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Filing Online User Guide

Postal Rate Commission
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Chapter 1: Getting Started

1.1 Introduction

The Commission's electronic filing system is referred to as *Filing Online*. It may be accessed through the *Filing Online* link at www.prc.gov. The Commission does not accept documents for filing via e-mail except for comments filed under rule 20b. See Appendix D. The Commission's Rules of Practice are available on the Contents Page of the website at www.prc.gov.

1.2 Compatibility

Filing Online is designed to be compatible with most commonly-used web browsers, computer operating systems, and word processing software. The basic uploading and downloading functions provided by *Filing Online* are available to Account Holders that use any recent edition of Internet Explorer, Netscape, or AOL web browsers, the Windows or Mac operating systems, and Word or WordPerfect word processing software. The Commission recommends that all Account Holders download and use the most recent version of Adobe Acrobat Reader to view documents downloaded through *Filing Online*. Adobe Acrobat Reader may be downloaded free of charge at www.adobe.com.

Those seeking to use *Filing Online* to file documents with the Commission should go to the Login Page and click on the System Requirements Page to determine whether their computer system is among those that have been tested and found likely to be

compatible with the *Filing Online* system. The System Requirements are also included in this guide as Appendix A.

The Commission's Daily Listing page has available batch download and batch printing functions as well. Batch download is available to users running Windows with Internet Explorer. Batch printing is available to users with Internet Explorer or Netscape. These enhanced features are not available to Mac users. See Appendix A.

1.3 Security

Filing Online is secured by Secure Sockets Layer (SSL) protocol. All transmissions between users' browsers and the Commission's web server are encrypted. The Commission supports 128-bit encryption, the same level recommended for web-based financial transactions. The Commission has obtained a certificate through Entrust for verification.

As an added precaution Account Holders are advised to periodically change their password to avoid unauthorized access to their account. Also Account Holders should notify the Commission immediately if they believe an unauthorized person has gained access to their User Name and Password. Principal Account Holders should periodically review their Profile Page to ascertain that their authorized Agent designations are current.

The Commission is committed to achieving and maintaining the highest level of security for *Filing Online*. Anyone aware of actual or potential threats to the security of the system should notify the Commission's Chief Administrative Officer immediately.

1.4 Applying for an Account

Persons representing a participant in a Commission proceeding must become an account holder in order to file documents with the Commission. See Rule 9. Information on the different types of accounts available and applications to become an account holder are available on the Need an Account Page. The Application to become a

Principal or Agent account holder is included as Appendix B to this User Guide. This application should be completed and signed by the account holder and mailed or hand-delivered to the Secretary of the Commission, 1333 H Street, NW, Washington, DC 20268-0001. For expedited filing of certain documents, a temporary account can be obtained online. Temporary accounts are discussed in further detail later in this section.

Filing Online allows for 2 types of permanent accounts: Principal accounts and Agent accounts. It also allows for Temporary accounts. Principal Account Holders are those who represent themselves or clients before the Commission. They take responsibility for ensuring that filings submitted through their accounts are authentic, accurate, and authorized by the participant for whom they have been filed. Agent Account Holders are those to whom Principal Account Holders have delegated their authority to file documents with the Commission. A Principal account holder can also delegate another Principal account holder their authority to file documents.

When the Commission accepts an application to become a Principal Account Holder, the account holder assumes a contractual duty to ensure that each document that he or she files online is authentic, accurate, and authorized by the participant that the account holder represents. This duty is established by the Commission's subscription rule [39 CFR § 3001.11(e)]. Under § 3001.6(c), the Account Holder must notify the Commission if authority to represent a particular participant ends.

The Secretary will assign the new Principal and Agent account holders a user name and temporary password and deliver them by e-mail. The e-mail will instruct the new account holder to immediately access the Profile Page through the Commission's *Filing Online* link and create a new password. The new password and all files subsequently submitted using the new password, will be transmitted to the Commission's server over an encrypted channel. The account holder will be encouraged to take the added precaution of periodically changing the password, which can be done on the Profile Page. These procedures will keep the password-protected material in each account holder's dedicated user area on the Commission's server secure. Principal account

holders are also encouraged to periodically review their authorized Agent list for accuracy.

