

[Note: This Appendix will not appear in the Code of Federal Regulations.]

TARIFF, RATE SCHEDULE, AND SERVICE AGREEMENT PAGINATION GUIDELINES

Due to the complexity of tariff filing situations, the Commission Staff provides the following guidelines. If you have questions or need assistance, please call Kathleen E. Nieman at (202) 208-1070, or such other persons as may be identified from time to time.

(1) **Original Sheets.** Paginate as "Original Sheet No. ____" (a) all pages in initial filings, (b) added sheets, and (c) all sheets in a revised tariff volume. Guideline (11) gives an exception for reserved sheets.

(2) **Substitute Sheets.** Paginate a sheet as "Substitute" if it is filed to replace a sheet filed in the same proceeding (*e.g.*, as a result of a hearing order, or of a correction to a tariff sheet filed prior to the issuance of an order, or of a compliance filing) with the same effective date. If a substitute sheet needs to be replaced, paginate the new sheet as "Second Substitute", and so on. (See Example No. 1.)

(3) **Revised Sheets.** Paginate a sheet as "Revised" if it is (a) replacing a sheet filed in a different proceeding or (b) replacing a sheet filed in the same proceeding but given a new proposed effective date. Each subsequent "Revised" pagination should be numbered sequentially, *i.e.*, First Revised, Second Revised, Third Revised, etc. (See Examples Nos. 1 and 2.)

(4) **Superseded Sheets.** Each designation must refer to the designation of the sheet being superseded, if any. The superseded sheet is the sheet being replaced by a revised sheet. (There is an exception to this guideline for retroactive filings - see Guideline (9).) Never designate a rejected or suspended sheet as the superseded sheet. However, if a sheet designated as superseded is subsequently rejected, it is not necessary to re-file solely to correct the superseded sheet designation. (See Example No. 1.)

(5) **Rejected Sheets.** Do not reuse the pagination of a rejected sheet. Paginate a sheet "Substitute" if it is filed to replace a rejected sheet in the same proceeding, but do not refer to a rejected sheet as the superseded sheet in the designation. (See Guidelines (3) and (4).)

(6) **Alternate Sheets.** When filing two versions of a proposed tariff sheet, paginate the sheet " __ Revised Sheet No. __" and "Alternate __ Revised Sheet No. __". Paginate a replacement alternate sheet "Sub Alternate __".

(7) **Inserted Sheets.** Paginate sheets inserted between two consecutively numbered sheets using an uppercase letter following the first sheet number (*e.g.*, sheets inserted between sheets 8 and 9 would be 8A, 8B, etc.). For sheets inserted between two consecutively lettered sheets, add a "." followed by a two digit number (*e.g.*, sheets inserted between sheets 8A and 8B would be 8A.01 through 8A.99). For further

insertions, add a lowercase letter (*e.g.*, between sheets 8A.01 and 8A.02 would be 8A.01a, 8A.01b, etc.).

(8) **"Squeezed" Sheets.** When a sheet needs to be made effective between two sequentially paginated sheets already on file (all in different proceedings), paginate the new sheet by adding a "1st Rev" designation to the older sheet's pagination. Commonly, this situation occurs when a sheet is suspended for five months and subsequent sheets need to be made effective prior to when the suspended sheet becomes effective. (See Example No. 3.)

(9) **"Retroactive" Sheets.** When filing a "retroactive" sheet change back to a certain date, all sheets in effect from that date forward need to be changed. The first sheet should be paginated either as "Substitute" (see Guideline (3) above) or "1st Rev" (see Guideline (8) above) depending on whether the retroactive filing is in the same or different docket as the sheet being replaced. For simplicity, the rest of the sheets should be paginated as a "Substitute" of each effective sheet already on file. Follow Guideline (4) in designating the superseded sheet for the first new sheet. However, the rest of the sheets should supersede each other in order, even though they are all filed in the same docket. In this way the superseded designation will reflect the latest sheet in effect on each given date. (See Examples Nos. 4 and 5.)

(10) **Canceled Sheets.** When canceling individual sheets, but retaining the tariff or rate schedule, designate a blank sheet as a revised sheet superseding the prior sheets.

(11) **Canceled Tariff or Rate Schedule.** When canceling an entire tariff or rate schedule, file one sheet paginated as the first sheet of the tariff volume or Rate Schedule and refer to the tariff volume or Rate Schedule as canceled. (See Example No. 7.)

(12) **Sheets Reserved For Future Use.** When reserving a number of sheets for future use, file one sheet paginated "Sheet Nos. A - Z", where "A" and "Z" refer to the first and last reserved sheet numbers. In the body of the sheet state "Reserved for Future Use." (See Example No. 8.)

(13) **Rate Schedule and Service Agreement Designations.** Rate schedule and service agreement designation should follow the above principles and terminology. For example, if a change is made to Service Agreement No. 50, the designation should be 1st Revised Service Agreement No. 50.

(14) **Abbreviations.** Abbreviate from left to right using the Abbreviation Conventions List at the end of this document. Abbreviate only as needed. (See Example No. 6.)

