

# Form 714 Getting Started Filing Guide

This guide contains information helpful in preparing, installing, and using the Form 714 electronic filing system. Electronically submitting a FERC Form 714 using this system satisfies the filing requirements under 18CFR141.51 and 385.2011(a)(10). Hardcopy filings are not accepted.

## High Level Overview

The Form 714 software is designed to provide the best performance, maximum availability, and richest set of features to assist users in filing Form 714. The software is a desktop application that operates autonomously from FERC, therefore data entry is not impacted by Internet communication problems or FERC resource availability. Of course, for specific functions such as downloading initial company data, obtaining updates to the software, or submitting a filing to FERC, Internet communication is required.

However, for the majority of the usage time, the system operates independently from FERC and allows users to enter and locally review their data prior to submission with FERC.

## Preparation

There are some important steps that should be taken prior to installing the Form 714 software.

- (1) Since most companies "lock down" a user's ability to install software, request that your company's IT professionals help install the software. If the user's computer and resources are not set-up correctly, it is likely the software will not run properly.
- (2) Your IT professionals may need to turn on FTP communication. The Form 714 software makes use of standard Internet communication protocols to obtain data and updates from FERC as well as to file data with FERC. Both HTTP and FTP protocols are used. HTTP is the protocol used by web browsers so it is usually already set up to allow communication. However, some companies have FTP turned off by default. So, your IT professional may need to turn on FTP (note: all that is needed is to allow FTP communication with the FERC site "eforms1.ferc.gov" - all FTP traffic, for example GET/PUT, is initiated from the user's computer; FERC never 'pushes' anything out over FTP). In addition, the Windows firewall often has FTP turned off, so, both the company's firewall and local computer settings should be checked.
- (3) The application part of the system should not be stored in the same location (on disk) as the database part of the system. The Form 714 software is a standard desktop application which has specific Internet communication features. The software can be thought of as having two main components: (1) an application and (2) a database. It is important that the application is stored in a different location than the database. Generally, the application should be stored on the user's local hard drive, and the database should be stored on a network drive. It is possible to put the database on a local hard drive, however that means the data would probably not be backed-up and the software would only be accessible to one computer at the company. So, if more than one computer is ever expected to be used, or if it is deemed important to preserve the data at the utility, a network drive location for the database is recommended.

Note that the end user must have full access rights to the application and database locations; i.e. read, write, delete, create folder, delete folder, and so on. So, because some companies may restrict access to the computer root directory, please make sure the user has full read/write access right into the Form 714 application folder (**C:\FERC\Form714Submission** by default) and the Form 714 data folder. Some companies have a separate local drive (e.g. D: drive) where users are allowed more access rights.

## Installation

The software is a standard desktop application and as such, during installation, modifications to the Windows registry, etc., that normally require administrative access to the computer will be made. If the Form 714 system user does not have administrative rights to his/her computer, he/she may need assistance from the company's IT professionals.

Begin by opening a web browser. Navigate to the Form 714 home page on the FERC web site. Start at: <http://www.ferc.gov/docs-filing/forms.asp> and choose the Electric tab then locate the "Form No. 714" link.

Click on the categories below to view additional information.

<b>Electric</b>	Gas	Hydropower	Oil	Service Companies
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**Forms**

- [Form No. 1](#): Annual Report of Major Electric Utility
- [Form No. 1-F](#): Annual Report of Non-major Electric Utility
- [Form No. 2](#): Quarterly Financial Report of Electric Utilities, Licensees, and
- [Form No. 561](#): Interlocking Directorates
- [FERC 566](#): Twenty Largest Purchasers
- [FERC 580](#): Interrogatory on Fuel and Energy Purchase Practices
- [Form No. 714](#)**: Annual Electric Control and Planning Area Report
- [Form No. 715](#): Annual Transmission Planning and Evaluation Report
- [FERC 788](#): Report of FERC on the Activities of the Electric Industry

Click on the [Form No. 714](#) link and you will be directed to a web page with the following list of links. Select the *Electronic Submission Software* link.

