Federal Energy Regulatory Commission

Electronic Filing

User Guide
v4.3

April 28, 2003

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I. Introduction

Pursuant to Order No. 619, [1] the Federal Energy Regulatory Commission (FERC) now accepts certain "qualified documents" via the Internet in lieu of paper filing. Qualified documents may be submitted electronically via the eFiling link at www.ferc.gov. The Commission does not accept comments or other documents related to proceedings before the Commission via e-mail. Comments received via e-mail are **not** placed in the record for a proceeding. Refer to Appendix I for a complete list of documents eligible for electronic filing, with a brief description of each filing type.

The Electronic Filing System is a file attachment process; we do not have a text box for filing brief comments. You should prepare your submission in the same manner as you would if filing on paper. If you're filing in a docketed proceeding, the document you submit must include the docket number(s) applicable to your submission. All documents must include the name and address of the person responsible for the filing.

Two or more qualified documents may be combined in a single document (e.g., a motion to intervene may also include comments and a protest) and submitted using FERC's electronic filing system. But "non-qualified documents" (e.g., a certificate application), may not be electronically submitted at this time, even if they also contain qualified documents.

II. Procedure for eFiling

The same filing deadlines that apply to paper submissions also apply to electronic submissions. Your electronic submission must be received by 5:00 p.m. Eastern time in order to be considered filed on that day. Otherwise, it will be considered filed at 8:30 a.m. on the next business day.

A. Before You Login to File

1. Electronic filing is limited to certain "qualified documents" identified in Notices issued by the Office of the Secretary in Docket No. RM00-12-000. The types of documents

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[1] III FERC Stats. & Regs., Regulations Preambles ¶ 31,107.

eligible for electronic filing are summarized in the Introduction to this Guide. Be sure that your submission contains only qualified documents.

2. At this time, **all** submissions submitted via the eFiling link at www.ferc.gov are available in the Federal Energy Regulatory Records Information System (FERRIS). **Do not electronically file confidential, privileged, or protected information.**

3. **Requests for rehearing have a statutory deadline that the Commission cannot waive if your rehearing request is received after 5:00 p.m. on the last day for filing. Please allow sufficient time to submit a paper filing in case there are problems with computer facilities or the Internet.**

4. Prepare your submission in one of the following file formats (use the correct file name extension):

Microsoft Word	.doc
Corel WordPerfect	.wpd
Adobe Portable Document Format	.pdf
Rich Text Format	.rtf
ASCII Text Format	.txt
Lotus	.wk1, .wk3, .wk4
Microsoft Excel	.xls, .xlb
Microsoft Power Point	.ppt, .pps
ASCII Comma Separated Value	.csv
Moving Picture Experts Group	.mpg
Graphic Image Format	.gif
Photographic Experts Group	.jpg
Zip files	.zip

5. Up to five files may be included in a single submission – each file cannot exceed 10 MB. Long file names can be used, provided they do not exceed 25 characters and only contain letters, digits, and underscores. Use the appropriate file name extension.

6. To file a Form 80, first download and save a copy of a blank Form 80 onto your local computer and enter the required information onto the form.

   To download a copy of the form, from your browser, enter www.ferc.gov. Click on Documents & Filing (located to the left of your screen). Click on Forms. The Forms and Reports page displays. Scroll to the bottom of this page where Hydropower, Form No. 80 is located. Click on the form link that you desire to display the form. From the display form, click on the save icon and save the form to the desired location on your local computer.

7. Save the file to a diskette or other drive that you can access when you make your submission.

8. Check to ensure your browser's Cookie settings are correct. The Commission uses a **session cookie** to enable you to make your filings electronically. Refer to Appendix II for more information on the use of cookies to access Commission systems. To check your cookie settings to enable electronic filing:

   Microsoft Internet Explorer v5.5: in the Menu Bar, click on Tools, Internet Options, the Security tab, and then select Custom Level. Scroll down to the Cookies section, and make sure the "Enable" radio button is clicked for both user and session statements. Click OK until you return to your original screen.

   Netscape v6.0: in the Menu Bar, click on Edit, Preferences, and then on Advanced in the left column. In the right column, in the Cookies section, make sure the "Accept all cookies" radio button is clicked. Click OK until you return to your original screen.

B. Access FERC's eFiling System

From your chosen browser, go to www.ferc.gov

1. On the FERC Home Page, click on "**eFiling**."
2. Review any messages on the Welcome screen for eFiling.
3. Click on **LOGIN TO FILE** to begin the file submission process.

C. Login to Make a Filing

You must have a User Name and password to use this system.

1. If you have a User Name and Password, enter your User Name and Password, then click on the **Login** icon below the password box *(Skip to Part D below).*

2. If you do not have a User Name, you must create one.

   a. On the Login screen, select **New Account**.

   b. At the Contact Information Screen, fill in the First Name, Middle Initial (optional), and Last Name. You must complete all fields with labels in **Bold** text.

