| Federal Energy Regulatory Commission<br>*FERC-731 Demand Response/Time-Based Rate Programs and Advanced Metering* | Form Approved<br>OMB No. 1902-XXXX<br>Expires on: XX/XX/XX |
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| GENERAL INSTRUCTIONS AND INFORMATION | |
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| **SURVEY PURPOSE** | The Energy Policy Act of 2005 section 1252(e)(3) requires the Federal Energy Regulatory Commission to prepare an annual report, by appropriate region, that assesses demand response resources, including those available from all consumer classes. The FERC-731 survey will provide the Commission with some of the information needed for this report. |
| **RESPONDENTS** | The FERC-731 is a voluntary survey to be completed by electric industry participants, including: electric utilities, wholesale power marketers (registered with the Federal Energy Regulatory Commission), energy service providers (registered with the states), electric power producers, unregulated retailers, independent system operators, regional transmission organizations, curtailment service providers and wholesale program customers. |
| **FILING DEADLINE** | April 30, 2010. |
| **HOW TO FILE** | File your electronic reply by completing the survey at http:/ . FERC will also accept survey responses that are completed in paper format. Mail the paper version of your completed survey to: Federal Energy Regulatory Commission, Secretary of the Commission, 888 First Street, N.E., Washington DC 20426. |
| **QUESTIONS?** | Refer to the frequently asked questions (FAQ) document at http://www.ferc.gov/xxxxxx for answers to questions most often asked in previous surveys. If after consulting the FAQ document you still have questions, you can call FERC Online Support (at 1-866-208-3676 Monday through Friday from 8:00am to 5:00pm Eastern Time) or send your questions in an email to xxxx@ferc.gov. |
| **DEFINITIONS OF TERMS USED IN THE SURVEY** | In the electronic version of the survey, direct your mouse to any term in **blue** and a short definition will appear. Activate links to detailed definitions in the glossary by directing your mouse to any item with a hyperlink. A separate glossary is also available from XXXXXX. |
| **REPORTING PERIOD** | Report information for calendar year 2009. |
| **REPORTING BURDEN** | The annual public reporting burden for this information collection is estimated to be an average of four hours per respondent. This burden estimate includes the time necessary for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Federal Energy Regulatory Commission, Attention: Michael Miller (Office of the Executive Director), 888 First Street, NE, Washington, DC 20426 or e-mail to michael.miller@ferc.gov. If you submit comments to FERC concerning the collection of information and the associated burden estimates, including suggestions for reducing this burden, also send those comments and/or suggestions to the Office of Management and Budget, Room 10202 NEOB, 725 17th Street, N.W., Washington, DC 20503 (Attention: Desk Officer for the Federal Energy Regulatory Commission), fax: (202) 395-7285. A response is not required to this survey unless the collection of information displays a valid OMB Control Number. |

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| **CONFIDENTIALITY** | Information reported in the FERC-731 is considered public and may be publicly released in identifiable form. |

| INSTRUCTIONS AND INFORMATION SPECIFIC TO SURVEY QUESTIONS | |
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| **Q1** | Enter the full legal name of the industry participant (entity) for which the survey is being completed. Your entity's ID number will automatically appear. If it does not, please contact FERC at 1-866-208-3676. Choose from the drop-down menu, the type of entity for whom you are filing.<br><br>Enter the full name and title of the person that FERC should contact for follow-up information regarding data and responses, as well as the daytime telephone number and fax number of the contact person, including area code, and the contact's email address. If the contact does not have an email address, please enter "no email address" in that space. Enter the mailing address for the survey contact.<br><br>Enter the same information for the survey contact's supervisor. |
| **Q2** | Enter the state and report the number of **advanced meters** being used for advanced metering purposes (e.g., the meters measure and record usage data at a minimum, in hourly intervals, and provide usage data to both consumers and energy companies at least once daily) and the number of all meters being used. Report the data as of the end of calendar year 2009 by customer sector for each state**. This information must be provided for all entities.** |
| **Q3** | If the entity for which you are providing information OFFERS demand response programs or time-based rates/tariffs, please SKIP Q3 and answer the questions that follow beginning with Q4.<br><br>Provide the number of **retail electric customers** and retail electric meters your entity has as of the end of calendar year 2009, by **customer class,** **<u>ONLY</u>** if the entity for which you are filing **<u>DOES NOT</u>** offer any demand response programs or time-based rates/tariffs. Enter the information separately for each regional entity in which your entity operates. If entities are split across regional entity boundaries, please fill out one row per regional entity.<br><br>If the **entity** for which you are providing information **<u>DOES NOT</u>** offer any **demand response** or **time-based rates/tariffs**, after answering **Q3**, **<u>YOU ARE FINISHED WITH THE SURVEY</u>.** Please submit it to FERC as specified in the instructions. |

