

UNITED STATES OF AMERICA  
FEDERAL ENERGY REGULATORY COMMISSION

Electronic Filing of Documents

Docket No. RM00-12-000

NOTICE OF NEW RELEASE FOR ELECTRONIC FILING

(September 5, 2003)

Take notice that on Wednesday, September 10, 2003, at 7:00 pm, the Commission will upgrade its Electronic Filing System to Version 5.0. The new release is a major rewrite of the existing system and is now part of the Commission's FERC Online suite of applications.

User names and passwords for the existing system are not valid in Version 5.0. Current and prospective users of the eFiling System must create an account using the Commission's eRegistration system, unless they have previously eRegistered. Document signers are also encouraged to eRegister. The instructions for creating an account, or editing an existing account so that it can be used for eFiling, are attached to this notice. All eRegistrants will be able to logon to FERC Online using their email address and password. The User Guide for Version 5.0 is also attached to this notice.

The functionality of Version 5.0 is similar to earlier versions, but there are modifications in the appearance and operation of the screens. Due to the magnitude of these changes, there are no new filing types for eFiling in this release.

The eFiling screens are consistent with the Commission's new web design template. The on-screen Help links are specific to each screen.

The number of unzipped files that may be submitted in one session has been increased from five files to ten files. The size limit for each file remains 10 Mb.

Finally, documents submitted via eFiling are still limited to those in the public domain. Do not submit Privileged, Protected, Critical Energy Infrastructure (CEII) or Non-Internet Public (NIP) information through the eFiling system.

Questions about this notice may be directed to Brooks Carter at 202-502-8145, or by email to [brooks.carter@ferc.gov](mailto:brooks.carter@ferc.gov). If you need assistance using Version 5.0, email [FERCOnlineSupport@ferc.gov](mailto:FERCOnlineSupport@ferc.gov) or call 1-866-208-3676 (toll free), 202-502-6652 (local).

Magalie R. Salas  
Secretary

## **Instructions for eRegistration**

You must be eRegistered to access the eFiling System and other FERC Online applications. User IDs and passwords created in earlier versions of eFiling are no longer valid. To register, or to review/edit a current registration:

### **To register:**

1. Go to [www.ferc.gov](http://www.ferc.gov) and click on the eRegistration link under the FERC Online link.
2. Click on the “[New User? Sign up](#)” link.
3. Enter all required registrant information.
4. After saving the registration information, you will receive an email from FERC Online Support ([ferconlinesupport@ferc.gov](mailto:ferconlinesupport@ferc.gov)). Click on the link in the email to confirm your email address and validate your registration. You will not be able to use your account until you validate it.
5. Once you have validated your registration, click on the [FERC Online Home Page](#) link to log in.
6. If you need help with the registration process, click on the [Help](#) link located on each eRegistration screen, or call FERC Online Support at (866) 208-3676 or locally at (202) 502-6652.

### **To review/edit/update an existing registration:**

1. The “eSubscription only” option does not require all of the fields that are required to eFile documents.
2. From the FERC Online Home Page, click on the [Registration](#) link under the FERC Online link.
3. Click on the “Existing User Log In” link and log in.
4. Click on the “Edit Registration” link on the left menu.
5. Uncheck the “eSubscription only” box.
6. Complete any required fields that are empty.
7. Save the changes.
8. You can then log in to FERC Online to efile.

# **Federal Energy Regulatory Commission**

## **Electronic Filing**

### **User Guide v5.0**

**September 10, 2003**

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## I. Introduction

Pursuant to Order No. 619,<sup>1</sup> 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 <http://ferconline.ferc.gov/>. Refer to Appendix I for a complete list and description of documents eligible for electronic filing.

The Commission does not accept comments or other documents on proceedings before the Commission via email.

The Electronic Filing System is a file attachment process. Prepare your submission in the same manner as you would if filing on paper. If you're filing in a docketed proceeding(s), 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.

**Important:** After you have selected and submitted the appropriate file(s), you will receive an on-screen confirmation. You must click on the **Done** button to complete the transaction.