In the Company field, enter the company, association, or organization that you are employed by or associated with, provided that you wish to be affiliated with that organization in the filing you are submitting to FERC. **Leave the Company field blank if you are submitting a filing as an individual and not on behalf of another person, company, organization, association, or other entity.**

Click on **Submit**.

c. Specify a User Name and Password. **NOTE:** The user name and password are case sensitive.

d. Type the same password again. Click on **Login**. Retain your User Name and Password for future use.

D. Select the Type of Document You Are Filing

From the Filing Type Selection Screen, click the Library associated with the desired filing type to filter the list of filing types by library. Click on the desired filing type (refer to Appendix I for a list of filing types). The system advances to the Search Form for specifying the signer of the document. Electronic filing is limited to certain "qualified documents" identified in notices issued by the Office of the Secretary in Docket No. RM00-12-000. Please refer to User Assistance in Part IV of this guide if you are uncertain about the filing type that applies to your submission.

Your submission must include no more than five "qualified documents." You can include one or more qualified documents in a single file (e.g., comments and/or a protest may be filed in conjunction with a motion to intervene if you intend to become a party to a proceeding). Your submission may not include documents that have **not** been designated as "qualified documents".

If you're filing a Motion to Intervene, then you should click on that selection, even though your submission may also contain a protest or comments. Refer to Appendix II for additional information on interventions. Intervenors incur a legal obligation to serve copies of filings on other parties in a proceeding.

E. Specify the Signer of the Document

You must specify the signer of the document you are submitting. You must also specify the signer's organization unless the filer is an individual filing on their own behalf. At the present time, you can enter only one signer name. For a Rulemaking Comment, Motion to Intervene

Out-of-Time, and Motion/Notice of Intervention, the name you specify will be added to the service list as the Representative Contact. If the signer is filing an as "Individual", the signer name will be added to the service list as the Principal Party Name/Address for the docket(s) you are filing under.

The Search screen for Specify the Document Signer defaults to the person and the organization associated with the user's login account (organization will display "Individual" if you did not specify an organization when you set up your user account).

1. If the default entries for Signer and Signer's Organization are correct, click on **Next** *(Skip to Part F below).*

2. If the default entries are not the desired names for the signer and/or the signer's organization, you must search FERC's list of filers for the correct entries.

   a. Edit the first and last name of the signer and/or the signer's organization. You do not need to change entries that are correct. If you want to change the signer's organization, enter a character string that the organization name either "starts with" or "contains", and click on the appropriate radio button ("starts with" is the default).

      Use **Clear** to erase all default entries; use **Reset** to restore the default entries.

      Click on **Next** when you finish editing the entries.

   b. On the Search Results screen for Specify the Signer of the Document, use the down arrows to select the signer name and/or the organization name from the pick list. When you have made the selections, click on **Next**.

      (1) If the Signer Name has been changed and the new name and associated address are not found or are incorrect, click on **Create a New Contact**.

         Enter the information for the signer, including the signer's organization, if applicable (leave blank if the signer is signing as an Individual). You must complete all fields with **Bold** labels.

         Click on **Submit**. You will see the signer name (but not the address) and the organization (or "Individual" if you left organization blank). Click on **Next** to submit the new entries. *Skip to Section F below.*

(2) If the Signer Organization is not found or is incorrect, fill in a new Organization name in the space provided. Click on **Submit**.

Note: The signer's organization may be different from the organization on whose behalf the filing is made, e.g., an attorney at a law firm (signer's organization) filing on behalf of a client (the on-behalf-of party).

F. Specify the Organization on Whose Behalf You Are Filing

You must specify the organization or group on whose behalf you are filing if you are making the filing on behalf of someone other than yourself (as an individual) or if you are an attorney submitting the filing on behalf of a client. You can enter only one organization or group name. The FERC Dockets staff will manually add the names of any additional parties to a filing when they review your submission.

At your option, you may specify a contact person associated with or representing the organization or group on whose behalf you are filing. For a Rulemaking Comment, Motion to Intervene Out-of-Time, and Motion/Notice of Intervention, the name you specify will be placed on the service list as the Principal Party Name/Address for the docket you are filing under. However, if this data is identical to the Signer's Name and Organization, there will be no Representative Name/Address on the Service List.

The Search screen for the Specify the Organization on Whose Behalf You Are Filing defaults to the organization associated with your User Name account. If you changed that organization in Section E above, then the screen defaults to the revised organization.

1. If you're submitting the filing as an Individual, and "Individual" appears in the Organization Name field, click on **Next** to continue *(Skip to Part G below).*

2. If the default entry for the organization name is not correct, enter a character string that the desired organization name either "starts with" or "contains", and click on the appropriate radio button ("starts with" is the default).