| INSTRUCTIONS AND INFORMATION SPECIFIC TO SURVEY QUESTIONS | |
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| **Q4** | For those retail customers that are provided data concerning the amount and frequency of their electricity use which is measured at least hourly, please **provide the number** of customers who have the capability to receive these data (whether or not they actually do so) under each of the following methods:<br>• **Via the Internet** - the customer can view its electricity use information by time period, on the Internet on a site provided by your entity or by another entity contracted by your company to provide the information.<br>• **On their bills/invoices** - the customer is provided with its electricity use information by time interval on its utility bill or invoice**.**<br>• **Via a display unit (for example, an in-home display monitor)** - the customer can view or access its electricity use information directly through a network or through a specific device connected to the metering network. This category does not include meters which have the capability of being read (e.g., through pulse output or TCP/IP) where an external display has not been provided. |
| **Q5** | Provide your entity's demand response programs and time-based rates/tariffs that are not currently in use but that are planned to begin during each of the calendar periods 2010, 2011-2012, and 2013-2015 for each program type listed. Enter the number of programs planned for each time period, and the expected potential peak reduction or, for the periods that span more than one year, the average expected potential peak reduction in megawatts. If your program type is not listed, select "other (describe below)" and briefly describe the "other" program type and provide the expected potential peak reduction or, for the periods that span more than one year, the average expected potential peak reduction in megawatts. |

| INSTRUCTIONS AND INFORMATION SPECIFIC TO SURVEY QUESTIONS | |
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| **Q6** | Please provide information for each NERC regional entity/state combination in which the entity operated in the year 2009.<br><br>Step 1. First, choose a NERC regional entity in which your entity operated from the drop-down menu provided.<br><br>Step 2. For that NERC regional entity, choose a state in which your entity operated. The remaining requested data in Q7 through Q9 should be associated with the NERC regional entity/state combination entered in Q6.<br><br>Step 3. If your entity operated in another state within the NERC regional entity entered in Q6, after completing all information for Q9 please enter "Y" in the "Report information for another state within the NERC regional entity?" box at the bottom of Q9. The form will then save your information and return you to Q6 so that you may select another state. Please repeat steps 2 and 3 for each state within the selected NERC regional entity in which your entity operated.<br><br>Step 4. If your entity operated in another NERC regional entity please enter "Y" in the "Report information for another NERC regional entity?" box at the bottom of Q9. The form will then save your information and return you to Q6 so that you may repeat steps 1 through 4, for each additional NERC regional entity and corresponding state in which your entity operates.<br><br>*Paper filers note: photocopy the page corresponding to Question 6 of the survey, and the pages that follow, as many times as necessary to provide the requested information. For example, if the filing entity operates in Minnesota and North Dakota within the Midwest Reliability Organization, the filer will need two copies of the Question 6 page, one with the information for Minnesota and the second with the information for North Dakota.* |
| **Q7** | Provide your entity's **number** of retail customers by **customer sector** for the **state** and **NERC regional entity** selected in Questions 6 in which your entity operates. |

## INSTRUCTIONS AND INFORMATION SPECIFIC TO SURVEY QUESTIONS

Enter the information requested for the demand response programs and time-based rates/tariffs offered by your entity directly to retail customers for each state and regional entity in which your entity operates, as reported in **Q6**.

