

UNITED STATES OF AMERICA
FEDERAL ENERGY REGULATORY COMMISSION

NOTICE OF GUIDELINES FOR SUBMISSION
OF CDs, DVDs, AND OTHER ELECTRONIC MEDIA

(April 12, 2007)

Take notice that the Commission is issuing notice of guidelines for submission of CDs, DVDs and other electronic media. An increasing number of traditionally paper documents submitted to the Federal Energy Regulatory Commission (FERC) are now accompanied by one or more CDs, DVDs or other electronic media that contain all or part of the submission, or contain supplements to the submission. These guidelines address such submissions and require that, among other things, the CDs/DVDs contain the entire submission.

These guidelines apply to documents that cannot be submitted through any of the Commission's existing electronic gateways: the eFiling system, the eForms system, or the Electric Quarterly Reports (EQR) system. They thus are primarily intended for larger filings and those filings that contain Privileged, Critical Energy Infrastructure (CEII), or Non-Internet Public (NIP) information.

Persons following these guidelines will be granted an automatic waiver of the number of paper copies and may instead submit the requisite number of copies of a filing on CD/DVD and reduce the number of paper copies to an original and two copies in most cases. These guidelines do not change any FERC requirements concerning service of submissions on customers, parties, or other persons.

The guidelines will be posted at: <http://www.ferc.gov/help/submission-guide.asp> and updated when necessary to reflect revised procedures or changes in media.

Kimberly D. Bose
Secretary

GUIDELINES FOR SUBMISSION OF CDs, DVDs, AND OTHER ELECTRONIC MEDIA

An increasing number of traditionally paper documents submitted to the Federal Energy Regulatory Commission (FERC) are now accompanied by one or more CDs, DVDs or other electronic media that contain all or part of the submission, or contain supplements to the submission. These guidelines address such submissions and require that, among other things, the CDs/DVDs contain the entire submission.

Title 36 Part 1234.30 of the Code of Federal Regulations [[36 CFR Part 1234.30](#)] requires that FERC establish standards for the creation, use, preservation, and disposition of electronic records in order to retain them in a usable format until their authorized disposition date. The following guidelines are therefore intended to address the records requirement and make large filings available to staff and the public faster and in more useful formats for the life of the record.

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Take Note: Submissions that fail to conform to these guidelines or include unreadable media may be rejected. If it is determined that rejection is appropriate in a particular instance, a Notice of Rejection will be issued to alert the filer of the decision to reject the CDs/DVDs submission.

It is the responsibility of the filer to file correctly, and failure to file correctly may result in the filing being made on the following day.

GUIDELINES

A. General

1. The entire submission, including the cover letter, form of notice (if applicable), and all maps and drawings, should be included on one or more CDs/DVDs. All files must be organized by security classification (Public, Privileged, CEII, NIP, and Protected) on separate CDs/DVDs or paper volumes for each security class.
2. Acceptable media generally include: paper, CDs, and DVDs. Media that will not be accepted unless specifically directed by a FERC regulation or by a staff data request include but is not limited to: audio tapes, video tapes, cassette tapes, zip drives and other external drives, diskettes, and thumb drives.
3. The number of paper copies and CD/DVD sets to be submitted is listed in Table 1 below. A paper copy of the cover letter should be included with each paper copy and with each copy of the Public CD/DVD (or first CD/DVD in the set if non-public).
4. The cover letter file should be on each CD/DVD (the same cover letter in the case of submitting multiple CDs/DVDs) and should identify:
 - a. For existing proceedings, the applicable docket and subdocket number(s); for new applications, include the docket prefix that will apply;
 - b. The party or parties making the submission;
 - c. A description of the submission and the information being submitted, including a list of paper volumes (if applicable) and a list of the CDs/DVDs, and the security level that applies to each volume or CD/DVD;
 - d. A statement that the entire submission is contained in the CDs/DVDs; and
 - e. The name, address, telephone number, and email address of the person(s) responsible for the submission. The responsible person(s) should have a validated FERC Online eRegistration account(s);
 - f. Any other information required to be included.
5. CDs/DVDs sent via the U.S. Postal Service are frequently damaged or unreadable. Use of express or courier delivery services to submit CDs/DVDs is recommended.

