

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

Quick Reference Guide to FERC Filing Procedures

REVISED January 3, 2012

[PAPER FILING REQUIREMENTS WERE REVISED BY A FINAL RULE ISSUED JULY 14, 2010 IN RM10-26](#)

Documents submitted to the Commission should be filed electronically if possible. Refer to the Filing Guide and Qualified Documents List (see link below) for eligibility and menu selection. The eFiling system accepts one or multiple Public, Privileged, and CEII files. Each eFiling must have at least one Public file.

Do not file paper copies if you use the eFiling, eForms, eTariff, or EQR systems to submit your filing, unless you are filing certain documents that require courtesy paper copies addressed to Staff (see Part 2 in the list below). These are identified in the Filing Guide and Qualified Documents List and in this document. For documents that are not filed electronically, send an original and the number of paper copies specified in Part 1 below to:

Secretary

Federal Energy Regulatory Commission

888 First St, NE, Rm 1-A

Washington, D.C. 20426

Be advised that documents sent to FERC by regular mail are subject to delays of up to two weeks. We recommend that you use messenger or overnight courier delivery services in lieu of regular mail.

This guide is a quick reference only. It does not list every filing, report, or form required by the Commission's regulations. For additional information, contact: Dockets Staff: (202) 502-8258.

Links to FERC Electronic Submission Systems:

System	Description	Use System to Electronically Submit:
eFiling	Electronic Filing	Filing Guide and Qualified Documents List
eForms	Electronic Forms	FERC Form Nos. 1, 2, 2-A, 3-Q, 6, 6-Q, and 423
eTariff	Electronic Tariffs	Electric, Gas, and Oil Tariffs Pursuant to Order No. 714
EQR system	Electric Quarterly Reports (EQR)	Electric Quarterly Reports

The requirements for submissions on paper or paper/CD/DVD:

PART 1: Number of Paper Copies Required for Documents that are NOT Submitted via eFiling

Docket Prefix or Program Area	Type of Filing	Applicable Regulation [18 CFR]	Number of Paper Copies	Filing Fee (March 2011)
General Copy Requirement	Any Filing Not Specifically Identified Below that is Submitted on Paper (Check Filing Guide and Qualified Documents List for documents eligible for eFiling, eForms, or EQR submission)	§ 385.2004	Original Only	
Rulemakings	Comments on Notices of Proposed Rulemaking (RM), Notices of Inquiry (RM, AD) , General Policy Statements (PL), and Admin. (AD) proceedings		Original Only (Note: there is no service obligation for these comments)	
Electric, Gas, or Oil	Petitions for Declaratory Order	§385.207	Orig. + 2	\$23,540
Hydro	Petitions for Declaratory Order	§385.207	Orig. + 2	No fee
Various	Petitions for Review in U.S. Circuit Courts of Appeal	§385.2012	1 copy, with Court Filing Date Stamp and Case Number	
	Court Orders			
	Court Opinions, Mandates, and Rulings			
Various	Request for Interpretation by General Counsel	§385.1901 §388.104	Orig. + 2	\$6,750
AI	Requests for Interpretation from the Chief Accountant	§375.303	Orig. + 2	
CP	Application for Blanket Certificate Filed by Hinshaw Pipeline or Local Distribution Company	§284.224	Orig. + 2	\$1,000

Docket Prefix or Program Area	Type of Filing	Applicable Regulation [18 CFR]	Number of Paper Copies	Filing Fee (March 2011)
CP	General Conditions Applicable to Certificates:			
	a)Acceptance of Certificate	§157.20(a)	Orig. + 2	
	b)Notice that End User/Shipper is Unable to Meet Imposed Timetable to Commence Service	§157.20(b)	Orig. + 2	
	c)Notice of Commencement of Construction	§157.20(c) and (d)	Orig. + 2	
	d)Notice of Completion of Construction or Placement of Facilities in Service			
	e)Statement of Costs of Construction			
Semi-Annual Storage Reports	§157.214 §284.124	Orig. + 2		
EC	Application for Sales, Lease, or Disposition, Merger, or Consolidation of Facilities or for Purchase or Acquisition of Securities of a Public Utility	33.2	Orig. + 3	
EF	Electric Rates for Federal Power Marketing Administrations	Part 300	eTariff is Mandatory	
EG	Self-Certifying Notice of Exempt Wholesale Generator Status	§366.7	Orig. + 2	
ER	Electric Rate Filings, including	§35.1 through §35.29	eTariff is Mandatory	
	a)Amendments			
	b) Compliance Filings			
	c) Blanket Authorization Requests			
ER	Compliance Electric Refund Reports		eTariff is Mandatory	