**Q8** **RETAIL PROGRAMS/TARIFFS:**

**Customer Sector-** From the drop-down list provided, choose the **customer sector** to which a program is offered. The remaining requested data for Q8 should be associated with the **customer sector** selected in this row. If the program is offered to more than one customer sector, complete Q8 for the selected sector, then enter “Y” in the “Enter another customer sector?” box at the bottom of the form. The form will then save your information and return you to the top of the form so that you may select another customer sector.

Respondents filing a paper version of this form should make copies of and complete Q8 for each customer sector-program combination offered by the entity.

**Program name -** Enter a short name for the program that identifies the program/tariff for which you are providing information.

**Program description** - Provide a short description of the program/tariff, for example: “Critical peak pricing for large residential customers with central A/C with smart thermostats.”

**Program type** – From the drop-down list provided, choose the program type that most closely matches this program/tariff offered by your entity. If the entity offers more than one program for the selected customer sector, complete Q8, then enter “Y” in the “Enter another program for this customer sector?” box at the bottom of the form. The form will then save your information and return you to the top of the form so that you may enter information for another program offered to the selected customer sector.

Respondents that file paper responses may find the program types listed on the last page of the glossary.

**Number of customers** - Enter the number of customers, from the **customer sector** selected in the first row, in this program/tariff.

**Maximum demand of customers (MW)** - Report demand in megawatts attributable to the number of customers reported in the preceding row. One megawatt equals 1,000 kilowatt. To convert kilowatts to megawatts, divide by 1,000. This may be reported as it is tracked by your entity, such as hourly, 30-minute demand, 15-minute demand, or 5-minute demand.

**Potential peak reduction** (MW) **-** Provide the potential peak reduction in megawatts attributable to the number of customers, from the **customer sector** reported on the first row, in this program/tariff. For utilities, this is the sum of potential demand reduction capability achieved by the program participants at the time of their annual peak load. For **Curtailment Service Provider**s, it is the sum of the coincident reduction capability sponsored by the **Curtailment Service Provider** and achieved by demand response program participants at the time of the peak for the region in which they aggregate customer load.

**Realized demand reduction attributed to program (MW)** - Provide the actual change in megawatts (MW) (show a demand reduction as positive and a demand increase as negative) due to the Program/Tariff for customers in this customer class.

## INSTRUCTIONS AND INFORMATION SPECIFIC TO SURVEY QUESTIONS

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| | **Are participants in the program excluded from taking part in other demand response or time-based rates/tariffs**? - Indicate whether or not participants in the program you are reporting are prohibited from participating in other demand response programs.<br><br>**Participation** – From the list provided, please select whether participation in the program, or taking service under the rate/tariff, is mandatory, voluntary **opt-out**, or voluntary **opt-in**. Please see the glossary for explanations of the terms opt-in and opt-out.<br><br>**End Use Equipment Affected –** if the program primarily affects specific end uses (for example, direct load control of central air conditioners or water heaters) please list the end use(s).<br><br>**Amount of Potential Peak Reduction** enrolled in RTO and/or ISO programs - Please enter the amount, in megawatts, of the **Potential Peak Reduction** associated with this program enrolled in RTO and/or ISO demand response programs.<br><br>**Other Comments** (please specify) – If you have any other comments that you would like to add regarding your retail demand response and time-based rate programs/tariffs, please provide them in the space provided.<br><br>**If you have more than one program for this customer sector enter "Y" in the text box, or if this is the only program for this customer sector, then please enter "N".**<br><br>**If there is another customer sector for the given program please enter "Y" in the text box. If this is the only customer sector for the given program please enter "N".** |
| **Q9** | Provide the following information for each demand response program your entity offered to wholesale customers and curtailment service providers during calendar year 2009, for the regional entity and state you entered in **Q6**.<br><br>**WHOLESALE PROGRAMS/TARIFFS**<br><br>**Program name** - Enter a short name for the program that identifies the program/tariff.<br><br>Respondents filing a paper version of this form should make copies of and complete Q9 for each program offered by the entity.<br><br>**Program description** - Provide a short description of the program/tariff for example, "Customer Load Control for high load factor industrial customers."<br><br>**Program type** - Choose from the drop-down list provided, the program that most closely matches to the one offered by your entity.<br><br>**Potential peak reduction** (MW) - Provide the potential peak reduction in megawatts attributable to the number of customers in this program/tariff. For utilities, this is the sum of potential demand reduction capability achieved by the program participants at the time of their annual peak load. For an RTO or ISO, it is the sum of **coincident reduction capability** achieved by participants at the time of system peak of the RTO or ISO.<br><br>**Realized demand reduction attributed to program (MW)** - Provide the actual change in megawatts (MW) (show a demand reduction as positive and a demand increase as negative) due to the Program/Tariff.<br><br>**Minimum reduction** (MW) - Enter the minimum megawatt reduction |

