



Federal Energy Regulatory Commission

Submission Guidelines

Introduction

The purpose of this document is to provide guidance and reference to filers. These instructions apply to all filings made to the Commission.

Contact FERC Online Support (ferconlinesupport@ferc.gov) (866-208-3676) if the guidelines do not address your question(s).

Filings are accepted through the following channels:

- eFiled using the Commission website
- eComments made on the Commission website
- eForm software provided by the Commission
- CD / DVD
- Paper.

The Commission accepts almost all filing types electronically. All security designations (Public, Privileged, CEII, and Protected) are eligible. We recommend that filers choose electronic filing over paper / DVD submissions. There are many advantages to electronic submissions including faster processing and posting, savings in paper and mailing costs, and reduced impact on the environment.

Filers should be familiar with FERC Regulations in Title 18 of the Code of Federal Regulations ([18 C.F.R Parts 1-399](#)). [Part 385](#) contains procedural rules, but there are specific requirements in other parts of Title 18 for Electric, Natural Gas Pipeline, Oil Pipeline, and Hydropower program areas. [Title 18](#) reflects all Final Rules in the Federal Register.

It is the responsibility of the filer to adhere to the guidelines and posted regulations. Failure to do so can result in delays processing the filing, or the Secretary to reject it.

Formatting Instructions for electronic and paper documents:

Documents submitted to the Commission will be legible. They are part of the public record, used by many different stakeholders, and are retained for several years or permanently.

The coversheet of a filing will contain:

- Docket Number (if applicable)
- "Interlocutory Appeal" below the docket designation if the filing is under Rule 715(c) of a presiding officer's denial of a motion for interlocutory appeal statement
- Schedule identification or title (if applicable)



Federal Energy Regulatory Commission Submission Guidelines

- The title of the proceeding if a proceeding has been initiated
- A description of the filing
- The participant for whom the filing is made, or a shortened designation for the participant company name
- Filing date and time period (if applicable)

Filing CEII, Privileged, or Protected Material

A filing that warrants special treatment (CEII, Privileged, or Protected) will be organized as follows:

- Separate Public, Privileged, CEII, or Protected material into clearly-marked binders or sections.
- Insert a page in the Public volume/section where sensitive material has been removed. The page must identify the volume/section containing the removed material.
- The coversheet, or first page, of each volume/section will include information to identify the filer, volume number, and a description of the material.
- Clearly mark all pages in bold 18-point lettering at the top center of sensitive pages based on their security (Privileged, CEII, or Protected). The coversheet must also be marked accordingly.

FERC Filing Guide and Qualified Documents List

The FERC Filing Guide and Qualified Documents List is an up-to-date listing of requirements on a filing type basis. The List identifies:

- CFR Cite, Statute, and Section
- Filing Requirement
- Electronic submission eligibility
- Appropriate eFiling menu choices
- Docket prefix that will be assigned
- Number of paper courtesy copies to be sent for certain eFiled submissions

General Instructions for eFiled or CD/DVD submissions

Each submission must contain one Public file that describes the filing. Submissions that contain many files will include a transmittal letter that describes the organization of the files and their security designations.

The Commission has an [Acceptable File Format](#) list. The list ensures that potentially harmful files are not accepted. Certain file types also have unique instructions when filing them with the Commission.



Federal Energy Regulatory Commission Submission Guidelines

The following System Limits for eFiling also apply to CD/DVD submissions:

- 50MB limit per file
- 60 character limit per file name including the period and file extension
- The file name should be named logically to assist staff in processing the filing

We recommend these practices when submitting documents:

- Use internal document hyperlinks for bookmarks if the document has a table of contents
- Portable Document Format (PDF) documents should be text searchable
- Files must not be password protected at any level
- Do not include hidden data or references
- Do not include macros or scripts that alter the file in a manner that changes the content or render the file unreadable
- Do not include hyperlinks as a means to include external items
- Do not encrypt files
- Use page headers and footers as appropriate

When filing numeric data and work papers showing calculations:

- Include calculations required by regulation
- Include worksheets or tables with the same column headings in a single file whenever practical
- Include the formulas, scripts, or macros (and any sources they reference) used for calculated fields
- Exclude leading zeroes, precede negative values with "-", indicate units or special characters in separate fields or headings, and do not use a 1000 separator (,) whenever practical.

