

**United States of America  
Federal Energy Regulatory Commission  
Office of the Secretary**

**Quick Reference Guide to FERC Filing and Media Requirements**

**November 3, 2003**

**Documents to be filed with the Commission should be electronically filed if eligible; if not eligible, they should be delivered or mailed to:**

**Office of the Secretary  
Room 1-A  
Federal Energy Regulatory Commission  
888 First Street, N.E.  
Washington, D.C. 20426**

**This guide is intended as a quick reference only. It does not list every filing, report, or form required by the Commission's regulations. The formal reference for all Commission filing requirements is Title 18, Parts 1 to 399 of the Code of Federal Regulations. For additional information, contact: Office of the Secretary, Dockets: (202) 502-8715**

**Links to FERC Electronic Submission Systems:**

<b>System</b>	<b>Hyperlink</b>	<b>Use System to Electronically Submit:</b>
eFiling	<a href="#">Electronic Filing</a>	Qualified Documents as defined in the eFiling User Guide
eForms	<a href="#">Electronic Forms</a>	FERC Form Nos. 1, 2, 2-A, 6, and 423
EQR system	<a href="#">Electric Quarterly Reports (EQR)</a>	Electric Quarterly Reports

**Do not file paper copies if you use the eFiling, eForms, or EQR systems to submit your filing.**

**For any submission with Privileged, Critical Energy Infrastructure (CEII), and/or Non-Internet Public (NIP) Information, see:**

[How-to File Non-Internet Public, CEII or Privileged Material](#)

The specific guidelines and submission options for various filings (by Docket Prefix), reports, and forms are:

Docket Prefix	Type of Filing	Applicable Regulation [18 CFR]	Documents Eligible for Electronic Filing (via indicated system)	Number of Paper Copies (if not Eligible for Electronic Filing)	Electronic Format Required in Addition to Paper Copies (if not Eligible for Electronic Filing)	Filing Fee / Fee Regulation (Sept 2003)
Various except DI, P & UL	Petitions for Declaratory Order	§385.207		Orig. + 14: §385.2004		\$19,040 §381.302
DI, P & UL	Petitions for Declaratory Order	§385.207		Orig. + 14: §385.2004		No fee required
Various	Motion to Intervene	§385.214	eFiling	No paper copies if E-Filed: §385.2003; Otherwise, Orig. + 14: §385.2004		
	Protests	§385.211	eFiling			
	Comments	§385.602	eFiling			
	Answers	§385.213	eFiling			
	Reponses	§385.213	eFiling			
	Answers to Complaints	§385.206	eFiling			
	Request for Rehearing	§385.713	eFiling			
	Appeals of Staff Actions	§385.715	eFiling			
	Requests for Interlocutory Appeal	§385.715	eFiling			
	Motions for Reconsideration	§385.212	eFiling			
	Initial Briefs	§385.706	eFiling			
	Reply Briefs	§385.706	eFiling			
	Pre-Trial Briefs	§385.601	eFiling			
	Post Hearing Briefs	§385.705	eFiling			
	Briefs Opposing Exceptions	§385.706	eFiling			
Requests for Summary Disposition	§385.207	eFiling				
Statements of Position	§385.207	eFiling				
Various	Requests for Exemption	§385.207		Orig. + 14: §385.2004		
	Requests for Waiver	§385.207				
	Offers of Settlement	§385.602				
	Stipulations and Agreements	§385.602				
Various	Direct Testimony and Exhibits	§385.507		Orig. + 7: OALJ Notice Issued August 8, 1991		
	Rebuttal Testimony	§385.506				
	Surrebuttal Testimony	§385.506				
	Answering Testimony	§385.506				
	Counter Answering Testimony	§385.506				

