100, Direct Testimony of John J. Doe” when filing in the Commission’s E-Filing System, and the first attachment to John J. Doe’s direct testimony should be titled “Hearing Exhibit 100, Attachment JJD-1” when filing.

I. Formatting Hearing Exhibits.

33. To ensure that electronic pagination matches the page numbers appearing on exhibits, the first page of **each** hearing exhibit must be numbered as page 1, with each additional page numbered in succession. For example, the cover page must be numbered page 1, and all following pages must be numbered sequentially, including blank pages, executive summaries, tables of contents, and lists of attachments. Page-numbering exhibits consistent with this requirement will facilitate electronic exhibit navigation during the hearing.

34. There shall be only one page number shown on each page of all hearing exhibits and attachments. Page numbers should be included in the header of each page-numbered hearing exhibit (*e.g.*, placed at the top right corner of each page of the hearing exhibit, as demonstrated in this Attachment). The top line of the header shall include the title of the document (*e.g.*, Hearing Exhibit 300, Answer Testimony of Albert B. Cooke or Hearing Exhibit 300, Attachment ABC-1, Page 1).

⁹ This applies to any type of exhibit, including executable, confidential, corrected, modified, and amended exhibits, which have different identification requirements than other exhibits.

35. Compliance with this Attachment may result in a change to pagination of prior versions of hearing exhibits. Parties may modify formatting options in revisions to filed documents in order to minimize the resulting impact to page and line references (*e.g.*, widen a paragraph margin to insert a word). References in discovery requests and responses to prior versions of hearing exhibits will be construed to be amended to refer to the latest filed version of such testimony, unless otherwise specified. Although corresponding page and line references may reasonably be affected by such construction, corrected references will not be necessary (*i.e.*, no need to amend) so long as the reference remains in reasonable proximity to the referenced material.