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 XP firewall often has FTP turned off, so, both the company's firewall and local computer settings should be checked (if running Windows XP or later).

(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 their program file folders, it may be best not to install the application in the usual c:\program files\..... location. 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/eforms.asp and choose the Electric tab then locate the "Form No. 714" link.

Click on the Form No. 714 link and you will be directed to a web page with the following list of links :

>> Overview
>> Form No. 714
>> Instructions
>> Electronic Submission Software
>> 2006 letter to respondents

Select the Electronic Submission Software link.
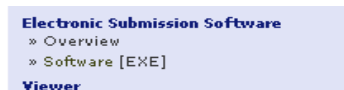
Next, click on the Software [EXE] link on the right side of the page to begin the installation process.

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
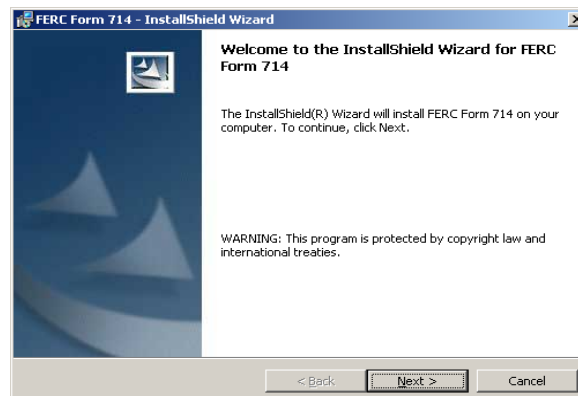

The screen above is one of many seen during installation.
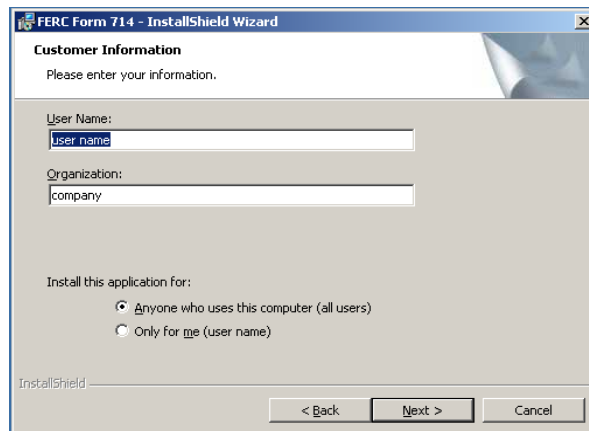
Note that if IT professionals are needed to install the software, the "Anyone who uses this computer (all users)" option shown above should be selected.
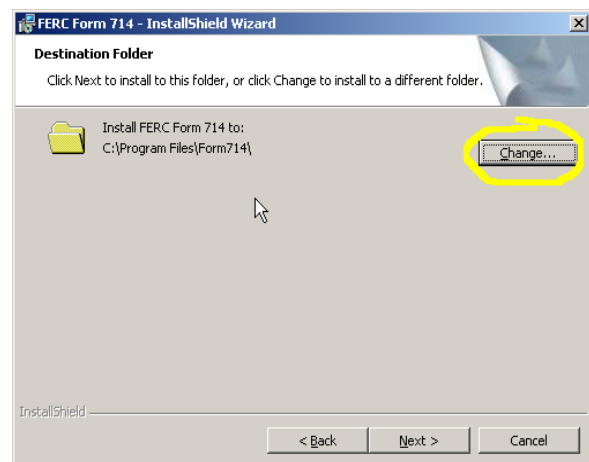