Instructions Specific to eFiled Submissions

The [eFiling](#) portion of the FERC website contains information related to eFiling at FERC as well as a [User Guide](#).

Staff Courtesy Copies

Certain filings require the filing party to submit a courtesy copy to staff. These filings normally contain large maps or engineering drawings.



Federal Energy Regulatory Commission Submission Guidelines

- A courtesy copy must be provided to staff before the close of the next business day after eFiling.
- [The Filing Guide / Qualified Documents List](#) identifies filings that require a courtesy copy.
- The [Address List](#) specifies where courtesy copies are to be mailed.
- A confirmation of receipt email must accompany the courtesy copy.

Interventions: Document-less and Standard

Interventions in a proceeding may be done by either document-less or a standard intervention. For information related to intervening in a proceeding, refer to the [Intervention Guide](#) on the FERC website.

Instructions for [Document-less Intervention](#) can also be found on the website.

eComments (P, PF, CP, PT, ET Dockets)

eComment is meant for the first time or occasional user who is impacted by a single project. eRegistration is not required and comments are limited to 6000 characters. More information can be found on the [eComment](#) page of the Commission website.

eService

[Parties](#) to a FERC proceeding must serve copies of their submission to other parties in the proceeding. Public portions of filings can be served by forwarding the Acceptance for Filing email.

Parties to a proceeding can be found using the [Web Service List](#)

Instructions Specific to CD/DVD Submissions

The entire submission (cover letters, form of notice [if required], maps, and drawings) will be included on CD/DVD. The CD/DVDs must be organized by security designation (Public, Privileged, CEII, and Protected). CD/DVD media that contain, on the same CD/DVD, files with more than one security class -Public data will not be accepted.

Any electronic media other than CD/DVD will not be accepted unless specified by FERC regulation or staff data request.

The cover letter of a CD/DVD will include the following:



Federal Energy Regulatory Commission Submission Guidelines

- All previous information mentioned in the “General Instructions” of this document.
- Be on each CD/DVD media that is included with the submission
- A list of the CD/DVD media included and the security level for each CD/DVD
- A statement that the entire submission is on the CD/DVD media

Submissions that contain CD/DVD media will be sent using either courier or express delivery service. Sending via USPS will likely result in the destruction of the media due to the irradiation process.

The following applies to how CD/DVD media should be organized and labeled:

- Folder and sub-folders should correlate logically to the organization of the document
- Large format files should be put into their own “Large Format” folder
 - Denotes a page size greater than 11x17
- Use descriptive file and folder names
- Each CD/DVD must have an external label that identifies the applicant or filer, docket/sub-docket, a brief description of the contents, security designation, submission date, and Original or Copy.

The following table lists the number of CD/DVD copies to include for a submission:

For gas certificate applications, an original and four paper copies will be submitted

Security	Paper Copies	CD/DVD
Public	Original+2	Total number of original and copies required by regulation. Include a paper copy of the cover letter with each copy of the Public CD/DVD
CEII	Original+2	Three copies
Privileged	Original Only	One copy
Protected	Original Only (under seal) with copy of cover letter on the outside of the sealed envelope / container	One copy included in the sealed envelope / container



Federal Energy Regulatory Commission Submission Guidelines

Instructions Specific to eForms and Electronic Quarterly Reports (EQR) Submissions

eForms will be filed using software provided by the. Detailed information can be found in the [Forms](#) area of the Commission website.

Instructions Specific to Paper Submissions

Send all paper or non-electronic official communications by mail to:

Kimberly D. Bose, Secretary
Nathaniel J. Davis, Sr., Deputy Secretary
Federal Energy Regulatory Commission
888 First Street, N.E.
Washington, DC 20426

Use express or hand-delivered services for filings; sending them through USPS may damage or destroy contents due to the use of irradiation.

Hand-delivered filings need to arrive before 5:00pm EST with sufficient time allotted to clear security.

Personal Information, including Social Security Number, Account Number, Address, and Telephone Number

Social Security and Bank/Financial numbers should always be:

- Marked as Privileged
- Included only in the Privileged part of the filing

Other personal identifying information (address, email, and/or telephone number) will be part of the public record unless otherwise requested. FERC will not accept anonymous filings.

Personal identifying information about a third party must include, in writing and in advance, the consent of the third party to include this information.