Form No. 714 - Annual Electric Balancing Authority Area and Planning Area Report		Back to Top
<b>Summary</b>	<b>Information</b>	<b>Downloads &amp; Links</b>
Electric transmitting utilities operating balancing authority areas and planning areas (with annual peak demand over 200MW) are required to electronically file Form 714, reporting among other things, balancing authority area generation, actual and scheduled inter-balancing authority area power transfers, and net energy for load, summer-winter generation peaks and system lambda.	<b>Chapter:</b> <a href="#">18 CFR § 141.51</a>	<ul style="list-style-type: none"><li><a href="#">Form No. 714 Instructions</a> <b>DOC</b></li><li><a href="#">Overview</a></li><li><b><a href="#">Electronic Submission Software</a></b></li><li><a href="#">Viewer Software</a></li><li><a href="#">Data Downloads</a></li><li><a href="#">Sample Form</a> <b>PDF</b></li></ul>
	<b>OMB #:</b> 1902-0140, exp 05/31/2019	
	<b>Filing Date:</b> June 1	

Next, click the *Software* link **EXE** under "Electronic Submission Software" section to open the webpage hosting all the Forms installation files. Then, click to the Form 714 link button on the left menu to open the Form 714 Applications page.

<b>FERC Online Home</b>	<b>Download FERC Forms</b>
<a href="#">Form 1</a>	<a href="#">Security and Privacy Statement</a>
<a href="#">Form 2</a>	<b>Title 18, U.S.C. 1001 makes it a crime for any person knowingly and willingly to make to any Agency or Department of the United States any false, fictitious or fraudulent statements as to any matter within its jurisdiction.</b>
<a href="#">Form 6</a>	<b>FERC Online does not require the submission of personally identifiable Information (PII) (e.g. social security numbers, birthdates, and phone numbers), and FERC will not be responsible for any PII submitted to FERC Online, including any accidental or inadvertent submissions of PII.</b>
<a href="#">Form 60</a>	
<b><a href="#">Form 714</a></b>	
	- Please select one of the form links from the left menu to download -

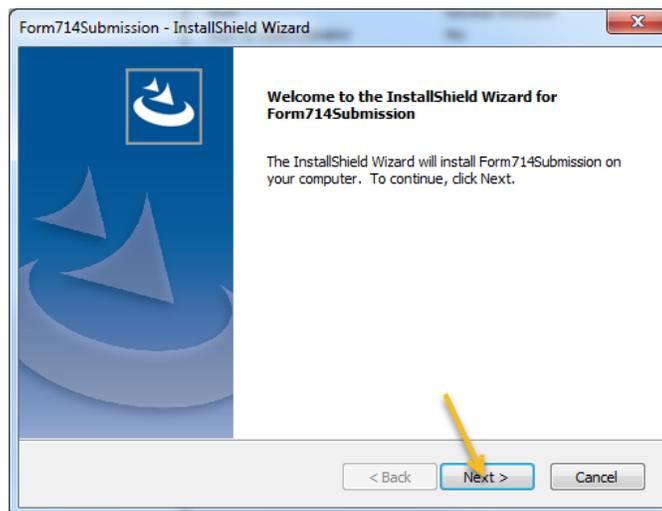
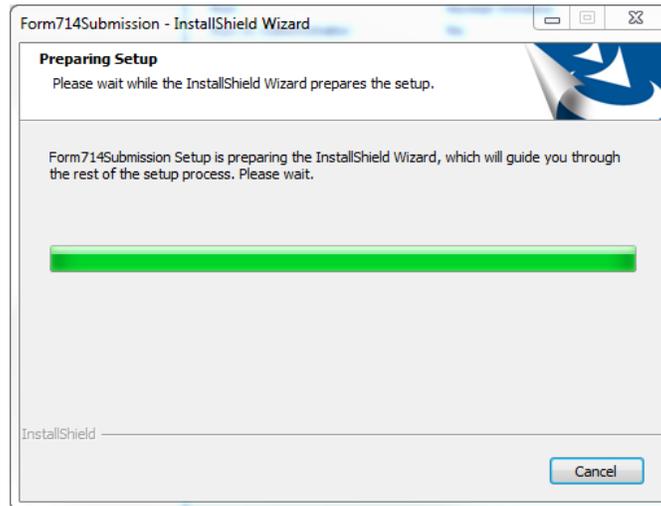
The following screen will appear. Click "Form714SubmissionInstall.exe" link button to start downloading the file.