By submitting a document for filing under the Principal Account Holder's user name, the Principal Account Holder vouches for the accuracy and authenticity of that document. This procedure will dispense with the need to sign individual documents that are filed online. See Rule 11(e). Because the Principal Account Holder vouches for the accuracy of the document being submitted, Agent Account Holders will not be able to file a record until they indicate which Principal Account Holder authorizes that filing. In the same way, an interrogatory answer submitted to the Commission for filing under an account holder's user name will dispense with the need for the witness to attest to the accuracy of the answer. Attestation will not be required until the interrogatory is offered as record evidence. See Rule 26(b).

A temporary account can be obtained online immediately. The application for a temporary account can be found online at the Need An Account Page. It expires after 10 days.

A temporary account may only be used to file two categories of documents. The first category is notices of intervention. The second category of documents is comments that have been solicited by the Commission in informal inquiries, or rulemaking proceedings. A temporary account holder who intends to participate in a proceeding on an ongoing basis is urged to apply for a permanent account as soon as possible.

Informal comments submitted by persons under Rule 20b do not need to be submitted through Filing Online. A statement of this nature may be submitted as a hardcopy letter mailed to the Secretary at 1333 H Street, NW, Suite 300, Washington, DC 20268 or an electronic message entered on the form provided for this purpose under the "Contact Us" link on the Commission's website, www.prc.gov.

Chapter 2: Filing Online - General Requirements

2.1 When to File

The same filing deadlines that apply to paper filings also apply to electronic filings. Electronic filings must be received by 4:30 p.m. Eastern time in order to be accepted as filed on that day. Documents received after 4:30 p.m. will be considered as filed the next business day.

2.2 Before You Login

2.2.1 What Must be Filed Online

The filing of written documents in proceedings before the Commission shall be made using *Filing Online* at the url: www.prc.gov, unless a waiver is obtained. See Rule 10(a). If a waiver is obtained, a hardcopy document may be filed either by mailing or by hand delivery to the Office of the Secretary, Postal Rate Commission, 1333 H Street, NW, Suite 300, Washington, DC 20268-0001 during regular business hours, and served as required by Rules 10(b) and 12(d).

The Commission does not accept filings via e-mail, except comments filed under Rule 20b.

2.2.2 Filing Record

Documents to be submitted using *Filing Online* should be prepared in the same manner as hardcopy filings. Each named document is associated with a separate record in the system. Each named document must have a separate procedural purpose and a separate Filing Record. For example, a Motion for Late Acceptance of a specific interrogatory response is a named document. The interrogatory response itself is a separate named document. Do not file them in the same Filing Record. A Filing Record consists of a named document and all attachments.

2.2.3 Documents to be Filed in Two Forms.

Formal rate and classification Requests filed by the Postal Service will be filed both electronically and in hardcopy form. Copies of such Requests will be provided to intervenors in a case and to the Commission.

Commission Opinions and Recommended Decisions will be made available via the Commission's website and will be mailed to all intervenors on the service list in a particular docket.

In order to provide flexibility for exhibits that cannot be digitized and submitted online, Rule 30(e)(3) allows for cross-examination exhibits to be filed in one of two ways. Cross-examination exhibits can be filed either online or by providing them to counsel for the witness in hard copy form. Regardless of the filing method used, cross-examination exhibits must be filed two calendar days before the scheduled appearance of the witness.

2.2.4 Library References, Designations and Workpapers

Library References. The filing of Library References is covered by Rule 31(b)(2)(iv). This rule requires the filing of a Notice itemizing all parts of the specific library reference and any documentation supporting those materials. The Notice must be submitted using *Filing Online*. *Filing Online* may not be used for submitting the library reference itself to the Commission. As required by Rule 31(b)(2)(viii), participants must submit

simultaneously two tangible copies of the library reference and any associated documentation, which shall include file names and corresponding descriptions of file contents, and shall identify the applications necessary to execute the files.

