



National
Energy Board

Office national
de l'énergie

Canada

Filer's Guide to Electronic Submission

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...a respected leader
in safety, environmental and
economic regulation.



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Introduction

This document describes the process and guidelines for electronically submitting documents to the National Energy Board. It is intended to assist filers with the preparation and submission of electronic documents using the Board's Electronic Document Submission Form¹.

This guide should be considered an evolving document. As best practices evolve, it may be necessary to update and revise the information provided here. Suggestions for updates or revisions should be directed to:

Deborah Thompson
Team Leader, Document Services
dthompson@neb-one.gc.ca
(403) 299-3640

Benefits

Some benefits associated with submitting and accessing documents electronically are:

- Reduced costs - only one hard copy to be filed with the Board
- Improved efficiencies - electronic copies are accessible immediately after they are submitted
- Improved access to information - the Internet reaches a broad audience
- Improved search and retrieval of documents and information.

System Requirements

- To produce PDF files you will need Adobe Acrobat 4.0 or higher, or equivalent
- To use the online form you will need an Internet connection and a browser that supports Javascript and cookies. Supported browser versions are Microsoft Explorer 5.50 or higher or Netscape Navigator 4.78 or higher.

Definitions

Term	Definition
Board / NEB	The National Energy Board
Submission / Filing	The collection of documents filed with the Board for a given regulatory matter
Submit / File	The act of sending a submission to the Board for a given regulatory matter
Receipt	Record that a submission has been filed electronically using the NEB online form
PDF	Portable Document Format (developed by Adobe Systems Inc. http://www.adobe.com)
Repository	An electronic repository of documents maintained by the Board

¹ For detailed information on completing the Electronic Document Submission form, please see the form's on-line help.



Documents to be Submitted Electronically

Approved filings are related to applications filed under the NEB Act, up to and including compliance to the Board instrument issued.

- Deactivation / Reactivation of Facilities (OPR)
- Detailed Route
- Long-term Crude Oil Export
- Long-term Gas Export
- Right-of-Entry
- Route Deviations (S.45 of NEB Act)
- S.119.03 Electricity Export
- S.21 Facilities (Variance, Review, Transfer of Board Instrument)
- S.52 Facilities
- S.58 Facilities
- S.58.11 International Power Line
- s.71 Transmission
- s.74 Abandonment (Operation of a Pipeline)
- s.74 Purchase/Sell/Name Change
- Tolls & Tariffs
- Tolls & Tariffs - Matters / General Terms and Conditions
- Tolls & Tariffs - Negotiated Settlements
- Tolls & Tariffs - Quarterly Surveillance Report / Financial Statement
- Tolls & Tariffs - TTF Resolutions
- S.47 Leave to Open Pipelines

The types of documents that may be filed under the filings listed above include:

- Affidavit
- Application
- Argument
- Audit Report
- Condition Compliance to a Board Order
- Comprehensive study
- Environmental Assessment
- Environment post approval report
- Environmental screening
- Errata
- Export/Import Report
- Variance of a board Order
- Current and Revised Toll & Tariff Sheets
- Information Request
- Information Request Response
- Intervention
- Letters (Cover, etc.)
- Letter of Comment
- Map
- News Release
- Plans, Profiles, Books of Reference
- Post Construction Monitoring Reports
- Supplemental Information
- Surveillance report
- Written Evidence



Important

What should NOT be filed electronically?

Filings that meet any one of the following criteria should **NOT** be submitted electronically.

- Documents filed under the *Canadian Petroleum Resources Act* (CPRA), the *Canadian Oil and Gas Operations Act* (COGOA), Part II.1 of the NEB Act (Oil and Gas Interests, Production and Conservation)
- Documents filed under Section 16.1 of the NEB Act
- Documents or manuals containing sensitive/security items, such as emergency response plans, pricing information, reporting requirements, NEB/Labour Canada Assurance of Voluntary Compliance, and incident reports.
- Documents for which the filer has not obtained or provided Copyright authorization

What about confidential material?

