

<p><b>CaseWorks Rate Case and Regulatory Filing Features*</b></p> <p><b>Comparison of <u>CaseWorks</u> to document management and collaboration capabilities in Teams and SharePoint</b></p> <p><i>Available as a SaaS (Software as a Service) Solution or On-Premises</i></p>	<p>CaseWorks</p>	<p>Teams &amp; SharePoint</p>
<p><b>Data Request Processing</b></p>		
<p>AI-assisted drafting of data request responses based on previously filed responses and supporting materials</p>	<p>•</p>	
<p>Ability to analyze historical responses to similar data requests and generate suggested draft responses</p>	<p>•</p>	
<p>AI-powered identification of similar past data requests and responses across prior cases</p>	<p>•</p>	
<p>Ability to suggest relevant prior attachments, testimony, or filings that support a new data request response</p>	<p>•</p>	
<p>AI-assisted summarization of prior responses to help drafters quickly prepare consistent answers</p>	<p>•</p>	
<p>Dashboard view of active and completed data requests (due dates, status, assignees, etc.)</p>	<p>•</p>	
<p>Ability to parse data request documents with or without recurring question labeling for questions and automatically load the questions for subsequent delegation</p>	<p>•</p>	
<p>Ability to electronically load incoming data requests into workflow-enabled workspaces and templated response documents</p>	<p>•</p>	
<p>Ability to create workflow assignments of individual or multiple data requests to one or more users in a role</p>	<p>•</p>	
<p>Ability to digitally aggregate questions and responses for different data requests into one consolidated response filing along with supporting material</p>	<p>•</p>	
<p>Ability to publish data requests to a public Internet instance of CaseWorks which commission staff and Intervenor can access using assigned user ID and password [see optional CaseWorks Public module below]</p>	<p>•</p>	
<p>Ability to automatically convert response documents and supporting materials to PDF</p>	<p>•</p>	
<p>Ability to configure different response templates by jurisdiction, intervenor, and type</p>	<p>•</p>	
<p>Ability to automatically generate response filing emails which show the names of the attachments being used as supporting evidence and other associated metadata</p>	<p>•</p>	
<p>Ability to perform group edits of multiple data requests simultaneously</p>	<p>•</p>	
<p>Ability to perform “Prepare for Filing” of sets of data requests to make them Read Only</p>	<p>•</p>	
<p>Automatic lifecycle tracking of data requests</p>	<p>•</p>	
<p>Ability to configure company-specific ad hoc reports to track data request activities/status</p>	<p>•</p>	
<p>Ability to perform “trial” filings of data request responses</p>	<p>•</p>	
<p>Ability to print multiple data request questions and responses simultaneously</p>	<p>•</p>	
<p>Filing process automatically archives responses and emails an electronic package containing the questions, responses, and supporting materials</p>	<p>•</p>	
<p>Ability to filter data request assignments by individuals and/or roles</p>	<p>•</p>	
<p>Supporting materials attached to responses are automatically prefixed with the data request’s set and item number</p>	<p>•</p>	
<p>Ability to designate a specific data request as “Confidential” which automatically locks out all users not currently involved in drafting/reviewing the response</p>	<p>•</p>	

Ability to designate specific data requests as “Read Only” which locks them down from any further editing	•	
Ability to tag data requests with company-configured values for reporting by various special handling categories (e.g. Objected to, Voluminous, Requires Follow Up, etc.)	•	
Company configurable fields and labels	•	
Automated Bates numbering of response documents and associated attachments during filing	•	
Number of Attachments Counter in Data Requests Grid	•	
Indicator in Data Requests Grid showing if any of the attachments is more than X (configurable) number of pages in length	•	
Indicator in Data Requests Grid showing if any of the attachments is more than X (configurable) megabytes in size	•	
<b>Workflow</b>		
Task assignments generate email notifications	•	•
Configurable email messages with substitution variables	•	•
Configurable email messages by subsidiary	•	
Ability to set task due dates	•	•
Reminder messages are sent to users who are late in completing their assigned tasks	•	•
Sequential review workflows	•	•
Ability for case coordinators to automatically associate predefined sequential review workflow templates to data requests	•	
Links in assignment emails take users directly to data request questions and workspaces	•	
Provided with preconfigured email messages specific to utility Rate Case and Regulatory business processes	•	
Ability to bundle multiple data requests in a single assignment email which provides links to each specific data request	•	
Ability to associate various sequential workflow patterns to data requests during upload	•	
Automated turning on and turning off of “track changes” and read/edit permissions as appropriate in review and approval workflows	•	
Preconfigured roles and appropriate access/functionality are available for utility Rate Case and Regulatory business processes	•	
Coordinators have the flexibility to cancel, bypass, or reassign workflows	•	
30+ utility rate case and regulatory related variables are available for display in template response documents	•	
<b>Security Management</b>		
Workspace and document level security	•	•
Ability to configure company-specific permission groups	•	•
Ability to create company-specific permission groups applicable to various cases/dockets based on subject matter, jurisdiction, department, subsidiary, etc.	•	
Ability to give users access to one or more cases/dockets in a single step (also applicable to removing access)	•	
Ability to provide or remove access to previously locked down cases/dockets without having to manually adjust user permissions in each site	•	
Security model based on utility Rate Case and Regulatory roles	•	
Global Case Coordinator role	•	
Global Reader role	•	
<b>Case/Docket Management</b>		
Ability to configure company-specific classifications to manage cases/dockets by jurisdiction, type, and practice area	•	
Automatic security trimming of case/docket groups based on a user’s access rights	•	