3. You may, at your option, enter the first and last name of a contact at the organization on whose behalf you are filing. Click on **Next** when you finish adding or editing the entries. This will initiate a search of the FERC list of filers for names that match the name you entered.

4. On the Search Results screen, use the down arrows to select the correct entry(ies) from the search results. Click on **Next** after you select the desired entries.

5. If you do not find the correct entry(ies), follow the procedures in Section E, part 2(b)(1) and 2(b)(2) to **Create a New Contact** or enter a new organization.

G. Specify the Docket Number(s) Applicable to Your Filing

If the filing type you selected is one that requires a new docket number, the system will bypass the docket entry screen and the text "New Docket" will appear in place of a docket number in the description of the filing.

If you selected a filing type that applies to an existing docket(s), you must enter the docket number(s) that apply to your filing. Comments are generally filed in response to notices issued by the Commission. The notices identify the Docket Number(s) and set the deadline for filing comments or motions to intervene.

Be sure the Docket Number(s) you enter on the screen agrees with the Docket Number(s) included in the document you are submitting.

If you do not know the applicable Docket Number, or the correct format for the number, you should query FERRIS http://www.ferc.gov/ferris.htm on the Commission's web site.

On the Enter Docket Number screen, enter the correct docket and sub-docket number. Most docket numbers have the format ppyy-ddd-sss, where "pp" is the docket prefix, "yy" is the last two characters of the fiscal year beginning on October 1), "ddd" is a one to five-digit sequential case number (project number for the "P" prefix), and "sss" is the sub-docket number. The system will not accept an incomplete entry or one that is not in the proper format.

1. If you are filing in a single docket, click on **Continue** after you enter the docket number.

2. If you are filing in more than one docket, click on **Add to Docket List** after each entry to build a complete Docket Number List for your submission. To verify that you have entered the correct docket number(s), click on **Query Docket Names** to display the docket number(s) and associated docket name(s) in the Docket Names List. Click on **Continue** after you have entered all of the applicable docket numbers.

3. If you wish to remove a docket number from the list, highlight (triple-click) the docket number and click on the **Delete** button on the keyboard. The docket number will be removed from the Docket Number List. **Be sure to triple-click on the docket number – this highlights the docket number and the carriage return**.

H. Enter/Amend the Description of the Filing

The title of the next screen will display the type of filing that you selected in Part D. The default description consists of the type of filing you selected, the organization that you specified as the Organization on Whose Behalf You Are Filing, and the Docket Number(s) that you entered.

You should amend the description to more accurately describe the content of your submission. For example, if you're filing a protest and comments in conjunction with a Motion to Intervene, change "Motion/Notice of Intervention..." to "Motion to Intervene with Comments and Protest...." There is a limit of 255 characters. **Do not use this field for your actual comments; it is a description field only.**

Review the description of the filing shown in the Filing Description form box.

1. If necessary, amend the description to more accurately describe the content of your submission. There is a limit of 255 characters. For your convenience, a character counter is provided below the Filing Description text box. If the submission is for a new docket, ‘New Docket’ appears in place of a docket number within the Filing Description text.

2. If you are submitting an Amendment or a Supplement to a previous submission, click on the appropriate radio button. Otherwise, leave the default "Original." Clicking on the "Amended" or “Supplement” radio button adds the word "Amended" or “Supplement” to the beginning of the Description of the Filing. However, you will not see that addition until a subsequent screen.

3. When you have finished amending your description, click on **Next** to continue.

I. Select the File(s) to Submit

After accepting or amending the default description, you are ready to attach your file(s).

1. Click on **Browse**. A Choose File box displays.

2. Locate and highlight the desired file and click on **Open**. The path and file name displays in the Select File field

3. To review the selected file, click on **Review**. The selected file appears. Ensure that: you selected the correct file; the Docket Number(s) are listed correctly; and that you have identified the person responsible for the submission in the document.

When you click on the Review button, what follows will depend on the browser (Internet Explorer (IE) or Netscape) (and version) that you are using. The following paragraphs address the Review process for both Internet Explorer 5.5 and Netscape 6.0 users.

To Review File (For Internet Explorer Users): Click on **Review** to open the selected file. A dialog box displays with the complete file path and file name. Click on **OK**. A File Download window displays. Click on the "Open . . ." radio button and click on **OK** to open the file in the application you used to create it. Check to ensure that: you selected the correct file; the Docket Number(s) are listed correctly; and that you have identified the person responsible for the submission in the document. If the file you selected is not correct, you should either re-select the correct file, or make corrections to the file, save it, and re-select the corrected file.