The Federal Energy Regulatory Records Information System (FERRIS) has been renamed eLibrary. References to FERRIS now refer to eLibrary in this document.

## II. Procedure for eFiling

The same filing deadlines for paper submissions also apply to electronic submissions. An 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.

**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 deadline for filing. Please allow sufficient time to resolve any filing problems in advance of the 5:00 pm deadline.**

### A. Before You Login to File

1. Electronic filing is limited to qualified documents identified in Notices issued by the Office of the Secretary in Docket No. RM00-12-000. The types of documents eligible for electronic filing are described in Appendix I. Be sure that your submission contains only qualified documents eligible for eFiling.

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<sup>1</sup> III FERC Stats. & Regs., Regulations Preambles ¶ 31,107.

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2. Two or more qualified documents may be combined in a single submission (e.g., a motion to intervene may also include comments and a protest) and submitted using FERC's eFiling system. Do not include non-qualified documents with qualified documents.
3. **All** submissions submitted via eFiling at [ferconline.ferc.gov](http://ferconline.ferc.gov) are publicly available in eLibrary (formerly FERRIS). **DO NOT eFile documents with privileged, protected, Critical Energy Infrastructure (CEII), or Non-Internet Public (NIP) information.**
4. There is a limit of 10 files in a single submission – each file cannot exceed 10 MB. File names may not exceed 25 characters, plus the period and filename extension, and may only contain letters, digits, and underscores. Use the appropriate file name extension.
5. Your submission may include one or more of the following file formats (use the correct file name extension):

Microsoft Word	.doc
Corel WordPerfect	.wpd
Adobe Portable Document Format (Acrobat 4.x or newer)	.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 Graphic Image Format	.mpg, .mpeg .gif
Photographic Experts Group	.jpg, .jpeg
Zip files	.zip

6. **Special Instruction for Form 80:** To file a Form 80, first download and save a copy of a blank Form 80. To download a copy of the form, from your browser, enter [www.ferc.gov](http://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. Enter the required information on the form and save it.
7. Check to ensure your browser's Cookie settings are correct. The Commission uses a **session cookie** to enable you to submit filings electronically. Refer to Appendix III for more information on the FERC's Privacy Act Statement and the Use of Cookies. To

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check the cookie settings in your browser:

**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

eFiling is now a part of the FERC Online suite of applications. FERC Online provides a single entry point for FERC's online applications. eFiling uses eRegistration to collect registrant information.

1. From your browser, go to <http://ferconline.ferc.gov/>.
2. The FERC Online Home Page displays.

## C. Login to Make a Filing

You must be eRegistered to access the eFiling System or any other FERC Online application. Your old eFiling user id and password is no longer valid. If you are not registered or if your current eRegistration is limited to eSubscription only:

To register:

7. From the FERC Online Home Page, click on the [New Registration](#) link, located on the left side of the screen.
8. Enter all required registrant information.
9. After saving the registration information, you will receive an email from FERC Online Support. You must click on the link in the email to confirm your email address and validate your registration. You will not be able to use your account until you validate it.
10. Once you have validated your registration, click on the [FERC Online Home Page](#) link.
11. If you need help with the registration process, click on the [Help](#) link located on each eRegistration screen.

To edit an existing registration if you checked the "eSubscription only" option:

9. The "eSubscription only" option does not require all of the fields that are required to eFile documents.

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10. From the FERC Online Home Page, click on the Edit Registration link, located on the left side of the screen.
11. Uncheck the “eSubscription only” box.
12. Complete any required fields that are empty.
13. Save the changes. There is no validation required as for a new registration, so you will not receive the email that we send to new registrants.

To access the eFiling System:

1. From the FERC Online Home Page, click on the eFiling link to login to FERC Online.
2. Type your registered email address or your FERC ID in the ‘Registered email address or FERC ID’ field and enter your password in the Password field (Your FERC ID is in the confirmation email you receive once you have completed the eRegistration procedures).
3. Click on **Submit**.
4. Review any messages on the FERC eFile screen.
5. Click on the Create Filing link to begin.