<b>Download FERC Form 714</b>	
<b>Submission Software:</b>	<a href="#">Form714SubmissionInstall.exe</a> <a href="#">Instruction</a>
SHA-256 Checksum:	79 3e a7 ee e8 c8 e8 88 87 79 68 4e 93 c4 98 42 2a ee 96 a3 c4 f8 49 7e 96 c1 ee 5b 27 ad c8 62
<b>Viewer:</b>	<a href="#">Form714ViewerInstall.exe</a> <a href="#">Instruction</a>
SHA-256 Checksum:	c7 37 ca 22 9b 98 2a 24 b7 36 33 ad c4 9a 2c 9f 6b 96 9b 4e 24 4b 8b 62 67 a3 f6 87 5d ad a6 52
<a href="#">Go back</a>	

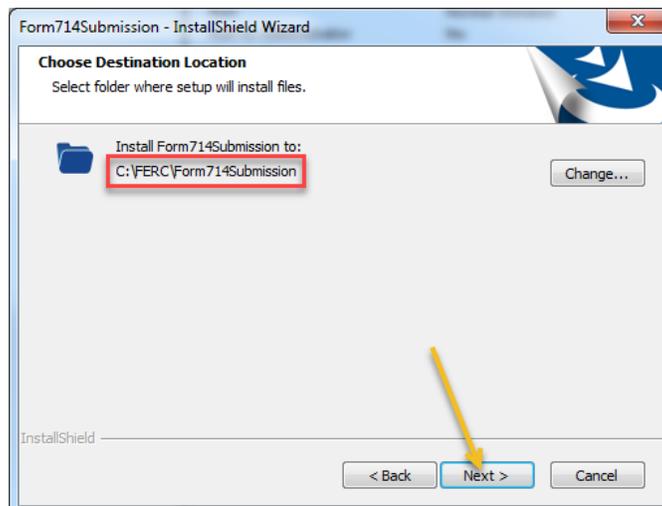
There are two ways to install the software, either: (1) open and run the application directly from the FERC site, or (2) download the file first, then run the application locally. Either way will work.

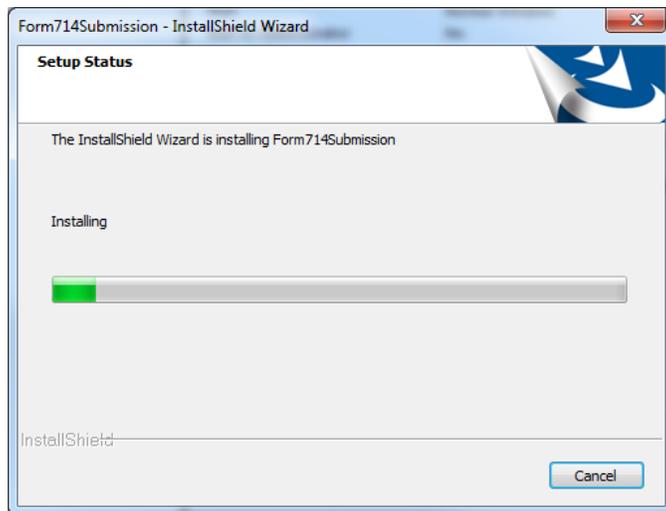
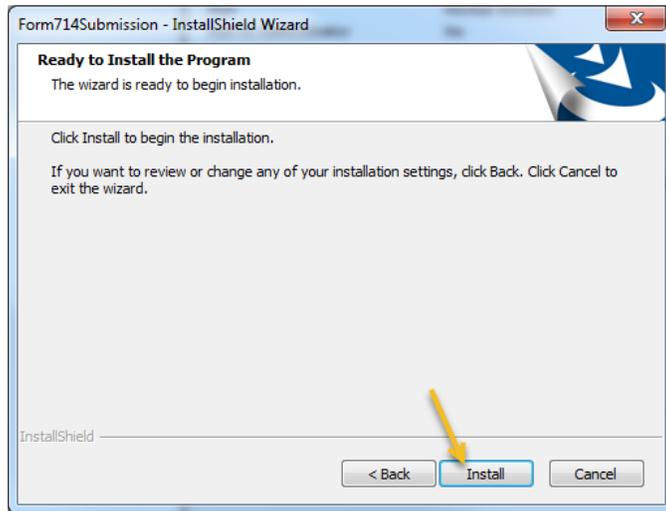
On executing the installation file, the system will prompt you for your computer local administrator credential. If you don't have one, please get help from your IT Admin.