Designations. The filing of designations of written cross-examination is covered by Rule 30(e)(2). This rule requires the filing of a Notice of these designations at least three working days before the witness is scheduled to appear for oral cross-examination. The notice must be filed using *Filing Online*. The rule also requires that two hard copies of the designations shall be simultaneously submitted to the Secretary of the Commission.

Workpapers. The filing of workpapers in support of a Postal Service formal request is governed by Rule 54(o). This rule requires the filing of workpapers in hard copy form. Workpapers cannot be filed using *Filing Online*.

2.2.5 Documents Filed Under Seal

All documents filed via *Filing Online* are available to the public. Documents filed electronically will appear, upon acceptance, on the Daily Listing Page of the Commission's website. **Documents containing confidential, privileged, or protected information should not be filed using Filing Online.** Documents containing such material should be filed with the Commission either by hand delivery or mail. Such documents should be placed in a sealed envelope clearly marked "Under Seal." See Rule 31a. The Notice required by Rule 31a should be filed through *Filing Online*. Certifications requesting access to materials provided under protective conditions must be signed and filed in hard copy form.

2.2.6 Host Document

Every Filing Record must have a coherent Host Document. The Host Document must be a single document that reads continuously from beginning to end and is in text-based PDF form. It can be produced in a text-based PDF form on either the account holder's personal computer using standard software such as Adobe Acrobat, or by utilizing the "Create PDF" button on the Commission's website. See the Creating and

Assembling PDFs section. The following file formats can be converted to text-based PDF utilizing the Commission's website: Word (.doc), WordPerfect (.wpd), Rich Text (.rtf), Text (.txt) and Postscript.

A Filing Record may consist of a set of files. One of the files must be selected to serve as a Host Document. The remaining files in the set are considered Attachments. Attachments are files that are intended to supplement, but remain separate from, the Host Document. The Host Document must reference all Attachments and describe them. If Excel-based tables or figures are inserted into the Host Document, or intended to be a part of the Host Document as appendices, they should not be submitted as separate files, but as a single PDF file. The Commission's 'Create PDF' and 'Assemble PDFs' functions can be used to construct the Host Document from individual files. Participants are encouraged to submit native versions of Attachments (i.e. charts, tables, worksheets). Attachments can be uploaded and included with the Filing Record.

2.2.7 File Format Requirements

The following summarizes the format requirements for the *Filing Online* system:

- Host Documents and other word processing-based files -- must be submitted as text-based pdf files, and may be submitted as native files as well
- Files that are not word-processing based (spreadsheet, computer language, scanned files, etc.) -- must be submitted as native files if attached to a Host Document, and may be submitted as text-based pdf files as well
- Scanned pdf files must be designated as such at the time they are submitted

2.2.8 File Naming Conventions

For general recognition purposes, a file name should be descriptive of the document being filed, i.e. USPSBrief. Should a participant wish guidance in the development of file

names, the file naming conventions used by the Commission are available in the online Help section and as Appendix C. Long file names can be used, provided they do not exceed 40 characters and do not contain spaces. File names should be concise and abbreviated. **Always include the appropriate file name extension (i.e. .doc; .wpd; .xls).**

2.2.9 Filing Deadlines

The same filing deadlines that apply to paper filings also apply to electronic filings. See When to File.

2.2.10 Deferred Filing

The Create Filing Record Page contains an option for deferring the filing of a document for a period of up to 7 days. This option allows the user to create the record and upload the files and notify the Commission's server to submit the filing on a specific date up to 7 days after the creation of the record. The user may choose an 8:00 a.m. or 12:00 p.m. filing time. The default filing time is 8:00 a.m.

2.2.11 Account Holder Requirement

In order to access *Filing Online* you must be an Account Holder and have a User Name and Password. **If you are not an Account Holder**, you may become one and receive a Permanent User Name and Password by completing the Account Holder Application which appears on the Need An Account Page of *Filing Online*, and as Appendix B to this guide. Completed applications should be signed by the Account Holder and mailed or hand delivered to the Secretary of the Commission, 1333 H Street, NW, Washington, DC 20268-0001.