The following examples reflect the types of changes and corresponding designations that may be made over the life of a given tariff or rate schedule (all docket numbers and dates are hypothetical, and are not intended to refer to actual proceedings):

Example No. 1
Revised and Substitute Sheets

"Original Sheet No. 4" is filed in Docket No. ER99-44-000 to be effective January 1, 1999. Subsequently, a sheet filed in Docket No. ER99-123-000 is to be effective February 1, 1999. Paginate the latter sheet as "First Revised Sheet No. 4 superseding Original Sheet No. 4". If a mistake is discovered and a corrected sheet needs to be filed in Docket No. ER99-123-001,¹ paginate that sheet "Substitute First Revised Sheet No. 4 superseding Original Sheet No. 4" . Note the superseded sheet is from the prior proceeding.

| <u>Docket</u> | <u>Filed</u> | <u>Effective</u> | <u>Pagination</u> | <u>Superseded Sheet</u> |
|---------------|--------------|------------------|-------------------|-------------------------|
| ER99-44-000 | 11/30/98 | 1/1/99 | Original | |
| ER99-123-000 | 12/31/98 | 2/1/99 | First Revised | Original |
| ER99-123-001 | 2/15/99 | 2/1/99 | Sub First Revised | Original |

If the utility proposes two separate changes to be effective the same date, and the second filing reflects the first filing's proposed changes, then it is appropriate to show the first filing's pagination as superseded.

| <u>Docket</u> | <u>Filed</u> | <u>Effective</u> | <u>Pagination</u> | <u>Superseded Sheet</u> |
|---------------|--------------|------------------|-------------------|-------------------------|
| ER99-44-000 | 11/30/98 | 1/1/99 | Original | |
| ER99-123-000 | 12/31/98 | 2/1/99 | First Revised | Original |
| ER99-124-000 | 2/15/99 | 2/1/99 | Second Revised | First Revised |

Example No. 2
Sheets Effective on the Same Date

"Second Revised Sheet No. 4" is filed in Docket No. ER99-200-000 to be effective April 1, 1999. Subsequently, a sheet is filed in Docket No. ER99-504-000 to be effective on the same date. Paginate that sheet with the next revision number, "Third Revised Sheet No. 4" even though it is to be effective on the same date.

| <u>Docket</u> | <u>Filed</u> | <u>Effective</u> | <u>Pagination</u> | <u>Superseded Sheet</u> |
|---------------|--------------|------------------|-------------------|-------------------------|
| ER99-200-000 | 2/28/99 | 4/1/99 | Second Revised | Sub First Rev |

¹The Commission is issuing a notice contemporaneous with this Final Rule informing the public of its intent to change its assignment of docket numbers to electric filings to a method similar to that used for the gas and oil programs, effective June 1, 2000.

ER99-504-000 3/31/99 4/1/99 Third Revised Second Rev

Example No. 3
Squeezed Sheets

"Fourth Revised Sheet No. 4" is filed July 31, 1999, in Docket No. ER99-601-000 to be effective September 1, 1999. An order suspends this sheet until February 1, 2000. Subsequently, two filings are made to be effective prior to February 1, 2000. Paginate these sheets as "1st Rev Third Revised Sheet No. 4" and "2nd Rev Third Revised Sheet No. 4". The utility will be required, if necessary, to file revised tariff sheets to update the suspended tariff sheets to include any changes to the tariff sheets that have been accepted by the Commission between the date of the suspension and the effective date of the suspended rates. When filing to update the revised tariff sheets, paginate the revised tariff sheet as "Sub Fourth Revised Sheet No. 4". Note: using the alpha-numeric "1st, 2nd, etc." for the additional revision number assists in keeping the pagination clear.

| <u>Docket</u> | <u>Filed</u> | <u>Effective</u> | <u>Pagination</u> | <u>Superseded Sheet</u> |
|---------------|--------------|------------------|--------------------|-------------------------|
| ER99-601-000 | 7/31/99 | 2/1/00 | Fourth Revised | Third Revised |
| ER99-761-000 | 8/31/99 | 10/1/99 | 1st Rev Third Rev | Third Revised |
| ER00-822-000 | 10/31/99 | 11/1/99 | 2nd Rev Third Rev | 1st Rev Third Rev |
| ER99-601-001 | 1/31/00 | 2/1/00 | Sub Fourth Revised | 2nd Rev Third Rev |

Example No. 4
Retroactive Sheets

The sheet paginated in Example No. 1, "Sub First Revised Sheet No. 4" filed in Docket No. ER99-123-001 is in effect February 1, 1999, subject to the resolution of issues. A year later, settlement is reached resulting in a restatement of base rates back to that date. The revised sheets filed under Docket No. ER99-123-002 (using prior examples):

| <u>Docket</u> | <u>Filed</u> | <u>Effective</u> | <u>Pagination</u> | <u>Superseded Sheet</u> |
|---------------|--------------|------------------|-----------------------|-------------------------|
| ER99-123-002 | 2/15/00 | 2/1/99 | 2nd Sub First Revised | Original |
| | | 4/1/99 | Sub Second Revised | 2nd Sub First Rev |
| | | 4/1/99 | Sub Third Revised | Sub Second Rev |
| | | 10/1/99 | Sub 1st Rev Third Rev | Sub Third Rev |
| | | 11/1/99 | Sub 2nd Rev Third Rev | Sub 1st Rev Third Rev |
| | | 2/1/00 | 2nd Sub Fourth Rev | Sub 2nd Rev Third Rev |

Example No. 5
Retroactive Sheets

Continuing from Example 4, a subsequent tracker filing retroactive to November 1, 1999:

| <u>Docket</u> | <u>Filed</u> | <u>Effective</u> | <u>Pagination</u> | <u>Superseded Sheet</u> |
|---------------|--------------|------------------|-------------------|-------------------------|
|---------------|--------------|------------------|-------------------|-------------------------|

SAMPLE PAGE

Day and Light Power Company
FERC Electric Tariff, Original Volume No. 1

Original Sheet No. 4

Issued by: Harriet Officer
Rates Manager

Effective: July 1, 2000

Issued on: June 10, 2000

Filed to comply with order of the Federal Energy Regulatory Commission, Docket No.
ER99-5374-000, issued October 27, 1999, 90 FERC ¶ 61,010 (1999).