The default folder location for the application is set as shown above. Click the Change button should it be necessary to direct the application location differently. The end user of the software will need to have full access rights to the application location (folder) as well as to the database location (folder).
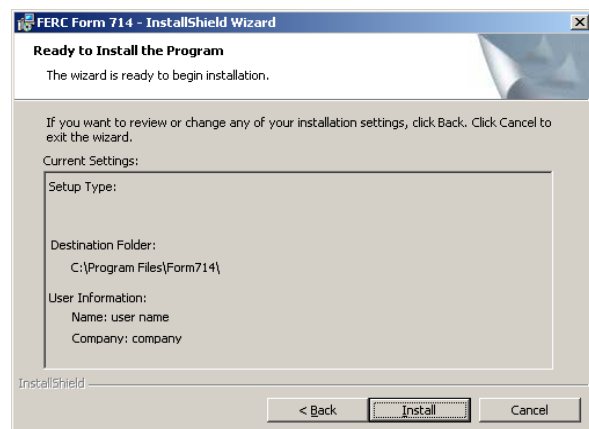
Review the settings and if everything is acceptable, select the Install button.
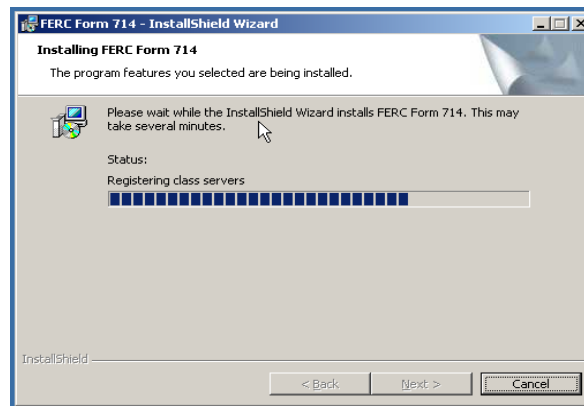
A screen describing the installation status will appear.
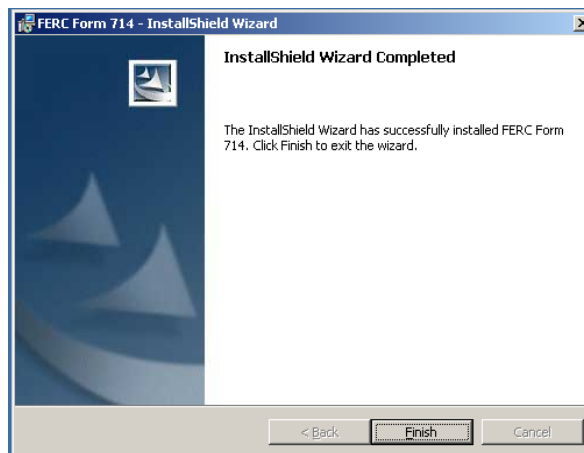
Lastly, the InstallShield Wizard Completed screen appears. Note that if the above message did not appear, or if an error message appeared, the software will probably not function properly.

At this point, the Form 714 software has been installed on the user's computer. However, if Form 714 data will be entered from more than one computer, then the software needs to be installed on each one.

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.

Note that when you run the application for the first time, 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.
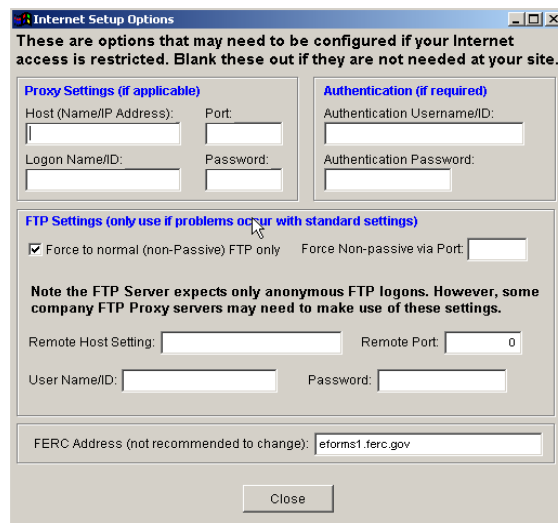

