

## **PJM eTariff Filing Protocol for PJM Transmission Owners**

### **Background:**

At the request of the PJM Transmission Owners (“TOs”) and pursuant to Section 7.3.2 of the Consolidated Transmission Owners Agreement (“TOA”) and Section 9.1(b) of the PJM Open Access Transmission Tariff (“PJM Tariff”), PJM, as the administrator of the PJM Tariff, has agreed to, on behalf of the TOs, submit PJM Tariff, TOA and Service Agreement/PJM rate schedule filings (together referred to as “Tariff” or “Tariff filings”) for which the TOs have exclusive FPA Section 205 filing rights. The effective date of this Protocol will coincide with the effective date of PJM’s electronic baseline filing in compliance with Order No. 714 Order 714 (124 FERC ¶ 61,270) issued September 19, 2008 Order 714 (124 FERC ¶ 61,270).<sup>1</sup>

In order to help ensure that PJM has adequate time and resources available to administratively file Tariff revisions on behalf of the TOs using PJM’s vendor eTariff software, the following protocol is needed:

### **Initial Notice of Anticipated Filing and Request for Current Tariff Sheets**

- The TOs will notify PJM of a Tariff filing and request the Word or Excel<sup>2</sup> version of the current Attachment H and/or other sections in the PJM Tariff preferably three (3) weeks, but no later than two (2) weeks, prior to anticipated filing date.
- PJM Staff to provide Word and/or Excel version of PJM Tariff documents to the TO within three (3) business days of the notice.
- Emails are to be sent to eTariff@pjm.com which includes the following PJM personnel: Steve Pincus (pincus@pjm.com); Ginny Snyder (snydev@pjm.com); and Karen Lewis (lewisk@pjm.com).
- PJM Legal Daytime Phone Numbers to provide information: Steve Pincus @ 610-666-4370; Ginny Snyder @ 610-635-3430; and Karen Lewis @ 610-666-8252  
Emergency after hours requests should be made by calling Steve Pincus @ 610-496-4753, \_\_\_\_\_, and \_\_\_\_\_.

### **Confirmation of Anticipated Filing Date**

- The TO will confirm by e-mail to eTariff@pjm.com the date on which the filing will occur three (3) business days prior to the filing date. The TOs shall promptly notify PJM of any schedule changes to the filing date.

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<sup>1</sup> This Protocol is subject to FERC’s technical and legal requirements as may be revised from time-to-time.

<sup>2</sup> Note: FERC’s eTariff software may not accommodate Excel format. Thus, the PJM and the PJM TOs may need to use Word versions of the information contained in Excel. In that event, PJM staff will work with the PJM TOs to help transition the Excel spread sheets into Word format and this Protocol will be updated accordingly.

- PJM will advise the filing TO of any issues with the proposed filing date such as holidays, volume of anticipated filings that particular day, etc., and coordinate a mutually acceptable resolution of such issues to ensure TO filing deadlines are met.

### **Preparation Time Required by PJM**

- **TO Review of Complete Filing:** No later than 12:00 PM of the filing date or such time as requested by PJM, the TO will submit to PJM eTariff staff the final TO Tariff filing (transmittal letter and all attachments including, but not limited to, clean and redline Tariff sections to PJM). PJM will not make any changes to the TO filings. PJM will load the filing into the eTariff software and convert the filing into the required FERC XML format for filing via the eTariff portal.
- **Receipt of Complete Filing Package:** The complete filing package is to be received by PJM by 12:00 PM of the day of the filing in order to provide PJM's staff with adequate time to prepare the filing for conversion and upload into the required filing format and submit the filing to FERC in a timely manner (FERC has a firm daily 5:00 PM filing deadline). The 12:00 PM deadline will also offer PJM and the TOs additional time needed to confirm FERC has received the filing in proper format and time for the TOs to work with PJM should FERC not accept the TO's filing for any reason.
- **eTariff Preparation Time and Notification:** PJM software requires a few hours to upload and confirm the TO's FERC filing on the web site by the close of business on the date of filing. Preparation time takes into account the time necessary to upload the filing document into the eTariff software, convert the filing to the required XML format, to create the Zip file and to eFile the document with the Commission via the eTariff portal and receive confirmation of the filing and confirmation there are no errors in the submission.
- **Notification that filing is accepted:** This is the initial e-mail from the FERC eTariff portal that the XML is accepted. Both PJM and the TO will receive the e-mail notification. FERC may not respond for an up to an hour to inform PJM staff and the TOs that the filing XML is readable and accepted by FERC's eTariff system. [Note: this is prior to the notice from the Secretary's office accepting the filing.] It is important to note that if there is an error in the XML and a correction must be made, the filing time may be past and the 5:00 PM deadline may be missed or the effective date requested may then be incorrect on the tariff sheets.
- **Service of the Filing:** A 12:00 PM receipt of the filing by PJM on the date of the filing allows PJM two (2) opportunities to upload the filing on PJM's website. Receipt after 3 p.m. will not permit a timely upload and the PJM web site service link utilized in providing service of the filing may not be available until the next morning.

Thus, PJM cannot guarantee posting and service until the following morning if filing documents are received after 3 p.m.