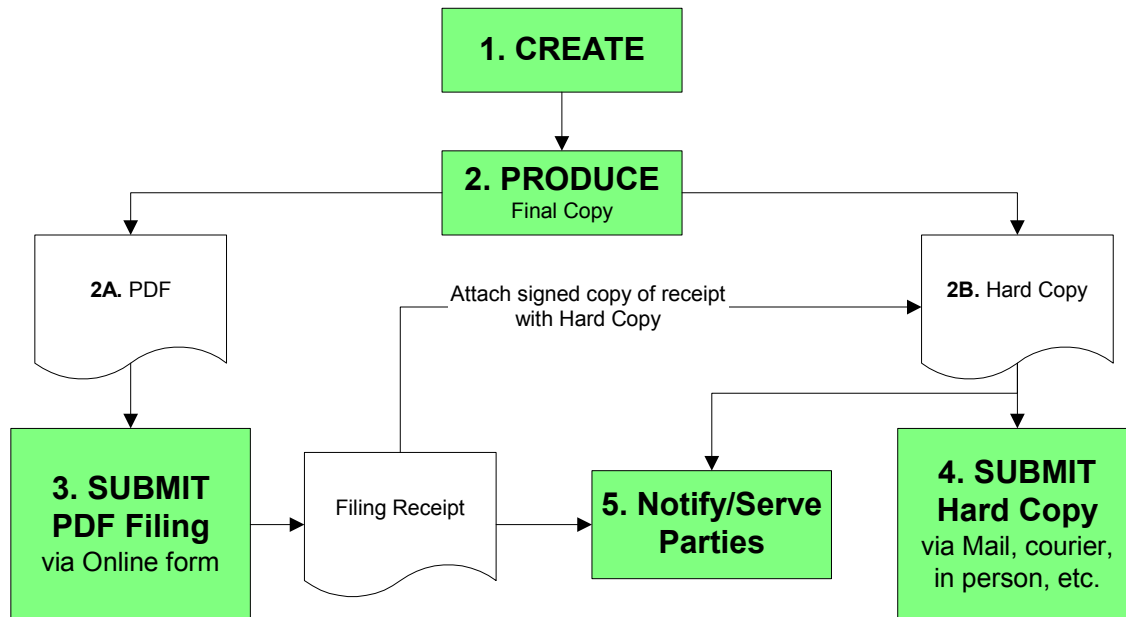
If you do not want documents filed in a proceeding to be accessed by the public, submit them to the Board in hard copy with a request for confidentiality under section 16.1 of the NEB Act. The Board will make a decision on whether the documents should be treated as confidential, using the test set out in section 16.1. If the Board grants confidentiality under section 16.1, the documents will not be posted on the web site nor in the NEB library.



Electronic Submission Process and Guidelines

The diagram below is an overview of the process of submitting electronic documents with the Board.

- Shaded boxes represent the steps of the process outlined in this section.
- White boxes represent inputs and outputs as they flow from each step.



Step 1. Create

Process

You should prepare your submission in the same manner as you would if filing on paper. You are free to create documents in any format using any software/system. Step 1 is complete when the final version of the document(s) is ready. Proceed to Step 2.

Guidelines

The following are some best practices to consider when creating documents to be converted to PDF.

Note: Any document that can be printed can also be processed and converted to PDF.

- Use fonts supported on a standard Windows installation such as Arial and Times New Roman;
- Start key sections/chapters of large documents on a new page. This will facilitate cutting large PDF files into smaller pieces to meet guidelines outlined in 2A – Produce PDF.
- Advise third parties creating documents on your behalf to produce, in addition to the source format, a PDF version that meets or exceeds the guidelines outlined in 2A – Produce PDF.