Next, invoke the Field software using the Windows Start menu as with any other desktop application.
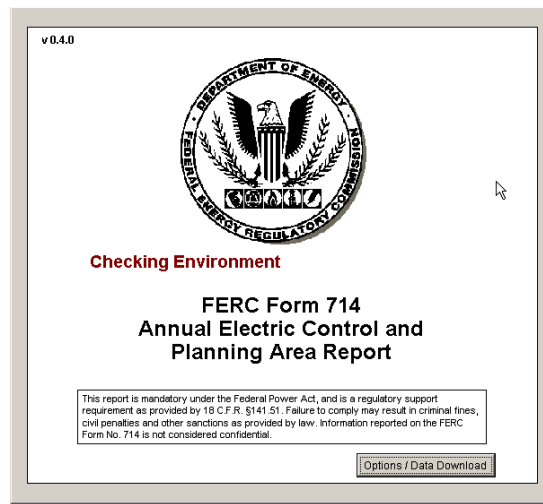
A startup screen will appear, similar to the one above.
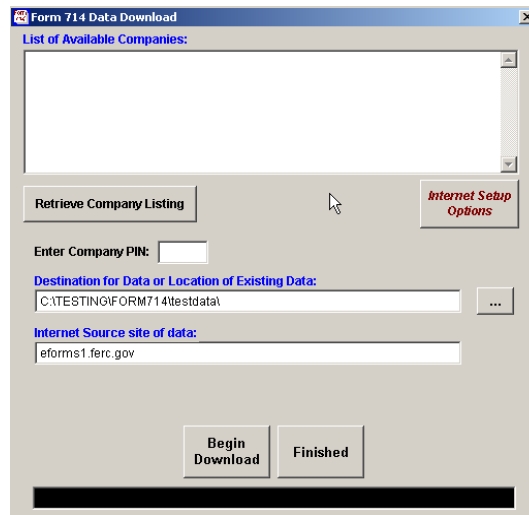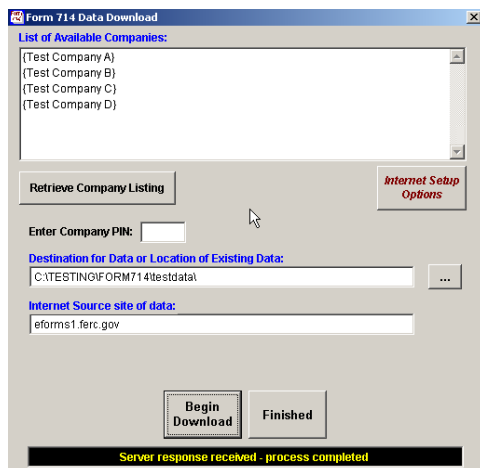

Next, the Data Download window appears (the system automatically detects that the database has not yet been set up).

To view the communications settings, click the Internet Setup Options button. The screen shown above will appear. At this point, any special communications requirements may be set up. The need to

change settings here is unusual. Most modern firewalls/proxys operate transparently thus not requiring any changes in these settings. However, if, for example, the user is notified that a connection with FERC could not be made, these settings may need adjustment. If you displayed this window, close it now by clicking the Close button.


Next, click the Retrieve Company Listing button on the Data Download window and a company listing will appear.

Note the Destination for Data or Location of Existing Data box in the middle of the window. The location for the user's database is set here. As discussed previously, FERC recommends saving the database to a folder on a network drive. The default location in the window above is a folder on a local hard drive. To change this location, click the button with the three dots, browse available folders, and click on the folder in the location where the database should best reside. Recall that the user must have full access rights to the folder where the database is stored.