Docket Prefix or Program Area	Type of Filing	Applicable Regulation [18 CFR]	Number of Paper Copies	Filing Fee (March 2011)
ES	Application for Issuance of Securities	Part 34	Orig. + 3	
	a)Commercial Paper			
	b)Common & Preferred Stock			
	c)First Mortgage Bonds			
	d)Employee Option Plans			
ID	Applications to Hold Interlocking Positions, including	Part 45	Orig. + 2	
	a)Informational ^{Re_p} orts			
	b)Supplemental Applications			
	c)Notices of Change due to Retirement, Death, Termination, or Resignation			
	d)Supplements to Tariffs			
IS	Oil Pipeline Tariffs including	Part 341	eTariff is Mandatory	
	a)Fourth Section Applications			
	b)Special Permission Applications			
	c)Amendments to Tariffs			
	d)Supplements to Tariffs			
P	Applications for Exemption of Annual Charges	§11.6	Orig. + 2	
P	Safety Inspections Reports	§12.37	Orig. + 3	
P	Aperture Cards	§4.39	Orig. + 1	
PF	Pre-Filing Documents	§157.38	Orig. + 2	
PR	Petitions for Rate Approval for Gas Transmission Service	§284.123	Orig. + 3	\$11,720

Docket Prefix or Program Area	Type of Filing	Applicable Regulation [18 CFR]	Number of Paper Copies	Filing Fee (March 2011)
QF	Application for Commission Certification or Recertification of Qualifying Small Power Production Facility (Not Self-Certifying)	§292.207(b)	Orig. + 2	\$20,240
QF	Application for Commission Certification or Recertification of Qualifying Cogeneration Facilities (Not Self-Certifying)	§292.207(b)	Orig. + 2	\$22,920
RP	Natural Gas Pipeline Tariff Filings	Part 154, Subparts A, B, C, E, F and G	eTariff is Mandatory	
	Natural Gas Pipeline Compliance Filings			
	Natural Gas Pipeline Refund Reports			
RP	Motions under NGA Section 4(e)	§154.206	Orig. + 3	
Various	Request for Waiver of Filing Fee	§381.106	Orig. + 2	

Part 2: Courtesy Paper Copies Required for FERC Staff when the following documents ARE submitted via eFiling

(forms of address for the office/room designations follow this table):

18 C.F.R Cite

2.55(b)(3)	30-day Advance Notification	2.55(b)(3)	2 complete (OEP Rm 62-46)	
4.41	Application for License for Major (>5MW) Unconstructed Project or Major Modified Project	4.41	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	
4.51	Application for License for Major (>5MW) Project - Existing Dam	4.51	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	
4.61	Application for License for Minor Water Power Projects and Major Water Power Projects 5 MW or Less	4.61	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	
4.71	Application for License for Transmission Line Only	4.71	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	
4.92	Application for Exemption of Small Conduit Hydroelectric Facilities	4.92	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	
4.95	Surrender of Exemption for Small Conduit Hydroelectric Facility	4.95	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	
4.107	Application for Exemption of Small Hydroelectric Project From Licensing	4.107	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	