Step 2. Produce

Process

1. Review documents to be filed to ensure they are eligible for electronic submission. (See Section 2, Documents to be Submitted Electronically)
2. Produce two formats of the final document(s)²
 - A. a PDF file for e-filing; and
 - B. a Hard Copy (paper) for the record
3. Perform Quality Assurance and Paper Consolidation
 - 3.1. Check for completeness
 - Ensure filing is complete and all documents are accounted for (e.g., cover letter, appendices, etc.)
 - Ensure PDF version is a true representation of the official paper version. (See 2A Produce PDF)
 - 3.2. Check e-filing for technical completeness
 - Ensure electronic files are PDF
 - Ensure that PDF meets the minimum guidelines. (See 2A Produce PDF)

You are now ready to Submit your electronic files. Proceed to Step 3.

Step 2 A. Produce PDF

The National Energy Board has implemented Portable Document Format (PDF) as its standard electronic document format. PDF is the file format developed by Adobe Systems. Adobe Acrobat/Distiller is the software that lets you convert any document into a PDF file while preserving its original appearance and making it accessible for viewing and printing on virtually any system. **Please use Adobe Acrobat version 4.0 or higher**, Distiller comes with it.

For more information or assistance please consult the online help that comes licensed with Adobe Acrobat or access the Adobe site www.adobe.com for links to training, trouble shooting, customer support and other references. You may also wish to involve your organization's help desk or IT staff. **Note:** the Board will not provide support.

² If a document cannot be converted to PDF as per the minimum guidelines (e.g., large maps) you **MUST** file the requisite number of hard copies.



Guidelines when converting Electronic documents to PDF

The following are best practices to keep in mind when producing a PDF document to be viewed online.

Note: many of these recommendations have been incorporated into the `neb.joboptions` file used to configure Distiller. Download the `neb.joboptions` file from the NEB web site under Submit a Document. Assuming a default installation, save the `neb.joboptions` file to `\Program Files\Adobe\Acrobat\Distillr\Settings`. The NEB Preferences will now appear in the Job Options list of Distiller. These are minimum requirements only, feel free to optimize to the specific needs of your document.

- DO print to a postscript file and process the file using the Distiller component of Adobe Acrobat rather than printing to Adobe Acrobat or using the PDFMaker from a MS Office application (e.g., Word, Excel, PowerPoint). This will ensure consistent results and files that meet Board specifications if the NEB job option is selected.
- DO make your PDF file *Acrobat 4.0 (PDF 1.3)* compatible. This will help ensure your documents can be viewed by users with older versions of the Adobe Acrobat Reader.
- DO *Optimize for Fast Web View* to minimise file size and facilitate page-at-a-time (byte-serving) downloading
- DO *Embed Thumbnails*
- DO set *Resolution* to 300 dpi
- DO set *Compression* for images. A setting of *600 dpi* at *Automatic* and *Medium Compression* is recommended unless another setting is preferable to optimise file size while ensuring legibility of image.
- DO *Compress Text and Line Art*
- DO set *Color Management Policies* to *Convert all Colors to sRGB*, unless another setting is required to ensure accurate representation.
- DO create *Bookmarks* for documents that have a Table of Contents (TOC). The bookmarks should mirror the TOC items included in a file. In the case of a document broken into multiple files, each file would have bookmarks to reflect its content as per the TOC. Please consult the Acrobat Help on how to create bookmarks.
- DO strive to keep individual file size under 2-3 MB. Documents larger than 5 MB will be rejected. You may cut a document into multiple files to reduce file size. Exceptions will be made when sectioning is not an option e.g. images, maps.
- AVOID using the following characters in file names: ` ~ ! @ # \$ % ^ & * () + = [] { } ; : ' , ? | " /
- DO NOT *Embed Fonts* unless you feel it is necessary, as this will create a larger file.
- DO NOT activate any security settings as this will interfere with systems for the visually impaired and effect accessibility.
- DO NOT link to external sites or to other documents in the filing, as the Board cannot ensure link integrity. Linking inside a given document is optional.
- DO NOT produce a PDF if it cannot be legible output to Ledger/Tabloid size (11" X 17") or smaller, or if it is not sufficiently legible due to resizing or low resolution (below 300 dpi). Please file such documents in paper-only³. You will be asked to identify such documents in the online form (see Step 3).

³ If a document cannot be converted to PDF as per the minimum guidelines e.g. large maps, you MUST file the requisite number of hard copies.