Step-by-step installation screenshots:

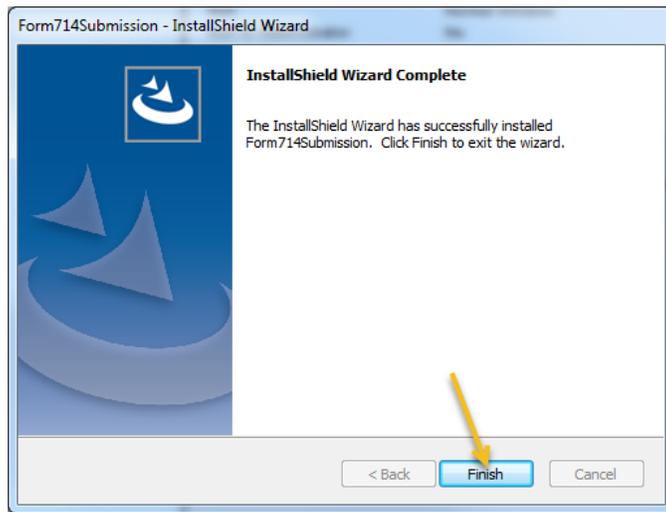


The setup program will want to place the application in the **FERC\Form714Submission** folder on your **C:** drive. If the folder does not exist, it will create it for you. **Please do not change the folder name or location** since it is easier for us to help you if you have a default installation. Just click "**Next**".





Eventually, the installation will finish and you will get the following notification:



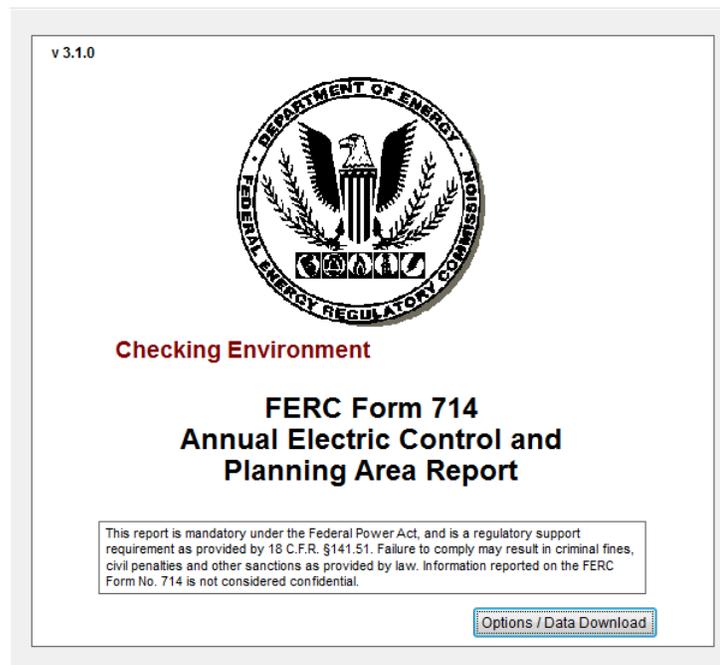
At this point, the Form 714 Viewer Application has been installed on the user's computer. Note: if there are expected to be multiple users of the Form 714 Viewer software (e.g. several people entered Form 714 data), the Form 714 Viewer software needs to be installed on each user's computer.

## First Time Run (setting up company data)

The first time the Form 714 software is run, a local database for your company will be set up. You may need to obtain the initial download of your Form 714 database information. **However, if you have a Form 714 Database from previous years saved on your network drive, you should use that database.**

Note that when you run the application, a connection with FERC will be established. If the connection was unsuccessful, it may be because your company uses a special "proxy" set up to allow user Internet access. In this case, certain settings may need to be adjusted by IT professionals.

When you start the software (click on the Windows Start → All Programs → locate Program Group "FERC", then click on "*FERC Form 714 Submission*"), you will get the following "Splash Screen". Notice that the **Version Number** of the software is in the upper left-hand corner of the screen. This number changes every time updates and changes are downloaded to your workstation



### **Downloading Your Initial Form 714 Database**

If you are running the software for the first time, the data download screen will appear (see below). This function allows you to download a database of the company or companies for which you file Form 714 information. If you filed Form 714 in the previous year using this software, you should have a copy of your Form 714 Database on your network. This version should be used instead of attempting to download a new database.