#### **D. Select the Type of Document You Are Filing**

From the Filing Type Selection screen, scroll down to the desired filing type (or use the Hydro, Oil, Gas, and Electric links at the top of the page to quickly move to a specific library). Click on the desired filing type (refer to Appendix I for a description of filing types). The system advances to the Specify the Signer of the Document screen.

You may select only one qualified document from the Filing Type Selection screen.

If you're filing a Motion to Intervene, you should click on that selection, even if your submission also contains a protest or comments. Refer to Appendix II for additional information on interventions.

If you are filing Electric Quarterly Report 2nd and 3rd Qtr. 2002 Revisions, the eFiling System automatically assigns the docket number ER02-2001-000. Do not use the eFiling system to file Electric Quarterly Reports for any other periods. To file reports for 2003 and beyond, go to <http://www.ferc.gov/docs-filing/eqr.asp> . If you are filing an Annual Charges Report, the eFiling System automatically assigns the docket number RM87-3-000.

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### E. Specify the Signer of the Document

You must specify the signer of the document you are submitting, and the signer's organization (e.g., law firm), unless the filer is an individual filing on their own behalf. You can enter only one signer name. For filings that require a service list entry, the name you specify will be added to the service list as the Representative Contact. If the signer is filing as an "Individual", the signer name will be added to the service list as the Principal Party for the applicable docket(s).

This screen defaults to the name and organization in your eRegistration account (organization displays "Individual" if you did not specify an organization when you registered).

1. If the default entries for Signer and the Signer's Organization are correct, click on **Next** (*Skip to Section 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 and organizations for the correct entries. (Use **Clear** to erase all default entries; or **Reset** to restore the default entries if you have not clicked either Query button.)
3. If you want to change the signer's name, double click on the first name field and enter at least three characters for the first name. Repeat for the last name.
4. Click on **Query** to display a list of names that match the search criteria. From the query results list, locate the desired name and click on **Select** (Skip to Step 6).
5. If the name does not appear on this list, click on the Add New Contact link that appears at the end of the query results list. Enter the desired name and associated information. Note that fields containing an asterisk indicate that the information is required. When finished, click on **Submit** to return to this screen. Double click on the first name field and re-enter at least the first three characters for the newly added first name. Repeat for the last name and click on **Query**. Locate the newly added name and click on **Select**.
6. If you want to change the signer's organization, double click on the organization field and enter at least three characters that the signer's organization name either "starts with" or "contains", and click on the appropriate radio button ("starts with" is the default).
7. Click on **Query Organization** to display a list of organizations that match the entered criteria. From the results list, locate the organization and click on **Select** (Go to Step 9).
8. If the organization does not appear on this list, click on the Add Organization link that appears at the end of the query results list. Enter the desired organization, and click on **Submit** to return to this screen. Triple click on the organization field and re-enter at least the first three characters for the newly added organization and click on **Query**. Locate the newly added organization and click on **Select**.

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

#### **F. Specify the Organization on Whose Behalf You Are Making This Filing**

This screen will not be displayed if you are filing as an Individual.

Otherwise, you must specify the organization or group on whose behalf you are filing. The organization name defaults to the organization associated with your eRegistration account. If you changed that organization in Section E above, the screen defaults to that organization.

You can enter only one organization or group name. The FERC Dockets staff will manually add any additional parties listed in the heading of the document you submit.

At your option, you may specify a contact person associated with or representing the organization or group on whose behalf you are filing. For filings that require a service list entry, the name you specify will be placed on the service list as the Principal Party Name/Address for the docket(s) 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.

