

MAINE PUBLIC UTILITIES COMMISSION

FILING INSTRUCTIONS FOR ANNUAL FINANCIAL PUC REPORTS

The Commission uses an electronic Case Management System (CMS) for all filings including annual reports. **Annual Revenues must be submitted by April 1, 2021. Extensions until May 1, 2021 may be granted to file the completed report; requests for extensions should be sent by email to Lucretia.Smith@maine.gov no later than March 29, 2021. Paper copies of the annual report should not be sent to the Commission.**

The reports are not web based but in Excel format -- the report templates, as well as a copy of these instructions and the cover letter sent are available on the Commission's web site at: <http://www.maine.gov/mpuc/online/AnnualFinancialReports.htm>. **The reports must be filed in Excel.**

A. Registration (if you have already registered, go to Step B – Submitting Annual Report

In order to file the annual report in CMS, the person actually submitting the report must become a registered user in our system. You may register at:

<https://mpuc-cms.maine.gov/CQM.Custom.WebUI/Registration/UserRegistrationForm.aspx>

- Fill in the fields noting the following guidelines:
 - Required fields are denoted by red asterisks.
 - User IDs must be at least 8 characters long and cannot have spaces
 - Passwords must be at least 8 characters long and must include numbers, at least one Upper Case Letter, and at least one special character
 - The first Company/Organization field is the company you work for – for example ABC Consulting which may not be the company you represent for PUC purposes
 - The Representing Company/Organization field is for the company for which you are submitting an annual report. To populate your profile with the company or companies that you represent, click the “Add” hyperlink. The window allows you to add criteria to shorten the list to select from, such as utility type, the first few letters of the company name, etc. Check the box next to the company you wish to add and click on the select button.
 - You may add more than one company or organization. You may return to the screen in the future to add more companies/organizations or to remove them.
- After submitting your registration, you will receive an email notification with a hyperlink and instructions. If you do not receive this email, please check your junk mail for an email from MPUC-CMSnotification. You must go to the hyperlinked page and confirm your registration. If clicking on the hyperlink does not work in your email system, copy and paste it into your browser’s URL field to go to the confirmation screen. You are now registered to submit documents into CMS.

B. Submitting Annual Revenues and Financial Annual Report

- Log into CMS
- Hover cursor over "Annual Report File" on menu on left hand of screen (this is the first item); click on "Submit Annual Report"
- Select Utility Name from drop down listing for "Pertaining to Utility/Company"
- The system pulls the regulatory contact information from the records in the system – if this is incorrect, please contact the Commission at maine.puc@maine.gov so we can make all the necessary changes
- Billing information – these are mandatory fields and represent where the PUC annual assessment invoice will be sent – the address does not have to match the information for the regulatory contact – **please verify that this information is correct – if you use a third party to file your report, ensure that party is provided the correct mailing address**
- Report for Year – this is a mandatory field and is for the calendar year of the report (for example the report filed in 2021 is for 2020)
- Annual Revenues Subject to Assessment – these represent gross revenues subject to PUC assessment. Refer to the specific cover letter for your utility type to determine where this number should be pulled from in the report
- Name of Person Completing Annual Report – this field should be auto filled with the name of the person making the filing
- Click on "Verify Contact Information of Person Completing this Annual Report" to verify that the contact information is correct – if it isn't, you may update the information from the next screen; if it is correct, click confirm
- Double check the information included on this screen as you cannot change this information once you click "Submit"
- Click Submit
- Click OK to confirm submission – you will receive the message similar to the one shown below – make note of the tracking number for future reference.

Preliminary Annual Report Assessment has been submitted successfully with Tracking Number ARUF-2021-XXXXX. Please note the Tracking Number for future reference.

ATTACH REPORT NOW

ATTACH REPORT LATER

To attach the report later – From your Home page, hover over Annual Report, select Revise Annual Report then enter the tracking number from above.

- To attach the annual report, click on the button "ATTACH REPORT NOW" If you have received an extension to file your report later, click "ATTACH REPORT LATER"
- To attach report later, from your home page, hover over "Annual Report" and select "Revise Annual Report" and enter tracking number received when revenues for assessment were reported – go to the bottom of next page and click on "Submit or Update Key Analysis Fields"
- Until the completed annual report is attached and uploaded to CMS using the steps outlined below, the Commission's annual report requirements have not been fully met

Submitting Report

- The next page brings up utility industry specific key analysis fields – this information should be available from your annual report – any field with a red asterisk is mandatory - we request that you complete the fields even if they are not mandatory as it will help the Commission generate comparative data in the future
- Security type: The radio button for Public is the default position. Click Confidential if you are filing a confidential annual report. Please note that unless you have requested and received a specific protective order, your annual report is public and is not confidential. **Annual reports are protected in only rare instances.**
- Click Attach Document or Attach Confidential Document
- A second window will open to allow you to Browse your computer for the electronic copy of the annual report -- click Attach
- For confidential documents, you **must** attach a redacted copy as well as the confidential version -- you will be required to associate the proper protective order for confidential treatment
- If the information in the key analysis fields contains confidential information, please click the radio box in front of "This data includes confidential information pursuant to the Commission issued Protective Order"
- Click Submit

C. Troubleshooting

- Check that your browser allows pop-ups from <https://mpuc-cms.maine.gov>
- In some cases, a small window will open up in back of the larger browser window – if you click on "Attach document" and nothing seems to happen, minimize the larger screen or look to the bottom of your screen to see if there is another window opened
- If the utility company is not in the list for you to choose from check your profile to ensure that you have included that Company as one you are representing

If you have any questions about the filing process or annual reports, please contact Lucretia A. Smith at (207) 287-1383 or by email at Lucretia.smith@maine.gov