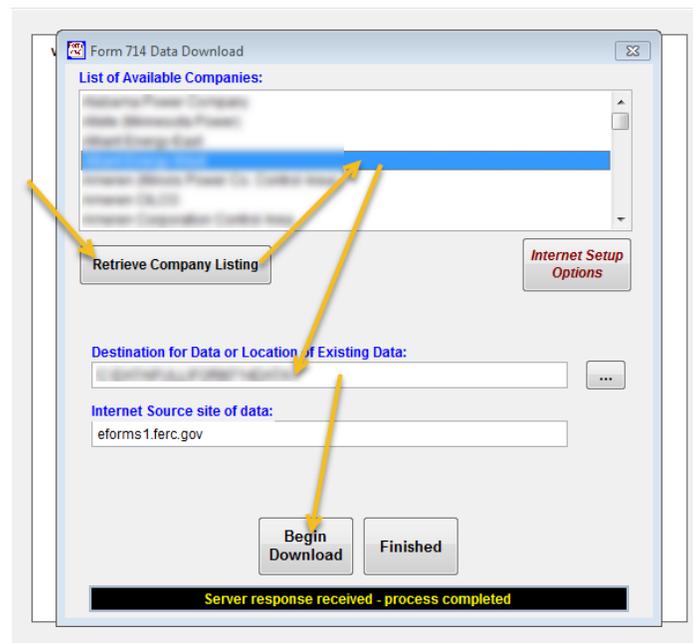
Before you proceed, you should click on the "*Internet Setup Options*" button and set any of the options that apply to your Internet connection. These options, if any, can be obtained from your Network/IT Support Personnel. These options may also be set within the data entry software by clicking on the "Options" pull-down menu at the top of the screen, and clicking on "*FERC Communications Setup*".

The next step is to determine a location for your database. The box titled "*Destination for Data or Location of Existing Data*" shows a proposed default location for your Form 714 Database. It is highly recommended that you choose a directory on your Network for the Form 714 Database. First of all, storing the database on your network permits multiple users of the Software to work at the same time. (If you desire having multiple users inputting data, the database must be on a shared network drive accessible by all users). Secondly, you will be protected from losing your work should your workstation have a malfunction. Most network data is backed up every evening. If you chose not to use a network drive for your database, and ensure that it is backed up frequently, you are at risk of losing all your work should something happen to

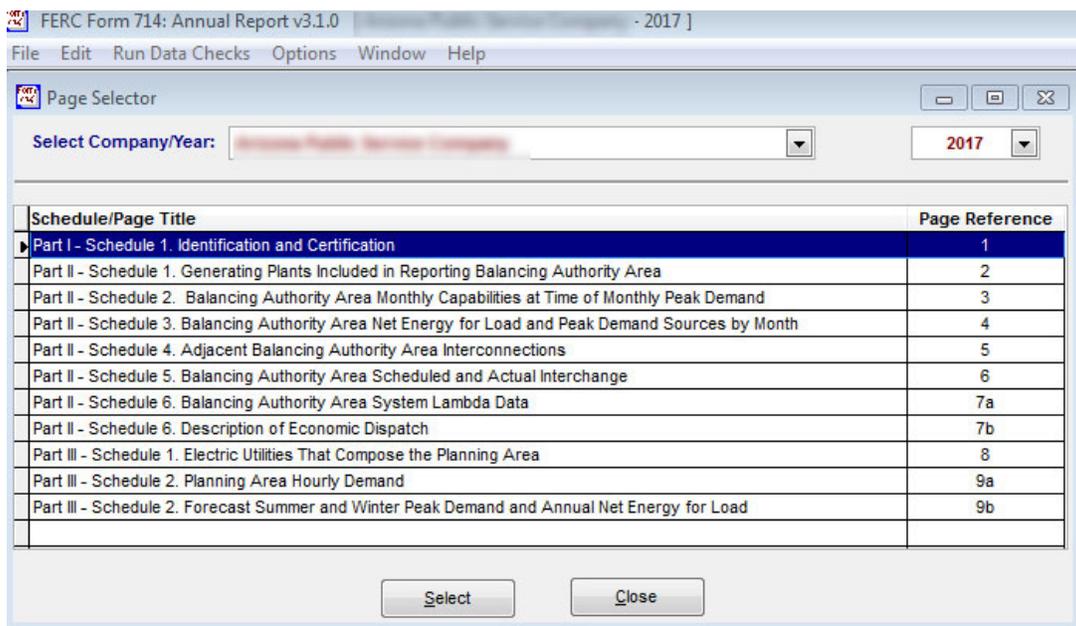
the database because of hardware malfunction. Please consider the ramifications of this happening, and take appropriate action to protect your data.