1. If the default entry for the organization name is correct, but you wish to add a contact person (optional) for that organization, enter at least the first three characters of the first and last name of the contact person in the fields provided.
2. Click on **Query** to display a list of names that match the entered criteria. From the query results list, locate the desired name and click on **Select** (Go to Step 4).
3. If the name you need does not appear on this list, click on the Add New Contact link that appears at the end of the query results list. Enter the desired name and associated information. Note that fields containing an asterisk indicate that the information is required. When finished, click on **Submit** to return to this screen. Re-enter at least the first three characters for the newly added first name. Repeat for the last name and click on **Query**. Locate the newly added name and click on **Select**.
4. If the default entry for the organization name is not correct, enter at least three characters that the desired organization name either "starts with" or "contains" and click on the appropriate radio button ("starts with" is the default).
5. Click on **Query Organization** to display the organizations that match the criteria. From the query results list, locate the organization and click on **Select** (Go to Step 7).
6. If the organization you need to enter does not appear on this list, click on the Add Organization link that appears at the end of the query results list. Enter the desired organization, and click on **Submit** to return to this screen. Triple click on the organization field and re-enter at least the first three characters for the newly added

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organization and click on **Query**. Locate the newly added organization and click on **Select**.

7. Click on **Next** when you finish adding or editing the entries.

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

If the filing type you selected is one that requires a new docket number or has a pre-filled docket number, the system will bypass the Select Docket screen. For new docket numbers, the text “New Docket” will appear in place of a docket number in the description of the filing on the Submission Description and Confirmation screens. For pre-filled docket numbers, the appropriate docket number will appear in the description of the filing on the Submission Description and Confirmation screens.

If you selected a filing type that applies to one or more existing dockets, you must enter the docket number(s) that applies 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 and motions to intervene.

**Enter all docket and sub-docket numbers that apply to your submission, and ensure that they agree with the dockets referenced in the heading of the document you are submitting.**

If you do not know the applicable docket number, or the correct format for the number, you should query eLibrary (<http://www.ferc.gov/ferris.htm>). 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 a docket number that is not in the proper format. To add docket numbers to your submission:

1. Enter the correct docket number in the Enter Docket Number field. You can enter either the root docket or the complete docket and subdocket. Click on **Query**. A list of docket numbers (with associated descriptions) that match the entered criteria display below. Use the scroll bar to view all docket numbers.
2. Click on the **Select** button associated with the desired docket and subdocket(s). The selected docket and subdocket(s) appear in the text box displayed at the bottom of this screen. Repeat until all desired docket and subdocket(s) have been selected.
3. To select a different docket number, repeat steps 1 and 2 until all docket numbers have been selected.
4. If you wish to remove a docket number from the list, highlight the docket number (AND the semi-colon) and click on the **Delete** button – located on the keyboard.
5. Click on **Submit Docket**.

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If several docket and subdocket numbers pertain to your submission, and you have an electronic list of those numbers, you can copy/paste them into the box at the bottom of the Select Docket page. Each entry must be followed by a semicolon (with NO spaces between the docket numbers), whether they are listed in column or linear form (including the last docket number).

## H. Enter/Amend the Description of the Filing

The Submission Description screen displays a default description. The description consists of the type of filing you selected (Section E above); the organization on whose behalf you are filing (Section F); and the first docket number you entered (Section G).

**The submission description goes into the eLibrary index, so you should amend the default description if necessary 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..." You may also identify any additional parties you are filing on behalf of, if applicable.

The docket number part of the description will display either: the first docket number you entered, followed by "ET AL" if you specified more than one docket; a pre-determined docket number for certain filings; or the term "New Docket" if the selected filing type requires a new docket number.

Maintain the general format of the default description (Type of filing...By...in Docket...). Do not delete the docket information.

The description is limited to 255 characters. There is a character counter below the text box.

When you have amended the description, click on **Submit** 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 display in the Select File field.
3. (Optional) Click on **Review** if you want to ensure that you selected the correct file. The selected file appears. The **Review** process depends on the browser (Internet Explorer (IE) or Netscape) and version that you are using. The following paragraphs describe the Review process for both Internet Explorer 5.5 and Netscape 6.0 users.

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**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 actual 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 actual file, save it, and re-select the corrected file.