## INSTRUCTIONS AND INFORMATION SPECIFIC TO SURVEY QUESTIONS

requirement that wholesale customers must meet to participate.

**Response time** (Hours) - Enter the number of hours wholesale customers are notified before the demand response event begins.

**Energy payment for MWh curtailed ($/MWh) -** Enter the amount, in whole dollars per MWh, that participating wholesale customers are paid for each MWh curtailed. If payments are not based on MWhs curtailed, leave blank.

**Minimum payment rate ($/MWh)** - Enter the minimum payment rate in dollars per MWh. If no minimum payment rate, enter zero.

**Capacity payment rate ($/kW-month)** – For capacity programs only, enter the amount, in dollars per kilowatt-month, that participating customers are paid. If multiple rates are paid, enter the average payment rate for all capacity covered by the program. If not a capacity program, leave blank.

**Minimum duration of event** (hours) - Enter the minimum number of hours an event can last for each program/tariff.

**Maximum duration of event** (hours) - Enter the maximum number of hours an event can last for each program/tariff.

**Specific event limits** (number) - Enter the maximum number of times a program participant can be called on to reduce energy consumption per year.

**Bid limit** ($/MWh) - Enter the highest bid amount which will be accepted from any program participants (in $/MWh).

**Program start date** (MM/YYYY) - Enter the month and year the program/tariff started, or is scheduled to start.

**Program end date** (MM/YYYY) - Enter the month and year the program/tariff ended, or is scheduled to end, if applicable.

**Minimum term** (years) - Enter the minimum number of years wholesale customers must participate. If none, enter zero.

**Are participants in the program excluded from taking part in other demand response programs?** - Indicate whether customers in this regional entity and state can participate in more than one program/tariff or if they are restricted to participation in only one of the programs/tariffs for this regional entity and state.

**May participants in this program be charged penalties?** (Y or N) - Answer “Y” for “yes” if there is a penalty for not meeting the terms of this program/tariff. Answer “N” for “no” if there is no penalty for not meeting the terms of this program/tariff.

**Please enter “Y” in the text box if your entity has another program for the regional entity and state. Please enter “N” in the text box if this is the only program your entity offers.**

**Please enter “Y” in the text box if your entity operated in another state within the regional entity. Please enter “N” in the text box if this is the only state your entity operated in within the regional entity.**

**Please enter “Y” in the text box if your entity operated in another regional entity. Please enter “N” in the text box if this is the only regional entity your entity operated in.**

## INSTRUCTIONS AND INFORMATION SPECIFIC TO SURVEY QUESTIONS

**If your entity does not operate in another state and/or regional entity , <u>YOU ARE FINISHED WITH THE SURVEY</u>. Please submit it to FERC as specified in the instructions.**