Once the Database location has been chosen, you click on the "Retrieve Company Listing" button. The software will obtain a list of companies available for download from the FERC Forms Server. If you cannot get the list, refer to Troubleshooting. This is to prevent users from accidentally downloading a new database copy instead of using the database from previous filing periods.

Select your company name in the "List of Available Companies" box by clicking on it once. You don't have to enter any PIN for data downloading, however make sure the folder under "Destination for Data or Location of Existing Data" is already created at this time and you have full read/write access right into it. Then, click on the "Begin Download" button. The software will notify you when the download is complete. If you file for more than one company, you may now select a different company for download, and click the "Begin Download Button" again. Continue in this manner until all companies you file for are downloaded. Once database download is complete, you may click on "Finished".



The system will run through a few checks, then display the main application menu shown below.



**Note: The first time you download your database the above application menu window will be blank. Click on the “drop-down arrow” for the “Year” box and select a year. As soon as this is done the application menu will appear as shown above.**

At this point, the software is installed and the database is set up. Data entry can now begin (a brief example is shown further down in this document).

The next time the software is started, the Form 714 Data Download screen will not appear because the local database has been downloaded and set up. Once a company's database has been downloaded, it is not necessary to download it again (under normal operation), because it was set up on the company's resources (e.g. network drive).

## Multiple User Set-up

If only one computer will be used in entering Form 714 data, skip this section, otherwise, follow these additional instructions.

Install the software on the first user's computer all the way through the data download process, noting the folder where the database was stored (*Destination for Data or Location of Existing Data*).

Next, install the software on each additional user's computer. Do not click on the Begin Download button. Do select (or enter) the correct folder in the *Destination for Data or Location of Existing Data* item, then click on the *Finished* button.

Of course, the database location should be somewhere to which all users have full access rights (which would generally imply a network folder/location).

Note that if special communication settings were entered in the Internet Setup Options to get the initial user up and running, those settings will need to be duplicated in each additional user's Internet Setup Options.

## Brief Software Overview

The data entry screens look much like the hard copy Form 714 used by filers for many years. To bring up a schedule for data entry, click on the “*Schedule/Page Title*” from the list shown above, then click the Select button.

Part II - Schedule 3. Balancing Authority Area Net Energy for Load and Peak Demand Sources by Month (4) \*

Line # (a)	Month (b)	Balancing Authority Area Net Generation (MWh) (c)	Net Actual Interchange (MWh) (d)	Net Energy for Load (MWh) (c+d) (e)	Balancing Authority Area Load Sources at Time of Peak Demand, Based on Net Energy for Load (NEL) (f)	Balancing Authority Area Load Sources at Time of Peak Demand, Based on Net Energy for Load (NEL) (g)	Balancing Authority Area Load Sources at Time of Peak Demand, Based on Net Energy for Load (NEL) (h)	Balancing Authority A Load Sources at Time of Peak Demand, Based on Net Energy for Load (i)
1	January	0	0	0	0	0	0	0
2	February	1	2	3	0	0	0	0
3	March	0	0	0	0	0	0	0
4	April	0	0	0	0	0	0	0
5	May	0	0	0	0	0	0	0
6	June	0	0	0	0	0	0	0
7	July	0	0	0	0	0	0	0
8	August	0	0	0	0	0	0	0
9	September	0	0	0	0	0	0	0
10	October	0	0	0	0	0	0	0
11	November	0	0	0	0	0	0	0
12	December	0	0	0	0	0	0	0
13	Total	1	2	3				

Allow for the entry of negative values.