Guidelines when converting Paper documents to PDF

While the preference is to produce a PDF file from an electronic source, this is not always possible. When only a hard copy is available, scanning technology can be used to convert paper documents to PDF.

Note: please ensure that you are authorized to reproduce the document as per the *Copyright Act*.

There are many software products and service providers who can help you convert a paper document into a digital format. The software products used are generally called scanning or imaging software. In short, the scanner takes an electronic “photocopy” of the document while the scanning software produce an electronic image (e.g., TIFF, image-only PDF, etc.). *Note:* The recommended scanning resolution for documents with font type size greater than 6 point is 300dpi.

The second step called optical character recognition (OCR) is required to make the document searchable. OCR software, such as ScanSoft OmniPage or Adobe Capture, is required to take the scanned image and interpret the dots that make up the letters in each word to recreate the text. *Note:* it will not recognize handwriting. The quality of the resulting text is a function of the quality of the paper document, as well as the scanning and OCR software.

There are different “flavors” of PDF that can be produced from a scanning and most require OCRing. Consult <http://www.adobe.com/products/acrcapture/pdfs/aacflavors.pdf> for more information. Please use the following guidelines to generate a PDF from a paper-only source.

If your document contains...	Then produce PDF of this flavor...	Comments
Combination of text and images	PDF Searchable Image Compact or Exact (formerly PDF Image+Text)	Requires OCR software Document will have image for legal accuracy and searchable “hidden text”
Image only	PDF Image Only	Does not require OCR software Content will NOT be searchable



Step 2 B. Produce Hard Copy

Although the Hard Copy is filed with the Board AFTER the electronic submission, you should decide how the Hard Copy will be produced PRIOR to producing the PDF. As a best practice, select one of the two following processes to ensure the Hard Copy is identical to the PDF:

1. Create PDF file from the electronic source file (e.g., Word) and then print PDF to produce hard copy; OR
2. Print from the electronic source file (e.g., Word) to produce hard copy and then “print to file” (best results when using the same print driver on the same computer) to produce a Postscript file which can be processed by Adobe Distiller.

Number of hard copies to produce for Step 4:

Applicants must provide the following number of hard copies of their filings to the National Energy Board, unless instructed otherwise.

For PDF documents in electronic submissions	File only one (1) hard copy with the Board. This is a benefit of filing documents electronically.
For documents identified as paper-only in the electronic submission (i.e., documents that could not be converted to PDF as per the minimum guidelines e.g., large maps, see Step 2B)	File twenty-five (25) hard copies with the Board
For documents not filed electronically or received by the Board without a filing receipt	File twenty-five (25) hard copies with the Board



Step 3. Submit PDF Filing

All electronic filings must be done via the online form provided on the NEB web site. This form uses Secure Socket Layer (SSL) software to ensure that information is protected when transmitted to and from the Board. While PDF files are not particularly prone to viruses and the Board has a program that detects viruses, we count on your vigilance as well. Please scan your files before sending them to the Board.

Process

1. Go to the Board's web site <http://www.neb-one.gc.ca> and click on *Submit a Document* from the menu
 2. Click on the link *Submit Documents Electronically*
 3. Complete the form as per the instructions on the screen (see Annex A). Steps include:
 - Acknowledging a privacy statement
 - Identifying yourself
 - attaching PDF files. **Note:** ensure files are on an accessible drive when you make your submission. You can add up to 50 files per submission. Each file cannot exceed 5 MB in size.
 - identifying paper-only documents. **Note:** electronic placeholders will be generated so users are aware of the complete contents of the submission. You can reference up to 50 paper documents. See Step 2B for more information on mixed-media filings.
 - Confirming your submission
 4. An on-screen acknowledgement will appear. **Note:** this is NOT a receipt.
 5. You should receive two e-mails at the address that you specified in the form within minutes of having completed the on-line form acknowledging the receipt of your submission.
 - The first e-mail provides key information about your submission such as the list of documents filed and a permanent hyperlink⁴ (URL) to your submission. **Note:** a receipt is generated and included as a part of your filing on the NEB web site.
 - The second e-mail provides important instructions that you must follow to complete the e-filing process (see Annex C).
 6. Follow the link to your submission and print the receipt (see Annex B) for use in Step 4.
- Your electronic submission is now complete and immediately available in the Public Inbox. Proceed to Step 4.