To Review File (For Netscape Users): Click on **Review** to open the selected file. A Confirm dialog box appears with the complete file path and file name. After you have read the information, click on **OK** to continue. An Alert dialog box appears. After you have read the information, click on **OK** to continue. Your filing information appears within a Netscape window. Type (or highlight and copy) the path and file name (as it appears in the Select File field) in the URL. Click on the **Enter** key to continue. A Downloading dialog box appears. Click on **OK** to open the file in the application you used to create it. Check to ensure that: you selected the correct file; the Docket Number(s) are listed correctly; and that you have identified the person responsible for the submission in the document. If the file you selected is not correct, you should either re-select the correct file, or make any corrections to the <u>actual file</u>, save the file, and re-select the corrected file.

4. After you have reviewed the selected file, click on the **X** to close the file.

5. If this filing contains a Draft Notice of Filing, click on the Draft Notice check box.

6. Type in a description for the selected file in the Description field. There is a limit of 100 characters. For your convenience, a character counter is provided below the Description text box. If you do not enter a description for the selected file in the Description field, the file name will appear in the Submission Contents table, File Content field. Data in the Submission Contents table are not modifiable.

7. Click on **Attach** to add the file to the Submission Content table.

8. Repeat steps 1 through 6 to attach up to five total files. If you attempt to attach a sixth file, the system displays the following error message, "Only five (5) files are allowed to be listed for one submission" displays and the link, Return to the File Upload screen. Click on the Return to the File Upload screen link to return to the File Upload screen.

9. If you wish to reorder the uploaded files, click on the down arrow for the first file to be re-sequenced and click on the desired sequence number. The selected sequence number appears highlighted for the first file.

10. Repeat step 8 for the next file(s) to be re-sequenced. **Sequence numbers must be unique.**

11. Click on the **Update Order** button. The Submission Contents table is updated with the new file order.

12. If you wish to remove one of the uploaded files, click on the **Delete** option for the file you wish to delete. The system displays the following message, "Are you sure you want to delete File [sequence number]?"

13. Click on **OK** to complete the delete process. The file is removed from the Submission Content table and the sequence numbers for the remaining files are updated.

14. When you have completed the file selection process, click on **Submit Files**. The on screen acknowledgement displays.

15. Click on **Done** to complete the submission process. If you detect errors at this point, click on **Cancel** to delete the filing.

III. Receipt and Acknowledgment of Your Submission

A. On-Screen Acknowledgment and Notice of Acknowledgment

Upon receipt of your submission, the eFiling System will automatically acknowledge that your filing has been received by FERC. The following information should appear on your computer screen within a few seconds after you submit your filing:

1. FERC Accession Number: the document control number assigned to your submission.
2. Filing Date: the official filing date; filings received after 5:00 p.m. Eastern time are considered filed at 8:30 a.m. on the next business day. (See 18 CFR 385.2001(a)(2)).
3. Filing Description: the default description, as amended by you, the filer. If you selected "Amended" or "Supplement", the appropriate word will appear at the beginning of the description.
4. Docket Number(s): the Docket numbers that you specified on the Docket entry screen. They must agree with the Docket numbers in your file. If this submission is for a new docket, “New Docket” will appear in place of a docket number.
5. Filing Type: the type of filing that you selected.
6. Submission Date and Time: the date and time we received your submission
7. Signed By: the signer's name that you specified
8. Filed By: the organization on whose behalf you are filing; if not an organization or group, then "Individual" will appear in this field.

For a Motion/Notice of Intervention, Motion to Intervene Out-of-Time, and Rulemaking Comment, the on-screen acknowledgment will also indicate the entries on the Commission's service list for the applicable docket(s). The signer and the signer's organization will appear as the Representative Contact and Organization. The organization on whose behalf you are making this filing (or Individual) will appear as the Principal Organization. If you specified a contact for that organization, the contact's name will appear in the Principal Organization column, above the organization name. **Print the acknowledgment.**

Whether you print the on-screen acknowledgment or not, we send the same information via automatic e-mail response (Notice of Acknowledgment) to the e-mail address specified in the user's login account. You should receive this e-mail within a minute of receipt. **If you do not receive an e-mail after a few minutes, please contact User Assistance (see Part IV below). Do NOT resubmit your filing.**

The Electronic Filing Report for Accession Number can be viewed from within the Notice of Acknowledgment e-mail by clicking on the link provided. This report displays a link to each submitted file. The section “PDF Rendition” remains “N/A” until after the Notice of Receipt has been sent. At that time, the PDF icon displays. You can review the PDF rendition of your submission. The PDF contains all submitted files in the order of submission.

B. Notice of Receipt

We send a second e-mail (Notice of Receipt) with a hyperlink to a report on your submission. You should receive this e-mail within minutes of receipt. **If you do not receive an e-mail after a few minutes, please contact User Assistance (see Part IV below). Do NOT resubmit your filing.**

The hyperlink in the Notice of Receipt e-mail provides information about your submission and its status. The report contains hyperlinks to your submission in both native and PDF formats. Initially, the Approval Status for your submission is "Pending", and the files you view are in the Commission's E-Submissions Inbox.