Ability to add, move, rename and generate workflows for procedural workspaces (Testimony, Briefs, Rebuttals, Orders, etc.) within an integrated case structure	•	
Adding a case/docket automatically creates a new site hierarchy, permission structure, and navigation tabs within the application	•	
Ability to create and maintain service lists by case		
Audit trail of email notifications generated and the recipients to whom they were sent for each case/docket	•	
Audit trail of Case/Docket activities	•	
All application activity is tracked in a SQL database from which additional company-specific reports can be generated using report writing tools	•	
<b>AI Smart Search</b>		
Simple and advanced Search functions	•	•
Ability to create Search scopes to limit searches to specific areas	•	•
AI-enhanced Smart Search that identifies relevant documents from years of regulatory filings and rate cases	•	
Ability to locate prior filings, testimony, and responses based on meaning and context rather than just from exact keywords	•	
Ability to selectively search by: Case Number, Case Type, Company Name, Jurisdiction, Practice Area, Case Status, Subjects, Key Dockets, Procedural Workspaces, Filed/Reaggregated, FERC Events, Data Requests	•	
AI-assisted discovery of related documents across multiple cases and jurisdictions	•	
Ability to surface the most relevant prior materials to support preparation of new filings and data request responses	•	
AI-assisted summarization of search results to help users quickly understand prior regulatory positions	•	
Ability to tag data requests with Key Words to make them easier to find and filter	•	
Ability to search all cases/dockets or limit the search to just a specific part of a case/docket	•	
<b>Document Management</b>		
Version History	•	•
Document Check-In/Check-Out	•	•
Explorer view and ability to upload multiple documents simultaneously	•	•
Electronic packaging of data request response documents and supporting materials	•	
Automatic naming and archiving of data request response filings	•	
Ability to download to a zip file all documents associated with a case/docket	•	
Scrubbing of revisions and comments from collaboratively developed responses	•	
Option to delete all draft data request response documents	•	
<b>CaseWorks Public (optional module)</b>		
Provides commission staff and intervenors read-only access to data request responses and supporting materials	•	
Ability to provide each intervenor and commission staff member access to only their relevant cases	•	
Ability to publish “Public” and “Confidential” versions of data request responses and selectively determine who has access to them	•	
<b>FERC Site Monitoring Service (optional module)</b>		
Ability to select specific dockets to monitor	•	
Detects the addition of new documents to specific dockets	•	
Automatically downloads links to all new documents added to specific dockets	•	
CaseWorks users can subscribe to automatically be notified when new documents are added to dockets they choose to monitor	•	

Detects the addition of new docket related dates which are then populated into CaseWorks calendars	•	
FERC documents and properties are integrated with the optional Smart Search module		
Case Coordinators can subscribe or unsubscribe anyone in the company to receive alerts when new documents are added to the subscribed dockets.	•	
Users who are not CaseWorks users can be subscribed to alerts from the FERC Site Monitoring Service and they can use the optional Smart Search module to search across the documents from monitored FERC dockets	•	
<b>State Commission Site Monitoring Service (optional module)</b>		
<i>Same functions as FERC monitoring (add-on option for certain states) - contact us for more info</i>	•	
<b>CaseWorks Outside Counsel/Consultants (optional configuration service)</b>		
Provides outside counsel and consultants secure access to CaseWorks to be able to draft, review and approve materials with internal counsel, witnesses and subject matter experts	•	
Ability to provide outside counsel and consultants access to only their relevant cases	•	
Outside counsel and consultants have access to the same features and functions as employees but do not have access to any other company applications or repositories	•	