Important: In the event that the repository is not operational, parties may submit electronically by filing a diskette or CDROM to the Board along with the Hard Copy. However in the event parties also contemplate effecting service of the document with a notification, parties will need to allow 2-3 days for the document to be posted to the NEB web site on their behalf before providing service in this manner (see Step 5).

⁴ Your filing will remain in the Inbox until your Hard Copy is received. At that time, the filing will be catalogued and moved to the appropriate folder under the View Regulatory Documents Index. Whether the filing is in the Inbox or its final destination folder it will be accessible and can be located using the URL identified in the receipt.



Step 4. Submit Hard Copy

You must print the electronic filing receipt (see Annex B) that was generated by the system and saved with your submission. Sign the receipt and enclose with your hard copy document(s), the receipt should be on top and clearly visible. **Note:** If the receipt is not enclosed you will be asked to provide the requisite 25 hard copies, as if you had not filed electronically.

Hard Copy Checklist

Please ensure that the Hard Copy is submitted to the Board within 3 working days of your electronic submission.

- Is the receipt on top?
- Is the filing complete as per the Filing Receipt?
- Are the requisite number of copies enclosed?

Once the Board receives your hard copy, your electronic filing will be catalogued and moved from the Inbox to the relevant folder. **Note:** the link from the receipt will continue to work.

Filing Date

The filing date is the day on which the Board first receives the submission by one of the following methods:

- Electronic, by way of the Electronic Submission Form on the NEB web site
- Hard Copy, by mail, courier, telex, or fax addressed to the Secretary
- Hard Copy hand delivered to a hearing officer during a hearing

In other words, the date of filing is the date that the Board receives the document from the person filing it.

Regardless of the filing method, a document that is received by the Board after regular business hours, which are from eight o'clock (8:00) a.m. to four thirty o'clock (16:30) p.m., Mountain Standard Time (MST), shall be considered to be filed on the next business day.

Important – If you are filing during a Oral Hearing

If you submit a document less than five days prior to the commencement of an oral hearing, you must bring to the hearing a hard copy of the document for the Board and, if service of the document is required, copies for any party present. This is required even if you have filed electronically.



Step 5. Notify/Serve Parties

“Service” means serving interested persons with either physical hard copies of documents or, in the circumstances outlined below, with a notification. Service may be effected with a notification.

“Notification” means providing, to a person who is to be served with a document, a notice that the document has been filed with the Board’s repository.

Guidelines

The responsibility for service rests with the person filing the document. Service of a document will be satisfied by:

- (a) serving a copy of the document; or
- (b) where the document has been submitted electronically and the party to be served has indicated that it has the capacity to access the repository, serving a notification that the document is available for retrieval from the NEB web site. *Note*: the email acknowledgement you received when you made your submission may be used for notification purposes.

Such service may be effected by any of the means of service provided for in the *National Energy Board Rules of Practice and Procedure, 1995*.

Service of a document by serving a notification is only permitted where the party to be served has indicated to the Board and/or the party effecting service that it has the capability to access documents through the repository. Such indication will typically be sought at the time parties file an intervention; where a list of parties is available it may document this preference. **In all other cases, service of hard copies of the document(s) is required.**

Important: The Board advises filers to exercise caution when using e-mail for service of documents or notification, as it may be difficult to establish that service has occurred.

Notification Checklist

Before effecting service through Notification, ensure that:

- your submission is accessible using the URL identified in the email acknowledgement
- you have confirmed that the party to be served with Notification has indicated that it has the capability to access documents in the repository
- you will be able to satisfy the Board that service of the notification was effective



Annex A – Electronic Document Submission Form

Overview

Use this form to submit electronic regulatory documents to the Board.