C. Notice of Acceptance

The FERC Dockets staff will review each submission to ensure that it is in the correct format and is filed in the correct docket(s). Once they accept your submission, you will receive a third e-mail (Notice of Acceptance) notifying you of the acceptance. If your submission is one that requires a new docket or sub-docket number, the newly assigned number will be identified in the Notice of Acceptance e-mail.

Upon acceptance by Dockets, the system adds your submission to the applicable Docket Sheet(s) and loads the native file format and the PDF file into FERRIS. The document is available to the public via the Commission's web site (http://www.ferc.gov/ferris.htm) within a few minutes after acceptance. The delay is due to document word indexing by the FERRIS search engine. The PDF file contains a watermark at the top of each page. The watermark contains the accession number, the submitted date/time, and the dockets(s) filed.

The same hyperlink from the Notice of Receipt is also in the Notice of Acceptance e-mail. But the Approval Status is now "Approved" instead of "Pending" and the hyperlinks to the native and PDF file formats are links to those files in FERRIS.

D. Notice of Rejection

If the Dockets staff cannot process your submission, or there are deficiencies, you will receive an e-mail rejecting the filing. You may resubmit the filing after correcting any errors noted by the Dockets staff.

E. Common Reasons for Rejection of an eFiling

1. **Inclusion of a document that is not a "qualified document" for eFiling.** If you are uncertain as to the eligibility of a document for eFiling, send an e-mail to efiling@ferc.gov and ask for clarification.

2. **Docket Number(s) in the text of the document that differ from the Docket Number(s) entered on-screen by the filer.** We cannot make corrections or changes to the document you submit, so you must ensure that the docket number(s) referenced in your document are correct. Use the Docket Number(s) and sub-docket number(s) as they appear in the Commission order or notice that you are responding to. You must enter the same docket and sub-docket number(s) on the docket entry screen.

3. **Docket Number and/or Name and Address of Person Responsible for the filing not included in the document you submit.** For all filing types pertaining to a docketed case, the submission must include the applicable docket number(s) as well as the name and address of the person responsible for the filing. If you do not know the Docket Number, you should query FERRIS, or contact User Assistance (See Part IV below).

4. **Duplicate submissions.** If filers resubmit a filing we have already received, or if they also file a paper copy of the document, and we reject the duplicate submission. If you're not sure if we received your submission, or if you experience problems during submission, please call or e-mail User Assistance (Part IV below) before resubmitting your filing.

5. **User Request.** If you submit the wrong file or if you determine that your submission contains errors, please call or e-mail User Assistance (Part IV below) before resubmitting your filing. We will reject the erroneous submission, unless the error involves information about your submission and can be corrected by the Dockets staff. We cannot correct errors in the document you submit – we preserve all source documents "as filed".

6. **We cannot process your submission.** Occasionally we encounter a file or a scanned document created with a software version that our system cannot process. Usually this involves older versions of otherwise acceptable file formats. We will contact the filer when this occurs.

IV. User Assistance

To obtain assistance or discuss problems with making electronic filings [during the Commission's official business hours (8:30 a.m. to 5:00 p.m. Eastern time)], contact the OSEC eFiling Hotline at 202-502-8258 or e-mail efiling@ferc.gov.

To obtain general information [during the Commission's official business hours (8:30 a.m. to 5:00 p.m. Eastern time)] about the program and accessing (viewing, printing, and downloading) the documents filed electronically, contact the either the public reference room at: **202-502-8371** (and press "0") or e-mail public.referenceroom@ferc.gov

Or, contact the FERC technical support staff at:
(Toll free) **1.866-208-3676** or e-mail FERCOnlineSupport@ferc.gov

NOTE: The Commission does not accept filings via e-mail. Do not use any of the above e-mail addresses to submit comments or other filings to the Commission. Materials submitted via e-mail will not be placed in the record for a proceeding.

Appendix I: Qualified Documents Eligible for Electronic Filing

"Qualified documents" that may by submitted electronically in lieu pf paper include (Filing Type Selection options, listed by program area, are in **Bold** text):

A. Filings Common to Docketed Proceedings in All or Most Program Areas:

Answer/Response to a Pleading/Motion: An answer (18 CFR 385.213) may be made to any pleading [18 CFR 385.202] except a protest, answer, motion for oral argument, or request for rehearing. Select Response to Complaint if you are responding to a complaint or show cause order.

Brief/Statement of Position: Any brief filed before (Rule 706) or after (Rule 711) an initial decision [18 CFR 385.706 and 385.711].