4. Close the file/application.
5. (Optional) You can type in a description for the selected file in the Description field or leave this field blank. There is a limit of 100 characters. A character counter is provided below the Description text box. If you do not enter a description, the file name will appear in the Submission Contents table, File Content field. Data in the Submission Contents table are not modifiable.
6. Click on **Attach** to add the file to the Submission Content table. If you attach a zip file it will expand to list the component files.
7. Repeat steps 1 through 6 to attach up to a maximum of 10 unzipped files.
8. If you wish to reorder the uploaded files, click on the **Up/Down** buttons to the right of each file to change its order in the list.
9. If you wish to remove one of the uploaded files, click on the **Delete** button for the file you wish to delete. The system displays the following message, “Are you sure you want to delete the file <filename>?” Click on **OK** to complete the delete process. The file is removed from the Submission Content table.
10. When you have completed the file selection process, click on **Submit Files**.

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## J. Complete Submission

**Important:** You **MUST** click on **Done** at the top or bottom of this screen to complete the submission process. If you detect errors at this point, click on **Cancel** to delete the filing.

The on-screen confirmation allows the filer to view all selected and entered information before submitting the filing to FERC and completing the submission process. The following on-screen confirmation information displays:

- A. FERC Accession Number: the document control number assigned to your submission.
- B. 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)).
- C. Filing Description: the default description, as amended by you, the filer.
- D. Filing Type: the type of filing that you selected.
- E. Submission Date and Time: the date and time we received your submission
- F. Signed By: the signer's name that you specified
- G. Filed By: the organization on whose behalf you are filing; if not an organization or group, then "Individual" will appear in this field.
- H. A Files table that displays all selected files and associated file descriptions.
- I. A Docket(s) table that lists all selected docket numbers (and associated description) that you specified on the Select Docket screen. They must agree with the docket numbers in your file. If this submission is for a new docket, "New Docket" appears in place of a docket number.

For filings that require a service list entry, the on-screen confirmation also indicates 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 confirmation.**

### III. Receipt of Your Submission

#### A. FERC Acknowledgment email

Upon receipt of your submission, the eFiling System will automatically acknowledge that your filing has been received by FERC. Whether you print the on-screen confirmation or not, we send the same information via email (FERC Acknowledgment) to the email address specified in the user's login. You should receive this email within a minute of receipt. **If you do not receive an email 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 FERC Acknowledgment email by clicking on the link provided. If your attached files have not been converted to PDF, the report will display without links to the native or the PDF files. If the PDF has been rendered and you have received a FERC Receipt email, links to your native file and the converted PDF will be available (See FERC Receipt information).

#### B. FERC Receipt email

We send a second email (FERC Receipt) with a hyperlink to a report on your submission. You should receive this email within minutes of receipt. **If you do not receive an email 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 FERC Receipt email by clicking on the link provided. The report contains hyperlinks to your submission in both native and PDF formats. You can review the PDF rendition of your submission. The PDF contains all submitted files in the order of submission.

Initially, the Approval Status for your submission is "Pending."

#### C. FERC 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 email (FERC 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 FERC Acceptance email.

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 eLibrary. The document is available to the public via the eLibrary link on the Commission's web site (<http://www.ferc.gov/ferris.htm>)

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within a few minutes after acceptance. The PDF file contains a watermark at the top of each page that contains the accession number, the submitted date/time, and the docket(s) filed.

The same hyperlink from the FERC Receipt email is in the FERC Acceptance email. Approval Status is now "Approved" instead of "Pending" and the hyperlinks to the native and PDF file formats are links to those files in eLibrary. The email contains a link to eSubscription: <http://folint.ferc.gov/esubscription/Default.aspx?ItemID=5> . This link takes you to the eSubscription login page, where you can subscribe to receive email notices when documents are added to the docket(s) you filed in or any other docket(s) of interest.