Temporary Accounts are available for expedited filing of two categories of documents. The first category is notices of intervention. The second category of documents is comments that have been solicited by the Commission in informal inquiries, or rulemaking proceedings. A temporary account holder who intends to

participate in a proceeding on an ongoing basis is urged to apply for a permanent account as soon as possible. Temporary accounts expire in 10 days. See *Applying for an Account*, Chapter 1.

2.2.12 Document Alert!

Through Document Alert you can arrange to receive e-mail notice for documents filed with the Commission. You can receive notification by creating customized Rules in the Document Alert system. The Document Alert function is accessed through the Contents section or the Daily Listing Page of the Commission's website. *Filing Online* Account Holders can also access the Document Alert system through the Welcome Page.

Document Alert allows you to specify the categories of documents for which you will receive notice by creating 'Rules' that identify the categories of documents that you wish to monitor. The Rules that you create may include any combination of criteria. The more criteria included, the fewer documents that will satisfy a Rule. Only documents meeting ALL criteria within the Rule will be included in the notice. For example, if only the Docket is specified, notice is sent if any filings in that Docket are posted. If the Docket and Document Type are specified, a notice is triggered only if filings are posted in that Docket and of that Document Type are posted.

E-mail notices are sent when the Daily Listings Page is completed. The e-mail message automatically includes a link to the Daily Listing Page of the Commission's website. If you wish to have a hyperlink to the document included with your e-mail you should select 'Hyperlink Options' and choose the option you prefer. The Hyperlink Option you choose will apply globally to all of your Rules.

If you wish to be notified immediately that a certain kind of document has been filed you can include the 'ImmediateNotify' criterion in the Rule. Every 30 minutes the Commission's server will identify documents that satisfy ImmediateNotify criteria and send an appropriate e-mail. Immediate notification e-mails automatically include links to

the documents specified by your Rules. Caution: selecting ImmediateNotify of a general document type could generate a large number of e-mails on a heavy filing day.

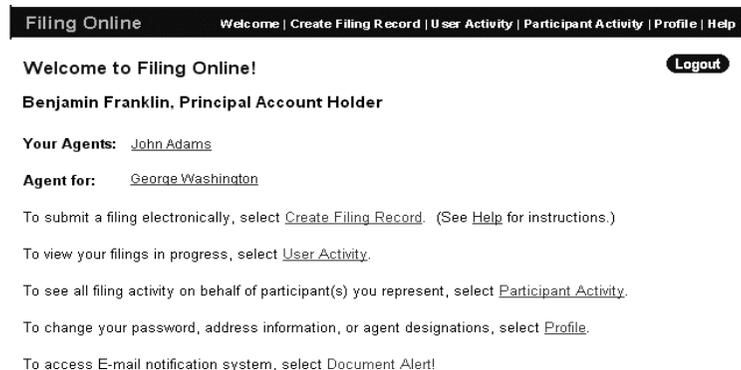
Chapter 3: Filing Online - Specific Procedures

If you are an Account Holder, you access *Filing Online* by clicking the *Filing Online* tab on the PRC banner at www.prc.gov. Enter your Username and Password and click 'Login.'

If you are not an Account Holder, you can become either a Temporary or Permanent Account Holder by going to the Need An Account Page from the Login screen. For more information on the types of accounts available see Section 1.4.

3.1 Welcome Page

Once Account Holders have successfully logged in, the user reaches a Welcome Page that contains simple instructions for using *Filing Online*. The Welcome Page allows the user to choose from the various options available: 'Create Filing Record', 'User Activity', 'Participant Activity', 'Profile', 'Document Alert!' and 'Help.'