Comment on Filing: Comments on Filing is a document filed in response to a FERC public notice or order in a specific FERC docketed proceeding (any docket prefix except RM). It may include a protest. This filing type does not add contact names to the service list. You must select Motion/Notice of Intervention (or Motion to Intervene Out-of-Time) to be included on the service list for a docket. Comment on Filing includes:

1. Comments on applications and other filings.
2. Comments on technical conferences.
3. Comments filed in connection with environmental documents (Notices, Environmental Assessments, and Environmental Impact Statements) [18 CFR 380.10(a)].
4. Protests [18 CFR 385.211 and 18 CFR 343.3; see also 18 CFR 4.5, 4.13, 4.23, 35.8(a), 154,210(a), 157.10, and 157.205(e)] and responses to certain protests [18 CFR 343.3(b)].
5. Reply comments.
6. Mandatory and recommended terms and conditions or prescriptions on a hydropower application for exemption or license.

Interlocutory Appeal - Motion: Motions to the presiding officer in a proceeding to permit appeal of a ruling by the presiding officer [18 CFR 385.715(b)] or an appeal of a presiding officer’s denial of a motion to permit appeal [18 CFR 385.715(c)].

Interlocutory Appeal - Response: Responses to a Motion to Permit Interlocutory Appeal [18 CFR 385.213(a)(2) and (a)(3)].

Motion to Compel Production: A motion to compel production is a petition or request for an order directing another party in a proceeding to produce documents and records in discovery [18 CFR 385.410(b)].

Motion to Intervene Out of Time: Motion to intervene out of time is a pleading filed with the Commission by a party requesting permission for intervenor status after the deadline for filing has passed [18 CFR 385.214(b)(3)].

Motion/Notice of Intervention: Motion/notice of intervention is a pleading filed with the Commission by a party requesting intervenor status (legal basis to participate in proceeding). The motion or notice may also include comments, a protest, or other pleading [18 CFR 385.214, 385.1306; see also 18 CFR 35.8(a), 154.210(a) and (b), 157.210, 157.106, 343.2(a), and 380.10].

Objection to Motion to Compel Production: An objection to a motion to compel production is a pleading by the respondent named in a motion to compel production stating the basis for objection to producing the requested documents and records [18 CFR 385.410].

Procedural Motion: A procedural motion is a pleading by any party to a proceeding before an Administrative Law Judge or the Commission concerning the scope, procedures, or schedule established by the presiding judge or by FERC's rules of procedure [18 CFR 385.212].

Production of Document: This is a transmittal letter advising the Commission that documents or records have been provided to the requesting party, or as directed by the presiding officer, in the discovery phase of a proceeding [18 CFR 385.406].

Request for Change in Service List: This is a request to make a change to the service list for specific dockets. The change may be to revise a contact or information about a contact.

Request for Hearing: A request for hearing is a motion to the Commission that a matter within the jurisdiction of the Commission be set for hearing.

Request for Rehearing or Appeal: A request of rehearing or appeal is a pleading by any party to a proceeding before the Commission petitioning the Commission to reconsider an order in that proceeding; includes Motions for Clarification [18 CFR 385.713 and 18 CFR 385.715]. **There are statutory deadlines for filing requests for rehearing. Be advised that the Commission cannot waive these deadlines.**

Response to Complaint: Any respondent to a complaint or order to show cause must make an answer, unless the Commission directs otherwise [18 CFR 385.206(f) and 385.213(a)].

Rulemaking Comment: Rulemaking comment is a document filed in response to a Notice of Inquiry or Notice of Proposed Rulemaking issued by the Commission [RM docket prefix only; 18 CFR 385.1903 and 18 CFR 380.10(b)].

Settlement Comment: Settlement comment is a document prepared by any party to a proceeding before the Commission that sets forth the views and position of the party on a proposed agreement or settlement to resolve any of the issues in dispute [18 CFR 385.602(f)].

Withdrawal of Application: A request to withdraw an application or other pleading previously filed with the Commission.

Withdrawal of Intervention: Withdrawal of intervention is a request by a party to a proceeding (one who has intervenor status) to withdraw from that proceeding [18 CFR 385.216].

B. Electric Program Area Filings

Accounting Filing or Request: Any request for approval of accounting procedures or a filing related to accounting issues.

Annual Charges Report: FERC Reporting Requirement No. 582: The annual report, due April 30, by a public utility, as defined in §382.102(b), on transmission of electric energy in interstate commerce, for the purpose of computing annual charges [18 CFR 382.201(c)].

Complaint: Any complaint under Rule 206 that does not include privileged (non-public) information (18 CFR 385.206). Answers to complaints should also be filed under this category within 20 days of date the complaint is filed [18 CFR 385.206(f)].

Electric Quarterly Report 2nd and 3rd Qtr. 2002 Revisions: The Electric Quarterly Report is filed by all jurisdictional utilities, listing all contracts in effect and all power sales made during the previous quarter, as required by Order 2001. Revisions to filings made in the interim format are allowed via efiling. Any EQR filing for 4th quarter 2002 or later should be filed using EQR Submission software available at http://www.ferc.gov/Electric/eqr/eqr.htm.