Important: You will still need to send us one hard copy with a signed copy of your filing receipt which will be generated with this form. Once filed, your submission will be immediately available in the InBox on the National Energy Board's web site. The NEB will process your submission once it receives your hard copy and signed receipt.

Submitting your request on-line is an eight step process:

1. Acknowledge Privacy Statement
2. Project Information
3. Submission Information
4. Contact Information
5. Electronic Documents
6. Paper Documents
7. Courtesy Copies
8. Confirm the Submission

* Fields marked with an asterisk are mandatory.

Privacy Statement

Step 1 of 8

The Board, as a quasi-judicial tribunal, is authorized to collect and use personal information in the context of an NEB Proceeding as set out in the NEB Act. The Board will collect, use and disclose that information for the purpose of the Proceeding.

Please note that, under the federal [Personal Information Protection and Electronic Documents Act](#) (PIPEDA), the [Regulations Specifying Publicly Available Information](#) state that personal information, as defined in PIPEDA, that appears in a record or document of a quasi-judicial body is publicly available provided that the collection, use and disclosure of that personal information relate directly to the purpose for which the information appears in the record or document. Personal information in a quasi-judicial record or document may therefore be considered public for the purpose of collection, use and disclosure without consent under section 7 of PIPEDA.

Project Information

Step 2 of 8

*Project Name:

Company Name:

Hearing Order Number:

Cancel

Submission Information

Step 3 of 8

The title you enter here will appear on the NEB's web site and is subject to the Access to Information Act and the Freedom of Information Act.

*Title:

Enter the name of the person or organization submitting this on behalf of the organization.

*Filer:

*Role:

Contact Information

Step 4 of 8

*Name:

Title:

Organization:

*Address:

*City:

*Province:

*Telephone: () -

*Email:

Check box to save contact information so it appears automatically next time you use the form. (Your browser must be set to accept [cookies](#))

Cancel

Electronic Documents

Step 5 of 8

You can add up to 50 electronic documents per submission. Only PDF documents are accepted. Please add documents in the order you wish them to appear, e.g. start with the cover letter and end with the appendices. If necessary, you can re-order your documents after you add them.

1 Document:

Document Type:

Document Date: 22 November 2004 Language:

Name (Optional):

Previous

Next

Cancel



Paper Documents

Step 6 of 8

You can add up to 50 paper documents per submission. A placeholder will be created for each paper document you add. Please add papers in the order you wish them to appear, e.g. start with the cover sheet with the appendices. If necessary, you can re-order your papers after you add them.

1 Document

Document Type:

Document Date: 22 November 2004 Language:

Name (Optional):

Courtesy Copies

Step 7 of 8

You can identify up to 10 courtesy copies per submission. A copy of the receipt for this submission will be sent to each party you identify. If you do not want to send any courtesy copies, click Next.

Add

Next Cancel

Confirmation

Step 8 of 8

Confirmation required.

You are about to submit your filing to the National Energy Board.

A preview of how your filing will appear is shown below. Use the links provided to make any corrections before you submit your filing.

04-11-22 Jim Smith - Sample Filing ([Edit](#))

Letter ([Edit list of electronic documents](#))

Application

Please Wait

Your submission is being processed. This page will update automatically once processing is complete. Please do not use your browser's stop or back button.

Processing time depends on the size of your submission.

- 1-5 documents - up to one minute
- 5-10 documents - up to 5 minutes
- 10-25 documents - up to 10 minutes
- 25-50 documents - up to 15 minutes

Thank you for choosing to E-file.

Thank you

The National Energy Board has received your submission. Your Filing Id is: **T70167**

You can view your submission on the National Energy Board's Web site by [clicking here](#).

Important:

To complete the e-filing process you must now:

1. Produce one paper copy of each electronic document you submitted
2. Produce 25 copies of those items identified as paper-only
3. Print, read, and sign the [filing receipt](#) which is available as part of your submission
4. Send all of the above items to the National Energy Board within three (3) working days

Note:

An acknowledgement of this submission has been sent to:

- Some Body someone@somewhere.com

For more information about the National Energy Board's electronic submission process, please consult the [Filers Guide to Electronic Submission](#).