B. Files and Folders

6. Files submitted on CD/DVD should not exceed 10 Mb. Large documents should be separated into multiple files, and separate files should be used to accommodate the 10 Mb limit. If ZIP files are submitted each unzipped file should be less than 10 Mb. In cases where it is not possible or practical to comply with the 10 Mb limit (e.g., video), files should not exceed 50 Mb. Currently, many users experience problems when downloading files greater than 10 Mb from eLibrary. When that problem is corrected these guidelines may be revised.
7. File names are limited to 60 characters, including the period, spaces, and special characters. The file name must contain only one period immediately before the suffix for the file format (e.g., .pdf, .doc, .wpd, .jpg, .tif, etc. from Table 2).
8. Folder, sub-folder and file names should correlate as much as possible to the logical organization of the document. All large format pages for which the original is larger than 8.5 x 11 inches (including some maps, drawings, aerial photography, and items on legal sized paper) should be segregated into separate folders. The folder name should begin with "LargeFormat" and should contain only oversized materials. Use folder names (such as Volume I, Volume II, Exhibit A, Exhibit B, LargeFormat, Maps) and file names that are descriptive. The cover letter and any form of notice (if applicable to the submission) should be in the root directory.
9. The acceptable file formats for CDs/DVDs are listed below in Table 2. Other file formats are not permitted. File formats that are not permitted include but are not limited to: executable (.exe) files, auto-run files, and any viewer software (such as the Adobe Acrobat viewer). Do not include self-executing macros or hidden security codes or passwords that prevent access, downloading, or printing of any file. Note that certain file types in the table must be accompanied by a detailed description of the content of the file and instructions for the public on how to obtain resources to view it. Certain other file types must be accompanied by a written transcript and a detailed description of the content of the file.
10. Although there are two types of PDF documents - electronically converted and scanned - only electronically converted PDF documents should be submitted unless the only available source for an included file is a paper document.

C. CD/DVD Labels

11. Each CD/DVD must have an external label that identifies the applicant or filer, the docket number (and subdocket, if applicable) or the applicable docket prefix (for new applications), a brief description of the content of the CD/DVD, the applicable security classification for the CD/DVD, and the date of submission. If the submission includes more than 1 original CD/DVD, each original CD/DVD in the set should be labeled “Original” and numbered (for example, 1 of “x”). CDs and DVDs that are copies of the original must be labeled “Copy” and similarly numbered.

The five security labels that are available, one of which must be used, are:

- g. “Public”
 - h. “NIP” (Non-Internet Public Information)
 - i. “CEII” (Critical Energy Infrastructure Information)
 - j. “Privileged” (informally called “Proprietary” or “Confidential” and currently labeled in eLibrary as “Non-Public”)
 - k. “Protected” (submissions filed pursuant to a Protective Order, informally called “Sealed,” and currently not in eLibrary)
12. For each file where the security level is anything other than “Public,” the appropriate security level must be prominently displayed on the first page of the file. Files must be organized on separate CDs/DVDs for each different security level. *FERC is not responsible for detecting and correcting filer errors in security designation-- it is the filer’s responsibility to ensure that all information other than public information is appropriately designated and that ONLY information other than public information is included under those categories*

D. Protected Material

If material pursuant to a Protective Order is submitted on CD/DVD, it must be included on a separate CD/DVD with one paper original, and both must be submitted under seal.