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Various	Petitions for Review in U.S. Court of Appeals	§385.2012		1 copy [Copy Must Have Court Filing Date Stamp]		
	Court Orders					
	Opinions					
	Mandates					
	Rulings					
Various	Complaint	§385.206	eFiling	Orig. + 14: §385.2004	Form of Notice §385.206(b)(10). For eFiling: include notice as a separate file; For paper filing: include notice on a diskette	
Various	Requests for Interpretations by the General Counsel	§385.1901 §388.104		Orig. + 14: §385.2004		\$5,460 §381.305
AC	Requests for Approval from the Chief Accountant for:	Various Accounting Regulations and 375.303	eFiling	No paper copies if E-Filed; Otherwise, Orig. + 7: OCA Notice Issued June 29, 1991		
	a) Accounting Entries					
	b) Reporting Requirements					
	c) Records Retention or					
d) Extension of Test Periods						
AI	Requests for Interpretation from the Chief Accountant	Parts 101 & 102 General Instruction No. 5 & 375.303		Orig. + 7: OCA Notice Issued March 29, 1991		
CP	Imports/Export Application	§153.5		Orig. + 7: §153.20(a)	Yes: §385.2011	
CP	Application for Presidential Permit Filed in connection with NGA Section 3 Natural Gas Import/Export Application	§153.15		Orig. + 9: §153.20(a)	Yes: §385.2011	

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CP	Application for Certificate for Construction or Operation of Facilities, or Transportation	Part 157		Orig. + 7: §157.6(a)	Yes: §385.2011 Form of Notice: §157.6(b)(7)	
CP	Application to Abandon Facilities or Service	§157.18		Orig. + 7: §157.6(a)	Yes: §385.2011 Form of Notice: §157.6(b)(7)	
CP	Application for Interconnection Under NGA Section 7(a)	§156.1		Orig. + 7: §156.3(a)	Yes: §385.2011	
CP	Application for Blanket Certificate	§157.201		Orig. + 7: §157.205(b)	Yes: §385.2011	
CP	Prior Notice Filings Under Blanket Certificate	§157.205		Orig. + 7: §157.205(b)	Yes: §385.2011	
CP	Application for Blanket Certificate filed by Hinshaw Pipeline or Local Distribution Company	§284.224		Orig. + 7: §152.2	Yes: §385.2011	\$1,000 §381.207
CP	Responses to Staff Data Requests	§156.5(c)		Orig. + 7: §157.6(a)		
CP	General Conditions Applicable to Certificates:					
	a) Acceptance of Certificate	§157.20(a)		Orig. + 4		
	b) Notice that End User/Shipper is Unable to Meet Imposed Timetable to Commence Service	§157.20(b)		Orig. + 4		
	c) Notice of Commencement of Construction	§157.20(c) and (d)		Orig. + 4: 157.20(c) and (d)	Yes: §157.6(a)(3)(v)	
	d) Notice of Completion of Construction or Placement of Facilities in Service					
e) Statement of Costs of Construction						
CP	Annual Reports Required for Certificates	§2.55 §157.207 §157.211(c) §157.215(b)		Orig. + 7: §157.6(a)	Yes: §385.2011	

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CP	Semi-Annual Storage Reports	§157.214 §284.124	eFiling	No paper copies if E-Filed; Otherwise, Orig. + 5: §284.13(e)	Yes, if report is not E-Filed: §385.2011	
DI	Declaration of Intent to File Application for Hydropower:	Part 24		Orig. + 8: §24.1		
	a) Preliminary Permit					
	b) License					
	c) Exemption					
EC	Application for:	Part 33		Orig. + 8: §33.8	Form of Notice Diskette: §33.6	
	a) Sale or Lease of Facilities					
	b) Merger or Consolidation of Facilities					
	c) Purchase of Securities of Public Utility					
EF	Electric Rates for Federal Power Marketing Administrations	Part 300		Orig. + 4	Form of Notice Diskette: §300.10(c)	
EG	Application for Exempt Wholesale Generator Status	Part 365		Orig. + 14: §385.2004	Form of Notice Diskette: §365.3	\$870 §381.801
EL	Formal Electric Proceedings:	Various		Orig. + 14: §385.2004		
	a) Complaints					
	b) Jurisdiction Questions					
	c) Staff Enforcement Actions					
EM	Emergency Sale, Transportation, or Exchange of Natural Gas	Part 284, Subpart 1		Orig. + 7: §284.270		
	Emergency Replacement of Pipeline Facilities					
	Termination Report					
ER	Electric Rate Filings, including	§35.1 through §35.29		Orig. + 5: §35.7	Form of Notice Diskette: §35.8	
	a) Amendments					
	b) Notices of Cancellation					
	d) Compliance Filings					