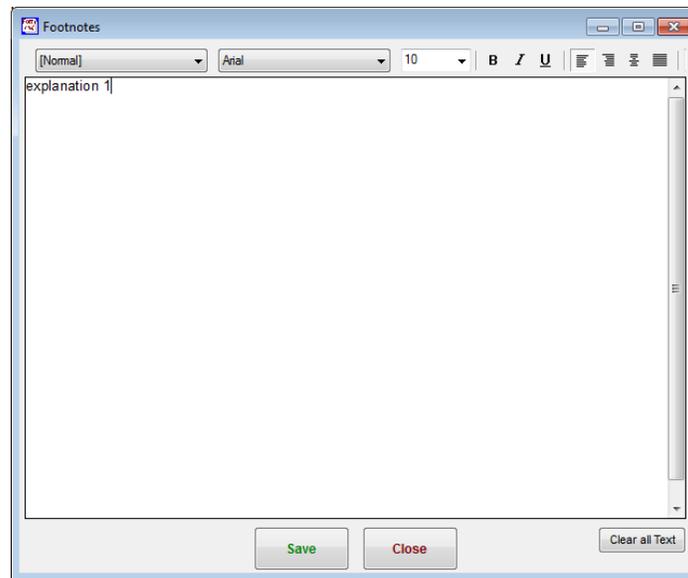
Copy Previous Data Save Close

Data entry is set up in a spreadsheet fashion for most schedules as shown in the *Part II - Schedule 3* example above. To enter data, click the desired 'cell' (box) and start typing. The tab and arrow keys can be

used for navigation. Note that some schedules are very 'wide' and that the spreadsheet may need to be 'scrolled' to see data from the other side.

Note the font and shading seen above. The bold blue font indicates values that are calculated automatically by the software; these cannot be changed by the user.

The yellow shaded cells denote that the user has added a footnote. A footnote can be any additional information the user wishes to convey about the data being entered.



To add (or edit) a footnote, select the desired cell and right-click. A pop-up screen like the one below will appear. This screen provides a word-processor-like interface where users can enter whatever extenuating discussion necessary to explain their data entry item.

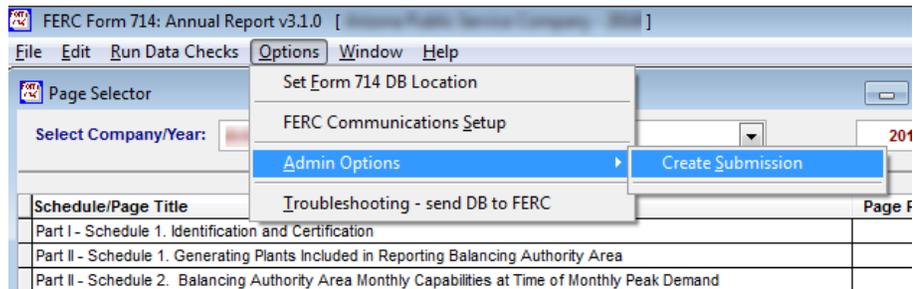
	balancing Authority Area Peak Demand, Based on Net Energy for Load (NEL)	balancing Authority Area Peak Demand, Based on Net Energy for Load (NEL)	Pe Net
load	Output of Generating Plants (MW) (f)	Unit or Firm Purchases (MW) (g)	
0	0	0	0
3			0
0			0
0			0
0			0
0			0
0			0
0			0
0			0
0			0
0			0
0			0
0			0
0			0
0			0

**Important note:** when using the footnote feature, it is very important to remember to not only click the Save button on the footnote screen, but to also again click the Save button on the actual Schedule page (e.g. in the above example, the Save button is at the bottom of the *Part II - Schedule 3* screen).