Table 1: Number of paper and CD/DVD copies to submit

Security Level	Paper Copies	CD/DVD
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Public	Original + 2 copies ¹	Total number of original and copies required by regulation. ² Include a paper copy of the cover letter with each copy of the Public CD/DVD
Non-Internet Public (NIP)	Original + 2 copies ¹	Total number of original and copies required by regulation
CEII	Original + 2 copies	Three copies
Privileged	Original Only	One copy
Protected	Original Only (under seal) with copy of cover letter on the outside of the sealed envelope /container	One copy (included with the paper copy in a sealed envelope/container)

¹ For gas certificate applications, an original and 4 paper copies.

² For example, if the Commission's regulations for the filing type normally require an original and eight copies, then a total of nine copies of both the Public and Non-Internet Public CD/DVD(s) should be included.

Table 2: Acceptable File Formats

Description	Suffix
Adobe Portable Document Format (Acrobat 4.x or higher)	.PDF
Advantica SynerGEE compatible Microsoft Access application MDB file ³	.MDB
Advantica SynerGEE input data set for pipe flow program ³	.PD
Advantica SynerGEE xy coordinate text file ³	.XY
ASCII Comma Separated Value	.CSV
ASCII Text Format	.TXT
AutoCAD Drawing database ³	.DWG
Corel WordPerfect	.WPD
ESRI Shape Format (vector format created by the Environmental System Research Institute) main file ³	.SHP
ESRI Shape Format (vector format created by the Environmental System Research Institute) index file ³	.SHX
ESRI Shape Format (vector format created by the Environmental System Research Institute) dBase table ³	.DBF
ESRI Shape Format (vector format created by the Environmental System Research Institute) projection file ³	.PRJ
ESRI ArcGIS auxiliary file ³	.AUX
ESRI ArcGIS external pyramid layer file used for rapid display of raster files ³	.RRD
ESRI ArcMap project file ³	.MXD
ESRI ArcIMS Project file (ArcXML) ³	.AXL
ESRI ArcView spatial bin file for shapefiles ³	.SBN
ESRI ArcView spatial bin index file for shapefiles ³	.SBX
ESRI plain text file (world file) used to coordinate raster map images ³	.TWF
ESRI ArcGIS MrSid (LizardTech) image raster file ³	.SID
ESRI ArcGIS MrSid georeferencing information (world) file ³	.SDW

³ A detailed description of the content of the file and instructions for the public on how to obtain resources to view it must be included with the submission in light of National Archives and Records Administration regulations. This file type must only be submitted with Advantica SynerGEE, AutoCAD, ESRI, WinFlow, or WinTran files.

Extensible Markup Language	.XML
Graphic Image Format	.GIF
Gregg Engineering WinFlow library file ³	.LIB
Gregg Engineering WinFlow output file ³	.LOG
Gregg Engineering WinFlow output file ³	.NTP
Gregg Engineering WinFlow output file ³	.OVR
Gregg Engineering WinFlow input file ³	.WFP
Gregg Engineering WinTran time-varying schedule file ³	.SCH
Gregg Engineering WinTran output file ³	.WTO
Gregg Engineering WinTran output file ³	.WTS
Joint Photographic Experts Group	.JPG
Keyhole Markup Language (xml-based structure for geographic data in an Earth browser such as Google Earth) ³	.KML
Lotus	.WK1, .WK3, .WK4
Microsoft Excel	.XLS
Microsoft Media Player ⁴	.WMV, .WMA
Microsoft Power Point	.PPT, .PPS
Microsoft Word	.DOC
Motion Picture Experts Group ⁴	.MPG
MP3 audio file (mp3) ⁴	.MP3
RAW Image File (RGB 24-bit Graphics)	.RAW
Rich Text Format	.RTF
Tagged Image File Format	.TIF
Waveform sound (Microsoft Windows) ⁴	.WAV
Web page file containing Hypertext Markup Language (HTML) markup	.HTM
Windows bitmap	.BMP
Zip file compressed archive (must not be self-extracting)	.ZIP

⁴ A written transcript and a detailed description of the content of the file must be included with the submission in light of the Americans with Disabilities Act.