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	e) Responses to Data Request f) Blanket Authorization Requests					
ER	Compliance Electric Refund Reports		eFiling	No paper copies if E-Filed; Otherwise, Orig. + 5: §35.7	Form of Notice: §35.8. For paper filing, include diskette with notice; for eFiling, include notice as a separate file	
ES	Application for Issuance of Securities a) Commercial Paper b) Common & Preferred Stock c) First Mortgage Bonds d) Employee Option Plans	Part 34		Orig. + 4: §34.7	Form of Notice Diskette: §34.3(k)	
ID	Applications to Hold Interlocking Positions, including a) Informational Reports b) Supplemental Applications c) Notices of Change due to Retirement, Death, Termination, or Resignation	Part 45		Orig. + 2; §45.7 (Orig. + 3 preferred)		
IR	Request for Waiver of the PURPA Regulations	§292.402		Orig. + 14: §385.2004		
IS	Oil Pipeline Tariffs including a) Fourth Section Applications b) Special Permission Applications c) Amendments to Tariffs d) Supplements to Tariffs	Part 341		Orig. + 3: §341.2		

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IS	Protests and Responses to Oil Pipeline Tariffs	§343.3	eFiling	No paper copies if E-Filed §385.2003; Otherwise, Orig. + 14: §385.2004		
JD	Review of Jurisdictional Agency Determinations Under Natural Gas Policy Act of 1978					\$115 §381.401
MG	Statements of Marketing Affiliated Companies (Gas)	§161.3 and §250.16		Orig. + 5		
NJ	Non-Jurisdictional Petitions for Declaratory Order	§35.28(e)		Orig. + 14; §385.2004		
	Petition for Waiver of Filing Fee	§385.207				
OA	Open Access Transmission Filing (Electric)	§35.28		Orig. + 5: §35.7	Form of Notice Diskette: §35.8	
OR	Complaints and Petitions Against Oil Pipelines	§343.4		Orig. + 14: §385.2004		
P	Hydro Applications for:	Parts 4, 9, & 16		Orig. + 8; §4.32(b)		
	a) Preliminary Permit					
	b) License/Relicense					
	c) Exemption from Licensing					
	d) Amendment to License					
	e) Transfer of License					
Compliance with License Articles						
P	Hydro Applications for:	Part 6, §4.48, §4.95, and §4.102	eFiling	No paper copies if E-Filed: §385.2003; Otherwise, Orig. + 8: §4.32(b)		
	a) Surrender or Termination of License					
	b) Surrender of Preliminary Permit					
P	c) Surrender of Exemption					
P	Progress Reports (Hydro)		eFiling	No paper copies if E-Filed: §385.2003; Otherwise, Orig. + 8: 4.32(b)		

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P	Requests for Delay of Action/ Extension of Time (Hydro)		eFiling	No paper copies if E-Filed: §385.2003; Otherwise, Orig. + 8: 4.32(b)			
P	Applications for Exemption of Annual Charges	§11.6		Orig. + 3: §11.6(i)			
P	Safety Inspections Reports	§12.37		Orig. + 3: §12.37 (a)			
P	Annual Conveyance Report		eFiling	No paper copies if E-Filed; otherwise, Orig. + 8: §4.32(b)			
P	Aperture Cards	§4.39		Orig. + 1: §4.39(a)			
PR	Petitions for Rate Approval for Gas Transmission Service	§284.123		Orig. + 5: §284.123(b) and §284.125(d)		\$9,480 \$381.403	
QF	Notices of Self-Certification, and pre-authorized Commission Recertification, or Change of Ownership of Small Power Production or Cogeneration Facility	§292.207(a)	eFiling	No paper copies if E-Filed: §385.2003; Otherwise, Orig. + 14: §385.2004			
QF	Application for Certification or Recertification of Qualifying Small Power Production Facility	§292.207(b)		Orig. + 14: §385.2004	Form of Notice Diskette: §292.207(b)(4)	\$16,370 \$381.505	
QF	Application for Certification or Recertification of Qualifying Cogeneration Facilities	§292.207(b)		Orig. + 14: §385.2004	Form of Notice Diskette: §292.207(b)(4)	\$18,540 \$381.505	
RO	Review of DOE Remedial Orders	Part 385, Subpart I		Orig. + 7		See below & §381.303	
		If amount in controversy is \$30,000 or more					\$27,800
		If amount in controversy is between \$10,000 to \$29,999					\$600
		If amount in controversy is between \$0 to \$9,999					\$100