#### D. FERC Rejection

If the Dockets staff cannot process your submission, or there are deficiencies, you will receive an email 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 email to [efiling@ferc.gov](mailto:efiling@ferc.gov) and ask for clarification.
2. **Docket Number(s) in the document heading 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 Lookup 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 eLibrary, 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, 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 email 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 email 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

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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. Some documents are password protected when they are submitted. When this happens we cannot open the file to make a PDF rendition. We will contact the filer when problems such as these occur.

#### 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 email [efiling@ferc.gov](mailto: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 email [public.referenceroom@ferc.gov](mailto:public.referenceroom@ferc.gov)

Or, contact the FERC technical support staff at:  
(Toll free) **1-866-208-3676** or email [FERCOnlineSupport@ferc.gov](mailto:FERCOnlineSupport@ferc.gov)

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

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## Appendix I: Qualified Documents Eligible for Electronic Filing

Qualified documents that may be submitted electronically in lieu of paper are listed below. (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)].

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**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)].

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**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 efilings. Any EQR filing for 4th quarter 2002 or later should be filed using EQR Submission software available at <http://www.ferc.gov/docs-filing/eqr.asp>.

**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)].

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**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)].

**Notice/Report of Intent to Proceed with Emergency Procedures:** An advance report of intended emergency reconstruction activities filed with the Commission, as required by FERC Order No. 633, in the event of unanticipated loss of natural gas or capacity.

**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)].

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## 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:** Reports filed by a hydropower licensee or preliminary permit holder in accordance with a license or 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].

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## 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> (use Service lists link only). 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*

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**Register** ([www.access.gpo.gov/su\\_docs/aces/aces140.htm](http://www.access.gpo.gov/su_docs/aces/aces140.htm)). Notices issued by the Commission are also available in eLibrary at <http://www.ferc.gov/ferris.htm>.

Each notice includes a deadline for filing requests for intervention and/or comments. 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 (<http://ferconline.ferc.gov/>) and select the "eFiling" link. First-time users will have to register with FERC Online via the eRegistration link located at this web site. Once you login to the eFiling System, 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.

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### **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 email 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.

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## **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.

## Appendix IV: eFiling System Messages

### 1. Specify the Signer of the Document and Specify the Organization on Whose Behalf You Are Filing Screens

**System Message: Please enter at least 3 characters in the last name field**

Probable Cause: You entered less than three characters in the last name field, or left both first and last name fields blank on the Specify the Signer screen and clicked on the Query button.

**System Message: Please enter at least 3 characters in the “Organization Name” field**

Probable Cause: You entered less than three characters in the Organization Name field and clicked on the Query button.

**System Message: Please enter a value for the “Organization Name” field**

Probable Cause: You left the Organization Name field blank and clicked on the Submit button.

**System Message: Please enter only letters, spaces, or a single quote in the “Name” field**

Probable Cause: You entered an invalid character in the First of Last name fields. Note that periods are not allowed.

### 2. Select Docket Screen:

**System Message: A comment cannot be filed against (RM or PL Docket you entered). Please select another docket or return to the Filing Type Selection screen and select Rulemaking Comment as the filing type.**

Probable Cause: You selected Comment on Filing from the Filing Type Selection screen and entered a docket number beginning with RM or PL.

**System Message: A Rulemaking Comment cannot be filed against (non RM or PL Docket you entered). Please select an RM or PL Docket**

Probable Cause: You selected Rulemaking Comment on the Filing Type Selection screen and entered a docket prefix other than RM or PL.

**System Message: You must specify at least one Docket Number to file against**

Probable Cause: You clicked on the Submit Docket button without selecting at least one docket.

**System Message: Please provide a valid docket number to query**

Probable Cause: You entered an invalid docket number, one that is either in the wrong format or has not been assigned. Recheck the docket number and format. If you cannot resolve the problem, contact FERCOOnlineSupport@ferc.gov.

### 3. Submission Description Screen

**System Message: Please enter a value in the “Description” field**

Probable Cause: You deleted all of the information in the Description field and clicked on the Next button.

### 4. File Upload Screen

**System Message: Please specify a file to be attached**

Probable Cause: You clicked on the Attach button before selecting a file. Use the Browse button to select a file to Attach.