Annex B – Example of Receipt

Email acknowledgement containing link to receipt

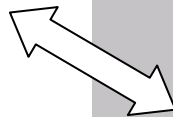
From: Secretary@neb-one.gc.ca CC: [redacted]
 To: Filer BC: [redacted]
 Subject: T12345 - Company ABC - Example Filing

Message: La version française suit le texte anglais.
 The National Energy Board acknowledges the receipt of filing T12345
 This filing can be viewed at:
<http://www.neb-one.gc.ca/fetch.asp?language=E&ID=T12345>

.....
 FILING INFORMATION (as supplied by the submitter):
 Project: Project ABC
 Submitter: Company 123
 Title: Example Filing
 Date: 2002/05/14, 5:32 PM MDT
 NEB File Number: 9999-A000-1
 Hearing Order: XX-111-2002

.....
 LIST OF DOCUMENTS:
 A0A0A0 - Sample Letter
<http://www.neb-one.gc.ca/fetch.asp?language=E&ID=A0A0A0>
 A0A0A1 - Receipt
<http://www.neb-one.gc.ca/fetch.asp?language=E&ID=A0A0A1>

NOTE:
 This message can be forwarded to others as a courtesy or to parties agreeable to Notification in Lieu of Service.



FILING RECEIPT

The National Energy Board
 444 Seventh Avenue SW
 Calgary, Alberta
 T2P 0X8

Filing ID: T12345

Filing Date: 2002/05/14, 5:32 PM MDT
 *Mountain

Submitter Information:

Role: Other

Filer: 123 Street
 Title: City, Province
 Company 123: Country
 Postal Code

email@somewhere.com
 Telephone: (555)123-4567

Filing Information:

Project: Sample Project Title
 Submission Title: Example Filing
 NEB File Number: 9999-A000-1- Hearing Order: XX-111-2002
 Additional Contact(s):
email2@somewhere.com

Electronic Documents in this submission:

ID	Document Type	File Name
A0A0A0	Letter	myLetter.pdf

Paper Documents in this submission:

Note: an electronic placeholder will be generated for each paper-only document.

ID	Document Type	File Name
----	---------------	-----------

Acceptance of Submission/Responsibility

I understand the terms and conditions of submitting electronic documents with the National Energy Board. I waive copyright for use by the NEB and third parties of documents contained in this submission only for the purpose for which the information was provided.

I hereby certify that I have electronically submitted the above documents to the National Energy Board. I also certify that the paper submission attached hereto is complete and contains accurate renditions of the electronic documents listed above and, where applicable, the requisite number of hard copies for each paper document listed above.

Signature _____

Date _____



Annex C – Example of email noting Important Instructions

From:	Secretary <secretary@neb-one.gc.ca>	CC:		
To:	Some Body <somebody@somewher(...)>	BC:		Send
Subject:	Important instructions regarding Filing T70192			
Message:	<p>Thank you for submitting your documents electronically. Your submission can be viewed at: http://www.neb-one.gc.ca/fetch.asp?language=E&ID=T99999</p> <p>IMPORTANT: To complete the e-filing process, you must now:</p> <ol style="list-style-type: none">1. Produce one paper copy of each electronic document you submitted2. Produce twenty-five (25) copies of those items identified as paper-only3. Print, read, and sign the filing receipt, which is available as part of your submission at: http://www.neb-one.gc.ca/fetch.asp?language=E&ID=Z9Z9Z84. Mail all of the above to the National Energy Board within three (3) working days <p style="text-align: center;">National Energy Board 444 Seventh Avenue SW Calgary, Alberta T2P 0X8</p> <p>For more information about the National Energy Board's electronic submission process, please consult the Electronic Filing Guide. http://www.neb-one.gc.ca/file/guide_e.pdf</p> <p>Thank you.</p> <p>Secretary of the Board</p>			 Cancel Address Attach