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RA	Reviews of DOE Adjustments Request Denials	Part 385, Subpart J		Orig. + 7		See below & §381.304	
		If amount in controversy is \$30,000 or more					\$14,580
		If amount in controversy is between \$10,000 to \$29,999					\$600
		If amount in controversy is between \$0 to \$9,999					\$100
RP	Major Change in Natural Gas Rates	Part 154 SubPart D		Orig. + 12: §154.4(a)	Form of Notice Diskette: §154.209; Tariff Sheets on Diskette: §154.4(a)		
RP, GT	Natural Gas Pipeline Tariff Filings	Part 154, Subparts A, B, C, E, F and G		Orig. + 5: §154.4(a)	Form of Notice Diskette: §154.209; Tariff Sheets on Diskette: §154.4(a)		
	Natural Gas Pipeline Compliance Filings						
	Natural Gas Pipeline Refund Reports						
RP	Motions under NGA Section 4(e)	§154.206		Orig. + 5: §154.4(a)			
SC	Petitions for Recovery of Stranded Costs (Electric)	§35.26 & §385.207		Orig. + 14: §385.2004	Form of Notice Diskette: §385.8(a)		
TX	Application for Transmission Service (Electric)	§36.1		Orig. + 14: §385.2004	Form of Notice Diskette: §36.1(b)		
Various	Request for Waiver of Filing Fee	§381.106		Orig. + 2: §381.106 (Orig. + 14 preferred)			

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<b>NON-DOCKETED REPORTS</b>						
	Electric Quarterly Reports (ER02-2001)		EQR System	No paper copies if filed via EQR system		
	Peak Day Capacity Reports	§284.12	eFiling	No paper copies if e-filed §385.2003; Otherwise, Orig. + 1		
	List of 20 Largest Customers of Electric Utility	§46.3		Orig. + 2: §46.3(a)		
	Index of Customers (Gas)	§154.111		Must be filed on Diskette or CD; no paper copies		

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<b>FERC FORMS</b>						
Form 1	Annual Report for Major Public Utilities, Licensees, and Others	§141.1	eForms System	Software Download Required; no paper copies if filed via eForms system: Order No. 626 (May 16,2002)		
Form 1-F	Annual Report for Non-Major Public Utilities and Licensees	§141.2		Orig. + 1: Order No. 626 (May 16, 2002)		
Form 2	Annual Report for Gas Pipeline Companies (Major)	§260.1	eForms System	Software Download Required; no paper copies if filed via eForms system		
Form 2-A	Annual Report for Gas Pipeline Companies (Non-Major)	§260.2	eForms System	Software Download Required; no paper copies if filed via eForms system		
Form 6	Annual Report for Oil Pipelines	§357.2	eForms System	Software Download Required; no paper copies if filed via eForms system		
Form 11	Monthly Gas Reports	§260.3		Orig. + 2; Refer to Form 11 Instructions	Yes: §385..2011	
Form 80	Hydroelectric Recreation Development Reports	§8.11 §141.14	eFiling	No paper copies if E-Filed §385.2003; Otherwise, Orig. + 2: §8.11(a)		
Form 423	Monthly Report of Cost & Quality of Fuels for Electric Plants	§141.61	eForms System	Software Download Required; no paper copies if filed via eForms system		

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Form 561	Annual Reports on Interlocking Positions	§46.4 & §131.31		Orig. + 2: §46.6(d)(1)		
Format 567	System Flow Diagrams & System Capacity -- Gas Pipelines	§260.8		Orig. + 4: §260.8(a)		
Form 580	Interrogatories on Fuel and Energy Purchase Practices	Docket No. IN79-6 Order issued 4/26/79 FERC 61,090		3 Copies; Refer to General Instructions		
Form 715	Annual Transmission Planning and Evaluation Report	§141.300		Orig. + 2 of Parts 1, 3, 4, 5 and 6; one copy in electronic form (CD ROM if Part 3 is included (Transmitting Utility Maps and Diagrams)		