Electric Refund Report (Compliance Only): A report of refund of any increased rates or charges either found by the Commission not to be justified, or approved for refund by the Commission as part of a settlement.

Qualifying Facility Notice of Self-Certification: Notice of self certification as a qualifying facility filed by a small power production facility or cogeneration facility that meets the requirements of 18 CFR 292.203 [18 CFR 292.207 and 131.80 (Form 556)].

Qualifying Facility Notice of Self-Recertification: A subsequent notice of self-recertification as a qualifying facility filed by a small power production facility or cogeneration facility [18 CFR 292.207].

C. Natural Gas Program Area Filings

Accounting Filing or Request: Any request for approval of accounting procedures or a filing related to accounting issues.

Complaint: Any complaint under Rule 206 that does not include privileged (non-public) information [18 CFR 385.206]. Answers to complaints should also be filed under this category within 20 days of date the complaint is filed [18 CFR 385.206(f)].

Peak Day Capacity Report: An annual report, due March 1, by an interstate pipeline of available capacity, showing the estimated peak day capacity of the pipeline's system, and the estimated storage capacity and maximum daily delivery capability of storage facilities and the assignment of that capacity to the firm services provided by the pipeline [18 CFR 284.13(d)].

Semi-Annual Storage Report Under Part 157: Reports of storage activity filed by interstate pipelines for facilities under a blanket certificate or a certificate of public convenience and necessity [18 CFR 157.214; docket number known].

Semi-Annual Storage Report Under Part 284: Reports of storage activity by interstate pipelines [18 CFR 284.13] and intrastate pipelines [18 CFR 284.126] filed at the end of each complete storage injection and withdrawal season (no docket number).

D. Oil Pipeline Program Area Filings

Accounting Filing or Request: Any request for approval of accounting procedures or a filing related to accounting issues.

Complaint: Any complaint under Rule 206 that does not include privileged (non-public) information [18 CFR 385.206]. Answers to complaints should also be filed under this category within 20 days of date the complaint is filed [18 CFR 385.206(f)].

E. Hydropower Program Area Filings

Annual Conveyance Report: A report filed by the licensee of a hydropower project, if required by its license, of conveyances of easements or rights-of-way across, or leases of, project lands that occurred in the previous year [18 CFR 141.15].

Annual Generation Report: A report filed by licensees of hydropower projects of more than 1.5 megawatts of installed capacity to enable the Commission to determine annual charges [18 CFR 11.1(c)(4)].

Complaint: Any complaint under Rule 206 that does not include privileged (non-public) information [18 CFR 385.206]. Answers to complaints should also be filed under this category within 20 days of date the complaint is filed [18 CFR 385.206(f)].

Form 80 -Licensed Hydropower Recreation Report: This form is used by licensees to report information with respect to current and potential recreational use at developments within projects under major and minor license.

Progress Report: Progress reports filed by a hydropower project licensee or preliminary permit holder in accordance with a license or preliminary permit requirement (file under 000 sub-docket for the project).

Request for Extension of Time (Hydro: Post-Licensing Only, Excluding Dam Safety-Related Extension Requests): Requests for extension of time to comply with filing schedules defined in the terms and conditions of a license or exemption and (e.g., requests to extend due dates in license articles and settlement agreements incorporated into a license) and requests to extend due dates specified in post-licensing Commission and delegated orders.

Surrender of Exemption: Application filed requesting surrender of a conduit exemption [18 CFR 4.95] or for a 5MW exemption [18 CFR 4.102].

Surrender of License: Application filed requesting surrender of a license [18 CFR 6.1].

Surrender of Preliminary Permit: Petition requesting surrender of a preliminary permit [18 CFR 4.84].

Appendix II: How to Intervene in Commission Proceedings

There are two alternatives available to those wishing to participate in FERC proceedings involving the interstate sale and transportation of natural gas, hydroelectric dams, wholesale transactions of electric transmissions, and rates for the interstate transportation of petroleum products.

The first alternative is to file a protest or letter of support with the Commission. While protests and letters of support are helpful in the Commission's deliberation of a case, these filings do not constitute part of the record upon which a decision is made if the case is set for hearing before the Commission's administrative law judges. The Commission's rules require that protestors provide copies of their protests to the party or parties directly involved.

The second alternative is to file as an intervenor. An intervenor is an official party to a proceeding and enjoys distinct advantages over those who only file comments.

Intervenors have the right to participate in hearings before FERC's administrative law judges; file briefs; file for rehearing of a Commission decision; have legal standing to be heard by the Court of Appeals if they press their opposition to the Commission's final order; be placed on a service list to receive copies of case-related Commission documents and filings by other intervenors.

Filing for intervenor status is not complicated. There is no form to complete. Interested parties must file a motion requesting permission to intervene. The motion must identify the case by name and docket number and must clearly state your position and interest in the case.