**System Message: Only ten (10) files are allowed to be listed for one submission**

Probable Cause: You attempted to attach an 11<sup>th</sup> file, or you added a zipped file that, when unzipped caused the total file count to exceed 10.

**System Message: You must attach at least one file**

Probable Cause: You clicked on the Submit Files button without attaching a file.

**System Message: There is an invalid character in the filename. Valid filenames can be no longer than 25 characters and can contain only:**

**ABCDEFGHIJKLMNOPQRSTUVWXYZabcdefghijklmnopqrstuvwxyz0123456789\_**

Probable Cause: You selected a file that contains invalid characters in the filename. Rename the file and eliminate spaces, hyphens, ampersands, and any other characters not included in the above list. An underscore is the only acceptable non-alphanumeric character that can be used in the 25 characters allowed for a filename (not including the period and filename extension).

**System Message: The filename you are attaching should not exceed 25 characters**

Probable Cause: You selected a file with a filename that contains more than 25 characters (not including the period and filename extension).

**System Message: The filename should contain only 1 period preceding the extension. Please send a valid file**

Probable Cause: You modified the selected file name to include more than one period.

**System Message: Please specify a document before clicking on the Review button**

Probable Cause: You clicked on the Review button before using Browse to select a file.

**System Message: This file has already been submitted**

Probable Cause: You attempted to attach a file that already appears in the submission contents table.

**System Message: The acceptable file formats include:**

**Comma Separated Value using the file extension .CSV**  
**Microsoft Word Value using the file extension .DOC**  
**Graphical Image Format using the file extension .GIF**  
**Joint Photographic Experts Group using the file extension .JPEG**  
**Joint Photographic Experts Group using the file extension .JPG**  
**Moving Picture Experts Group using the file extension .MPEG**  
**Moving Picture Experts Group using the file extension .MPG**  
**Adobe Portable Document Format using the file extension .PDF**  
**Microsoft Power Point using the file extension .PPS**  
**Microsoft Power Point using the file extension .PPT**  
**Rich Text File using the file extension >RTF**  
**Text file using the extension .TXT**  
**Lotus using the file extension .WK1**  
**Lotus using the file extension .WK3**  
**Lotus using the file extension .WK4**  
**Corel WordPerfect using the file extension .WPD**  
**Microsoft Works using the file extension .WPS**  
**Microsoft Excel Spreadsheet using the file extension .XLB**  
**Microsoft Excel Spreadsheet using the file extension .XLS**

Probable Cause: You selected a file with an invalid or unacceptable filename extension.

**System Message: This size of the file is 3. Please attach a file greater than 15Kb and less than 10Mb**

Probable Cause: You may have typed in a path and filename in the Select File field that is not valid. Use the Browser button to select the file from your local or network drive.

**System Message: The size of the file is (number greater than 10 MB). Please attach a file greater than 15Kb and less than 10Mb**

Probable Cause: You selected a file greater than 10Mb. Break large files into smaller files and submit them as Part 1, Part 2, etc., up to the maximum number of files.

## 5. Virus Checking

All files submitted electronically to FERC are scanned for viruses. If the virus checking software is not available to scan your file, the following message displays:

Currently the FERC Virus Checker is not available to scan your files. You will not be able to file your submission at this time. If you have questions about making another submission, please contact [FERCOnlineSupport@ferc.gov](mailto:FERCOnlineSupport@ferc.gov) for assistance.

If the file you are attempting to upload contains a virus and FERC can remove the virus, we will process your submission and alert you via email that your submission contained a virus that we could remove.

If the file you are attempting to upload contains a virus and FERC has attempted to remove the virus but was unable to do so, we will not process your submission. The following message displays:

FERC was unable to remove a virus from the file, and your submission cannot be completed. You will receive an email concerning this problem. If you have questions about making another submission, please contact [FERCOnlineSupport@ferc.gov](mailto:FERCOnlineSupport@ferc.gov) for assistance.