Docket Prefix or Program Area	Type of Filing	Applicable Regulation [18 CFR]	Number of Paper Copies	Filing Fee (March 2011)
5.5	Notification of Intent (and Request to Use Traditional or Alternative Licensing Procedures) - if filed by Existing Licensee without a Pre-Application Document	5.5	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	
5.6	Pre-Application Document / Notice of Intent: Filed by a) the Existing Licensee for an Existing Project or b) by a Preliminary Permit Holder	5.6	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	
5.6	Pre-Application Document / Notice of Intent: Filed by a) a New Applicant for an Existing Project or b) Any Applicant for a New Project	5.6	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	
5.17 - 5.18	Application for New or Subsequent License	5.17-5.18	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	
5.27	Amendment of Application	5.27	2 (OEP Rm 61-02; OGC-EP Rm 101-56)	
12.11	Report of Modifications to Project or Project Works	12.11	2 to Regional Office	
12.20 - 12.25	Emergency Action Plan - Annual Certification	12.20 - 12.25	2 to Regional Office	
12.20 - 12.25	Emergency Action Plan - Annual Report and/or Update	12.20 - 12.25	2 to Regional Office	
12.20 - 12.25	Emergency Action Plan - Dambreak Study	12.20 - 12.25	2 to Regional Office	
12.20 - 12.25	Emergency Action Plan - Emergency Action Plan	12.20 - 12.25	2 to Regional Office	
12.20 - 12.25	Emergency Action Plan - Exemption	12.20 - 12.25	2 to Regional Office	
12.20 - 12.25	Emergency Action Plan - Functional Exercise Report	12.20 - 12.25	2 to Regional Office	
12.20 - 12.25	Emergency Action Plan - Activation Report	12.20 - 12.25	2 to Regional Office	
12.20 - 12.25	Emergency Action Plan - Annual Exemption Certification	12.20 - 12.25	2 to Regional Office	
12.37	Report of the Independent Consultant	12.37	2 to Regional Office	
12.39(a)	Plan for Corrective Measures	12.39(a)	one to RO	
12.44	Annual Spillway Gate Test Report	12.44	one to RO	
33.2	Application for Sales, Lease, or Disposition, Merger, or Consolidation of Facilities or for Purchase or Acquisition of Securities of a Public Utility - no tariff records	33.2	3 complete to OEMR Rm 91-13 (public and non-public as applicable)	

Docket Prefix or Program Area	Type of Filing	Applicable Regulation [18 CFR]	Number of Paper Copies	Filing Fee (March 2011)
33.2	Application for Sales, Lease, or Disposition, Merger, or Consolidation of Facilities or for Purchase or Acquisition of Securities of a Public Utility - tariff records	33.2	3 complete to OEMR Rm 91-13 (public and non-public as applicable)	
33.8	Application for Sales, Lease, or Disposition, Merger, or Consolidation of Facilities or for Purchase or Acquisition of Securities of a Public Utility - competitive analysis under §§ 33.3 and 33.4	33.8	3 complete to OEMR Rm 91-13 (public and non-public as applicable)	
50.5(c)	Pre-Filing for Permit to Site New Electric Transmission Facilities or Modify Existing Facilities	50.5(c)	1; OGC-EP Rm 101-56	
50.6; 50.7	Application and Exhibits for Permit to Site New Electric Transmission Facilities or Modify Existing Facilities	50.6; 50.7	1; OGC-EP Rm 101-56	
152.1	Applications for Exemption From the Provisions of Natural Gas Act Section 1(c) and Issuance of Blanket Certificates Authorizing Certain Sales for Resale	152.1	3; two to OEP Rm 62-46; one to OGC-EP Rm 101-56	
153.7	Applications for Authorization to Construct, Operate or Modify Facilities Used for Export or Import of Natural Gas	153.7	3; two to OEP Rm 62-46; one to OGC-EP Rm 101-56. For LNG-related filings, one additional copy of Resource Report 13 for "PF" dockets and one additional copy of Resource Reports 11 and 13 for "CP" dockets (including the Geotechnical Site Investigation and Seismic Hazard Assess. for both PF and CP to OEP Rm 62-46.	