The screenshot shows the 'Filing Online' welcome page. At the top, there is a navigation bar with 'Filing Online' on the left and 'Welcome | Create Filing Record | User Activity | Participant Activity | Profile | Help' on the right. Below the navigation bar, the text reads: 'Welcome to Filing Online!' followed by a 'Logout' button. The user's name, 'Benjamin Franklin, Principal Account Holder', is displayed. Under 'Your Agents:', 'John Adams' is listed. Under 'Agent for:', 'George Washington' is listed. Below this, there are five lines of instructions, each with a link: 'To submit a filing electronically, select [Create Filing Record](#). (See [Help](#) for instructions.)', 'To view your filings in progress, select [User Activity](#).', 'To see all filing activity on behalf of participant(s) you represent, select [Participant Activity](#).', 'To change your password, address information, or agent designations, select [Profile](#).', and 'To access E-mail notification system, select [Document Alert!](#)'.

3.2 Create a Filing Record

Account Holders can begin the process of submitting a filing by selecting the 'Create Filing Record' link to access the entry screen.

Filing Online Welcome | Create Filing Record | User Activity | Participant Activity | Profile | Help

Create Filing Record **Logout**

Docket No: *If not listed, specify in comments below.*

Authorized By:

Filing Party: *Check all that apply. If not listed, specify in comments below.*
 OCC - Office of the Continental Congress
 TMA - Tea Manufacturer's Association

Document Title: *Please enter the exact title of the Host Document.*

Host Document and Attachments: *A PDF of the Host Document (that is not scanned) must be included in the filing.*

Comments for Dockets Staff: *Any comments submitted are not a part of the filing and will only be viewed by the Dockets Staff.*

Defer Filing: No deferral Defer until *The document will be held for processing until the selected day and time.*

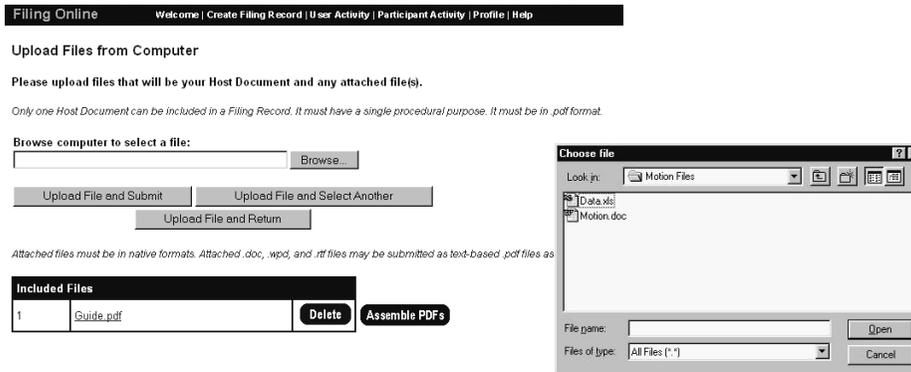
The Filing Record can be completed in a few simple steps:

- Select the Docket Number from the pull-down list. If the Docket Number is not listed, enter it in the comments field. If the document is to be filed in more than one docket, select one docket from the pull-down list, and enter the additional Docket Number(s) in the comments field. **Be certain that the Docket Number you enter on the screen agrees with the Docket Number in the file you are submitting.**
- Select the name of the person authorizing the filing from the pull-down list. Agent Account Holders must choose the Principal Account Holder who authorized the filing before the filing can be completed.
- Identify the appropriate filing party. Be sure to check all parties that apply to this particular document. The list of filing parties includes parties on whose behalf the Account Holder has previously filed documents and parties represented by Principal Account Holders for whom he or she is an Agent. **If a filing party is not listed, it should be entered in the space for comments.** Account holders are

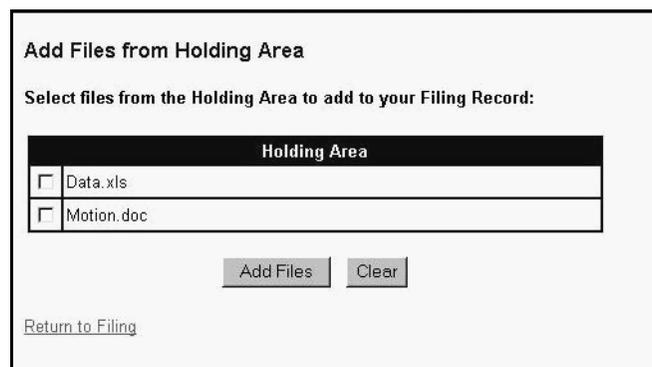
required to inform the Commission when they end a representational relationship. See Rule 6(c).