- **Process for Resolving Filing Errors:** If there is an error in uploading the XML package to the eTariff site, both PJM and the TO will have prompt notification from FERC of the error by e-mail. If there are any errors with and the FERC is unable to “read the XML Schema” in the filing, PJM and the TOs will work cooperatively to correct and re-file the document on the same date if possible.
- **Missed Filing Deadline:** Missing a filing deadline will be addressed on a case-by-case basis. PJM anticipates that late filings to meet a FERC-imposed deadline may require the submission of a request for waiver by the TO and, if the delay was caused by administrative or technical problems, PJM will provide supporting information for such waiver request. However, PJM’s liability in any case will be limited by the applicable limitation of liability and indemnity provisions of the PJM Tariff and Operating Agreement.
- **Short Notice Filings:** PJM Staff will make every effort to accommodate short notice filing needs subject to the limitations described above.

#### **TO Transmittal of Complete FERC Filing**

- TO is responsible for the preparation of the filing transmittal letter.
- TO will produce both the clean and redline sheets for Attachment H and/or other sections in the PJM Tariff as attachments to the FERC filing.
- PJM’s eTariff software will accommodate the use of Word and Excel.
- TO to forward entire filing package in proper format to PJM no later than 12:00 PM on the day the filing is to be made.
- The naming convention for the TO’s filings should include their company name (abbreviated) and the filing date (e.g., 20100707-ACEC Formula Rate Update.doc).
- PJM has developed a transmittal form to be used when the sending the filing to FERC. This form will include the company name as on file with FERC, company contact information, etc. The form is attached to this protocol.
- Using the eTariff software, PJM will convert filing package to the format required by the Commission and submit the package for filing via the FERC eTariff portal.

## **TO Transmittal of FERC Order Approving Formula Rate Filing**

- TO and PJM will each receive the notifications of FERC receipt of the filing, the Secretary of the Commission acceptance of the filing and the Commission order issuances.
- PJM will upload FERC Orders and other notifications into PJM's eTariff software, which will be a complete record of the filing, and will store in PJM's eTariff software as a permanent record of the Tariff document filing.

## **TO Documents for Posting to PJM Web Site and Service**

1. Complete Filing:
  - Transmittal Letter and all Attachments in proper format; and
  - For formula rate filings, the Attachment H as a "stand alone" document in proper format for posting to the Formula Rate section of the PJM web site.
2. Order accepting Tariff filing - Once an order accepting Tariff filing is issued, the TO is to submit a brief, narrative summary of the Tariff changes for use by PJM Market Settlements group:
  - Show what revenues/rate are to be collected for NITS, etc.;
  - Show what revenue/rate are to be collected for Schedule 12 projects; and
  - Any new default supplier percentages for the allocation of certain billing line items pertaining to particular state supplier auctions (e.g. BGS/SOS/ CPP and other default supplier contracts).
3. Notice of any Meeting being held by the TO concerning the Formula Rates being filed with the Commission.
4. Service to the parties will be completed by the TOs for existing dockets with an established service list. PJM will serve the PJM Members and State Commissions (this is the current practice and will be continued under eTariff).

## **Versioning of the PJM Tariff Documents**

- PJM is required by FERC to section its tariff documents to the "1.1" section level. At this point, PJM plans to keep the Attachments H – Annual Transmission Rates as individual sections of the Tariff. Review of the sectioning will be made to determine if the entire Attachment H section falls within the FERC size/MB requirements. If the entire attachment falls within these parameters, then PJM will be able to keep the attachment as

one section. If an Attachment H is divided into sections (e.g., Attachment H-3, Attachment H-3A, Attachment H-3B, etc.), then PJM may work with the TO to divide these attachment section into individual sections as shown in the Tariff Table of Contents.

- Because the Attachment Hs will be one eTariff “section”, filing of an update to an Attachment H is normally performed as a re-filing of the entire section.
- Pursuant to FERC Order No. 714, PJM will no longer be using Order No. 614 formatting for the Tariff pages. Each section of the PJM Tariff documents will have a section and can be identified by its numeric value. The section metadata will indicate where this particular section resides in the Tariff document. In addition, there will be page footers indicate the Tariff version, the issue date of the filing, the requested effective date and other pertinent information for each page of the printed document as well as a table of contents printed for the entire tariff document as needed.

### **Service Agreement Filings**

- The filing of Service Agreements will be subject to the same procedures as tariff filings. PJM eTariff staff will provide the Service Agreement numbers. However, there may be some differences between the regular Tariff filings and the service agreement filings due to timing constraints (e.g., agreements that must be filed within 30 days after signing) or other tariff regulations. Some examples of agreements to be filed by PJM using the eTariff software are Interconnection Service Agreements (ISAs), Construction Service Agreements (CSAs), Wholesale Market Participation Agreements (WMPAs), or Wires-to-Wires Interconnection Agreements.<sup>3</sup>

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<sup>3</sup> The agreements noted here are only a few of the possible agreements to be filed via eTariff.

**PJM Transmission Owner  
eTariff Transmittal Form**

Please provide the following information with the filing:

1. Official full company names as approved by the Commission:

\_\_\_\_\_

2. Filing date: \_\_\_\_\_

3. Requested effective date: \_\_\_\_\_

4. Filing summary for use in posting filing to the PJM website. Should be two or three sentences.

Note: PJM will provide the required metadata as listed below with the filing:

Company ID  
Tariff ID  
Tariff Title  
Filing ID  
Record ID (Child)  
Collation Value  
Parent Record ID