Docket Prefix or Program Area	Type of Filing	Applicable Regulation [18 CFR]	Number of Paper Copies	Filing Fee (March 2011)
156.3; 250.6	Applications for Orders Under Natural Gas Act Section 7(a)	156.3 / 250.6	3; two to OEP Rm 62-46; one to OGC-EP Rm 101-56	
157.6; 157.13; 157.14	Application for Certificates of Public Convenience and Necessity	157.6 / 157.13 / 157.14	3; two to OEP Rm 62-46; one to OGC-EP Rm 101-56. For LNG-related filings, one additional copy of Resource Report 13 for "PF" dockets and one additional copy of Resource Reports 11 and 13 for "CP" dockets (including the Geotechnical Site Investigation and Seismic Hazard Assessment, for both PF and CP to OEP Rm 62-46.	
157.7	Abbreviated Application	157.7	3; two to OEP Rm 62-46; one to OGC-EP Rm 101-56	
157.15 - 157.16	Application for Acquisition of Facilities	157.15-16	3; two to OEP Rm 62-46; one to OGC-EP Rm 101-56	
157.18	Application to Abandon Facilities and Service	157.18	3; two to OEP Rm 62-46; one to OGC-EP Rm 101-56	
157.21	Request to Conduct Pre-Filing Activity (and Material Included in Request)	157.21	2 complete to OEP Rm 62-46	
157.21	Pre-Filing Activity: Supplemental Material	157.21	2 complete to OEP Rm 62-46	
157.33	Application for Certificate or Other Authorization for a Proposed Alaska Natural Gas Transportation System	157.33	3 complete; two to OEP Rm 62-46; one to OGC-EP Rm 101-56	
157.205-206; 157.208-218	Prior Notice of Activity Under Blanket Certificate	157.205-206; 157.208-218	2 complete to OEP Rm 62-46	

Docket Prefix or Program Area	Type of Filing	Applicable Regulation [18 CFR]	Number of Paper Copies	Filing Fee (March 2011)
284.11(b)	30-day Advance Notification of Construction of Facilities	284.11(b)	2 complete to OEP Rm 62-46	
License Conditions	Construction - Plans and Specs - Maintenance	License Requirement	2 to Regional Office	
License Conditions	Construction - Plans and Specs - Modification or New Construction	License Requirement	2 to Regional Office	
License Conditions	Dam Break Analysis	License Requirement	2 to Regional Office	
License Conditions	Design Report	License Requirement	2 to Regional Office	
License Conditions	Hazard Potential Study	License Requirement	2 to Regional Office	
License Conditions	Inflow Design Flood Study	License Requirement	2 to Regional Office	
License Conditions	Instrumentation Monitoring Plan	License Requirement	2 to Regional Office	
License Conditions	Part 12D Consultant Safety Inspection Reports	License Requirement	2 to Regional Office	
License Conditions	Part 12D Supplement	License Requirement	2 to Regional Office	
License Conditions	Plans & Specifications	License Requirement	2 to Regional Office	
License Conditions	Surveillance and Monitoring Report	License Requirement	2 to Regional Office	
License Conditions	As-Built Drawings	License Requirement	2 to Regional Office	

Docket Prefix or Program Area	Type of Filing	Applicable Regulation [18 CFR]	Number of Paper Copies	Filing Fee (March 2011)
Ref.	Washington, DC Office Addresses:	Regional Office Addresses		
OEP-61-02	Federal Energy Regulatory Commission Office of Energy Projects 888 First Street, N.E., RM 61-02 Washington, DC 20426	Federal Energy Regulatory Commission Atlanta Regional Office 3700 Crestwood Pkwy NW, 9th Flr Duluth, GA 30096		
OEP 62-46	Federal Energy Regulatory Commission Office of Energy Projects 888 First Street, N.E., RM 62-46 Washington, DC 20426	Federal Energy Regulatory Commission Chicago Regional Office 230 South Dearborn St, Rm 3130 Chicago, IL 60604		
OEMR 91-13	Federal Energy Regulatory Commission Office of Energy Markets Regulation 888 First Street, N.E., RM91-13 Washington, DC 20426	Federal Energy Regulatory Commission New York Regional Office 19 West 34th St, Ste 400 New York, NY 10001-3006		
OGC-EP 101 -56	Federal Energy Regulatory Commission Office of General Counsel 888 First Street, N.E., RM 101-56 Washington, DC 20426	Federal Energy Regulatory Commission Portland Regional Office 805 SW Broadway, Ste 550 Portland, OR 97205 Federal Energy Regulatory Commission San Francisco Regional Office 100 First Street, Ste 2300 San Francisco, CA 94105		