For example, intervenors may demonstrate they are directly affected consumers, or they are elected representatives of affected parties, or that they own land near a proposed hydroelectric or pipeline site.

In addition to filing with the Commission, a motion to intervene must be served on the applicant and any other parties to the proceeding. The Commission's Secretary maintains the service list. Service lists are available by docket number on the FERC web site at the following link: http://fercdocket.ferc.gov/pa/pa.htm. If you do not have Internet access, requests for service lists should be directed to the Public Reference Room, (202) 502-8371.

Parties that agree to be served by specified electronic means may be served in that manner in lieu of first class mail or other means of physical delivery.

Notices of proposed rate changes, applications for hydro development, proposed natural gas pipelines, and other filings submitted to the Commission are printed daily in the ***Federal Register*** (www.access.gpo.gov/su_docs/aces/aces140.htm).

Notices issued by the Commission are also available on the Federal Energy Regulatory Records Information System (FERRIS), which can be accessed through the Commission's web site at http://www.ferc.gov/ferris.htm.

Each notice includes a deadline for filing requests for intervention. If the request to intervene is filed on time and there is no opposition to the request within 15 days of filing, intervenor status is granted automatically.

Disputed requests for intervenor status must be resolved by the Commission.

Anyone filing a motion to intervene out-of-time must show good cause why the motion should be accepted late.

If the intervention is filed after the matter has been set for hearing and is pending before an administrative law judge, the presiding judge has the authority to rule on contested motions to intervene.

Interventions, protests, or comments may be filed in electronic format via the Internet in lieu of paper copies. If you cannot file electronically, you must either mail or deliver a signed original and 14 copies of the intervention, comment, and/or protest to the Federal Energy Regulatory Commission, Office of the Secretary, 888 First Street, N.E., Washington, DC 20426.

If filing via the Internet, access the Commission's web site (www.ferc.gov) and select the "eFiling" link. First-time users will have to create a User Name and password. Once you login, follow the instructions on the screens to submit your prepared motion to intervene, comment, and or protest. Do not submit paper copies if you file via the Internet.

As noted, these filings must cite the docket number(s) applicable to your submission.

Appendix III: Privacy Act Statement and the Use of Cookies

A. Privacy Act Statement

The Commission's Privacy Act Statement is available at: http://www.ferc.gov/disclmer.htm.

In the electronic filing system, you provide personal information to us in two ways.

First, you must provide your name, address, telephone number, and e-mail address in order to establish a User Name and Password to use the system. We use this information to authenticate the source of an electronic filing. When you login to the system, we display this information for you so that you can verify that the information has not changed since your last session. We also use your name and organization, if any, to pre-fill certain fields to simplify data entry. You can change the default entries if they are not correct. The information associated with your User Name is not used for any other purpose, nor is it disclosed to others. We use Secure Sockets Layer (SSL) software to protect passwords so that no one else can access your account or make a filing using your account.

The second source of personal information is the identifying information that you must include in the document (file) that you submit to the Commission. The information in the document, including any personal identification information, is a public record and will be accessible by any member of the public via the Commission's web site. These requirements apply to both electronic and paper submissions.

All filings must be signed. For electronic filings, the Commission's rules provide that the typed characters representing the name of a person shall be sufficient to show that such person signed the document. All filings with the Commission must contain: the docket number, if any; the title of the proceeding if one has been initiated; a heading which describes the filing; and the name of the participant for whom the filing is made.
In most cases, you must also include the name, address, and telephone number of the person responsible for the filing. Motions to Intervene must include the name, address, and telephone number of the person(s) to be included on the Commission's official service list for the proceeding. The service lists are also accessible to the public via the Commission's web site.

If you need additional information on the content requirements for specific filings, refer to the Commission's Procedural Rules in 18 CFR 385.

B. Use of Cookies

Cookies are short text files placed on your computer's hard drive by a web site, usually without your knowledge. The cookie is not an executable program and cannot do anything to your computer. There are two kinds of cookies:

A **session cookie** is one that continues in operation only for the duration of the browser session - when the user shuts down the browser the cookie is released and goes away.

A **persistent cookie** continues in operation after the close of the individual session. Shutting down the browser will cause the cookie to be written into a special cookie file on the user's computer, so that the next time the user visits the web site that generated the cookie, the cookie will be sent to the web site's server again.

The Commission uses a session cookie to enable you to make filings electronically. We do not use persistent cookies for electronic filing.

The session cookie is used for no other purpose than to enable you to make an electronic submission. You can prevent any cookies from being sent to your system using the browser options. However, if you do so, or already have your browser set to do so, you will not be able to submit filings electronically. If you prefer not to allow session cookies on your computer, you will have to submit your filing on paper by sending an original and the required number of copies of your filing to: Federal Energy Regulatory Commission, Office of the Secretary, 888 First St., N.E., Washington, DC 20426.