After the database location has been set, select your company from the List of Available Companies by clicking on its name in the list. Next, enter the PIN for your company and click the Begin Download button. A PIN is assigned by FERC, to each company required to file a Form 714. It is emailed by FERC staff, to the Form 714 point of contact on record. The PIN is the company's electronic 'signature', so it should be kept confidential. If your company's name is not listed, or if you are notified that your PIN failed, please notify FERC staff by email to Form714@ferc.gov.
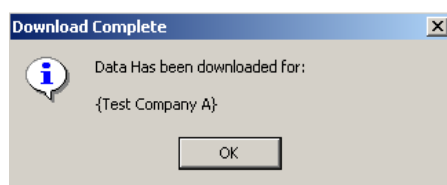
Following the download and database creation, which may take a few minutes, the above message appears. Click OK, then click the Finished button on the Form 714 Data Download screen.
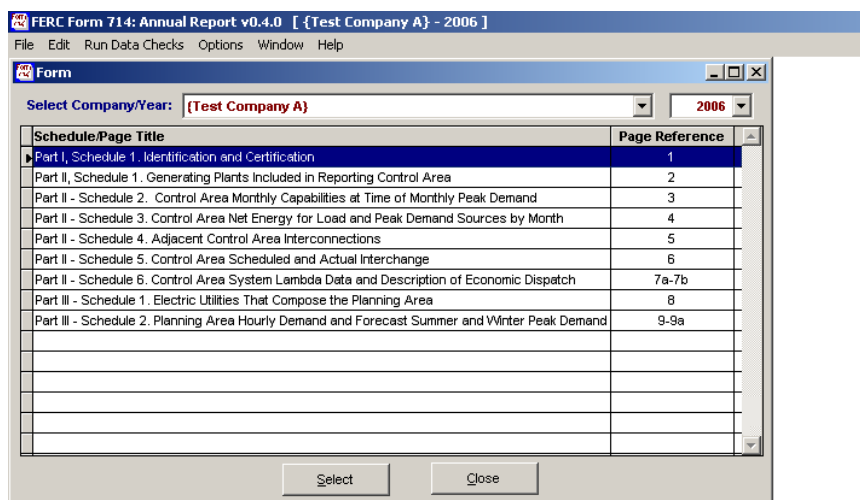
The system will run through a few checks, then display the main application menu shown above. **Note: The first time you download your database the above application menu window will be blank. Click on the "drop-down arrow" for the "Year" box and select a year. As soon as this is done the application 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 from the list shown above, then click the Select button.


Data entry is set up in a spreadsheet fashion for most schedules as shown in the Part II - Schedule 2 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 one side of the it to the other (as with columns (h), ... above).

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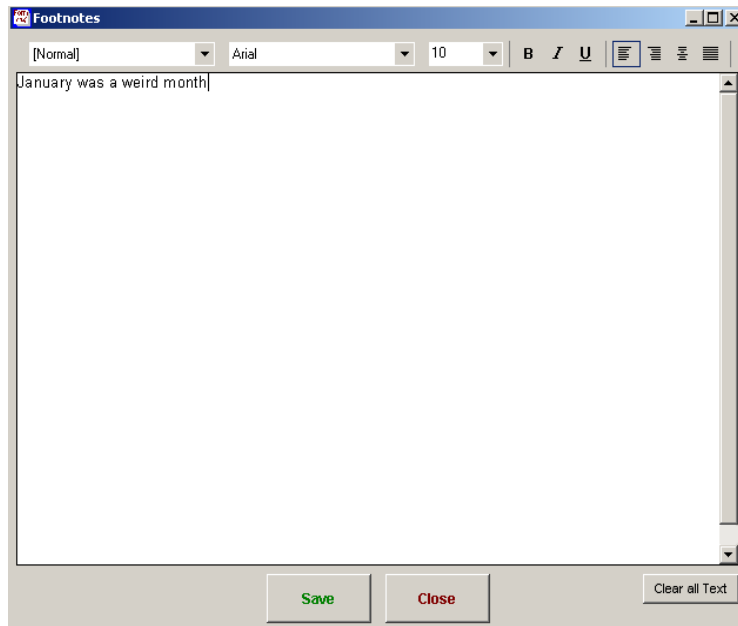
To add (or edit) a footnote, select the desired cell and right-click. A pop-up screen like the one above will appear. This screen provides a word-processor-like interface where users can enter whatever extenuating discussion necessary to explain their data entry item.

Import 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 2 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.
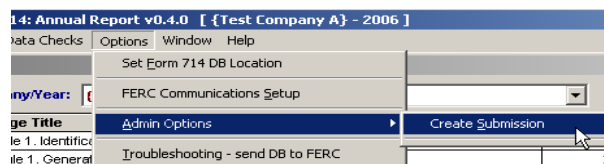
Go to Options then Admin Options and finally, Create Submission; see above. A screen will appear in which the user will enter the company's PIN.

The 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 set up of the software. These are the key items to remember in that regard:

- The user must have full 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)

For assistance in troubleshooting communication set up problems, download FERC's "Communications Tester" application and run the given communication tests using HTTP and FTP to verify whether or not the company site can communicate with FERC. The link to the FERC Communications Test Application is http://www.ferc.gov/docs-filing/eforms/test-app.asp.