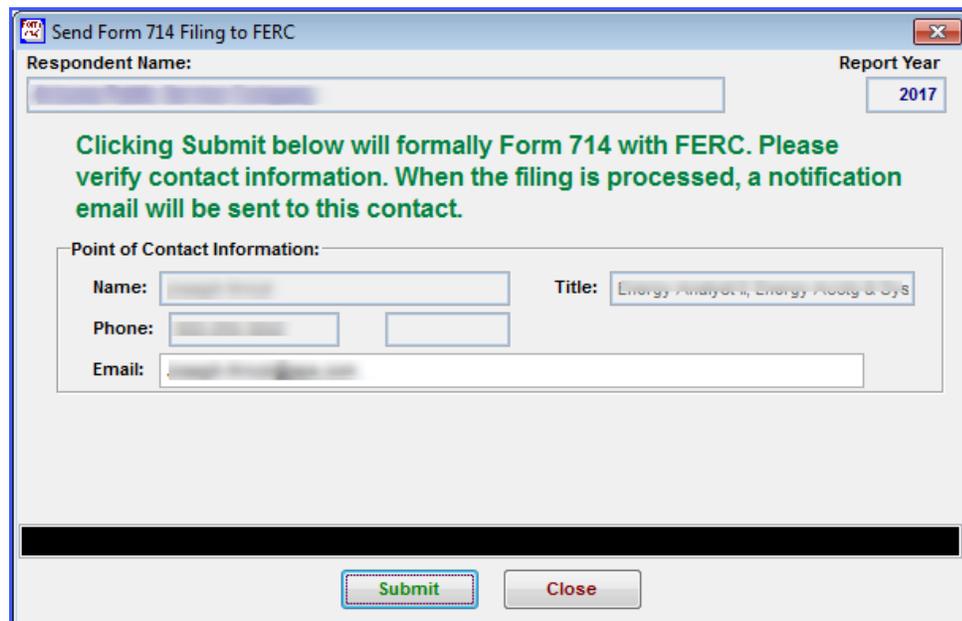
Other buttons on screens may appear where applicable. To get more information on button specific functions, move the mouse over them and pop-up labels will appear with more information.

## Submitting a Filing to FERC

To submit a filing to FERC, start at the main software menu.



Go to *Options* then *Admin Options* and finally, *Create Submission*; see above. A screen will appear in which the user will enter the company's PIN.

The image shows a dialog box titled 'Send Form 714 Filing to FERC'. At the top, there is a 'Respondent Name' text box and a 'Report Year' dropdown menu set to '2017'. A green warning message reads: 'Clicking Submit below will formally Form 714 with FERC. Please verify contact information. When the filing is processed, a notification email will be sent to this contact.' Below this is a section for 'Point of Contact Information' with fields for 'Name', 'Title' (pre-filled with 'Energy Analyst, Energy Acctg & Sys'), 'Phone', and 'Email'. At the bottom, there are 'Submit' and 'Close' buttons.

The Submission Screen will then appear. If the information shown is correct, click the Submit button. If the information is incorrect, click the Close button, bring up Part I - Schedule 1, and correct the erroneous information.

Note that if the Page Selector window (the one with the list of schedules) is not visible, it can be brought up by clicking the File | Page Selector or Window | Page Selector menu options from the main menu.

## Final Notes

Most problems are encountered in the setup of the software. These are the key items to remember in that regard:

- The user must have full read/write access rights to the application and database folders.
- HTTP and FTP are used to communicate with FERC. FTP is often shut off by default and will need to be turned on/enabled by company IT professionals.
- If special proxy configurations are used by a company, each user's Form 714 software will need to be configured accordingly (the Internet Setup Options window)
- If there are multiple users, it is imperative they are all 'pointed to' the same database folder (only one company database should reside at the company site)

## **If You Have Problems, Please Read Carefully**

You may experience problems downloading your initial database or obtaining the automatic updates mentioned at the beginning of this document. Either of these problems can usually be traced to your Firewall used to protect your network from outside interference. The software will work OK at most companies. However, if you have a problem with these two issues, your only recourse is to plead with your IT folks to loosen things up a little or make some accommodation.

If you have errors in the software where it quits, gives you some kind of system error, or otherwise acts in an abnormal manner, you can report these problems to FERC and we will try to resolve them. (See below for reporting procedures) If there are bugs in the software, we will fix them, and distribute updates to your software automatically. The software has version numbers which change as we apply corrections or improvements.

Please indicate the following information with your troubleshooting request:

- Form: Form 714
- Respondent Name
- Reporting Period
- Page number / Title of Schedule
- Line No.
- Column
- Details of the issue with screenshots
- Attach the F714.log file

Be sure to attach the **F714.log** to your email if you are reporting an error. Please put the words Form 714 somewhere in the Subject of your email. This permits the email software at FERC to categorize your email, resulting in a faster response. A sample subject line might read: "Subject: *Form 714 Problem with Part I - Schedule 1*".

Send emails with software problems, Internet problems, or suggestions for improvements to the application to FERC Online Support. If you feel you have a serious problem, call FERC Online Support toll-free at 866-208-3676.