- Enter the title of the Host Document **exactly** as it appears on the first page of the filing. When naming a document, keep in mind that the title field is limited to 255 characters. the title can be cut and pasted from the actual document. See Help, Preparing a Filing, for more information on cutting and pasting titles. A Host Document is one that references all other files in the record and describes them (as attachments, exhibits, workpapers, etc.). The Host Document must be in text-based PDF form and be a single file that reads continuously from beginning to end. See Creating and Assembling PDFs.
- The date on your document should reflect the date of filing with the Commission. Documents filed after 4:30 pm are considered filed the next business day and should be dated accordingly.
- Deferred Filing allows the user to complete the filing record and defer submission for up to 7 days. To use this option select “Defer Until” and specify the date and time the document should be submitted to the Commission. The default filing time is 8:00 a.m.
- The ‘Comments for Dockets Staff’ field can be used to identify additional docket numbers, additional filing parties, or other pertinent information concerning the filing of that document. If the PDF that is being provided with the filing record is a scanned PDF, that fact should be noted in this section. The comments in this field are not official comments in any proceeding, and are viewed only by the Commission’s Administrative Staff. Comments in this area are not published with the document.

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- Clicking 'Upload Files from Computer' allows the Account Holder to take the electronic file containing the Host Document and any Attachments and include them in the Filing Record. Attachments must be submitted in native format. The Commission encourages participants to submit any attachments that are word processing files in text-based PDF format as well. The Host Document must be a text-based PDF, and be a single file that reads continuously from beginning to end. See Creating and Assembling PDFs. Clicking the 'Browse' button allows the user to find the file on local mapped drives. Before adding the file, the user should be certain that the file name includes a file extension (i.e., .doc, .wpd, .xls, etc.). Clicking 'Open' will select the file. The user should then click either 'Upload File and Return' to return to the Edit Filing Record Page, 'Upload File and Select Another' to select additional files, or 'Upload File and Submit.'



- Clicking the 'Add File from Holding Area' button brings up a screen that allows the Account Holder to include in the Filing Record any electronic files previously

uploaded into the Holding Area. The user should click the check box to the left of any files to be copied to the Filing Record that is being created or edited. Clicking the 'Add Files' button adds the files and returns the user to the Edit Filing Page. Clicking the 'Clear' button will remove the check boxes and allow the user to reselect files.

3.2.1 Creating and Assembling PDFs

A Host Document is the named file that references all other files in the set and describes them (as exhibits, workpapers, etc.). The Host Document of any filing must be submitted in text-based PDF form and consist of a single file. Including the original word processing files is optional, but encouraged. If Excel-based tables or figures are inserted into the Host Document, or intended to be part of the Host Document as Appendices, they should not be submitted as separate files that other participants would have to download separately and reassemble in order to obtain a coherent Host Document. Data or word processing files submitted as Attachments to the Host Document must be submitted in their native formats. The Commission urges, but does not require that word processing files that are submitted as Attachments be submitted in text-based PDF as well as their native format.

Creating a PDF on the Commission's website. A text-based PDF file can be created on the Commission's website by using the 'Create PDF' button that appears on the User Activity, Create Filing Record, Edit Filing Record, Upload Files from Computer, and Upload Files to Holding Area pages. Software from ActivePDF is used to create PDF files on the Commission's website.

The 'Create PDF' button can be used to turn a Postscript, Word, .rtf, .txt or WordPerfect file into a text-based PDF file. This option can be used with either a Mac or a PC using Microsoft Windows. The ActivePDF software opens Word, .txt and .rtf files in Word 2000 and then converts them to PDF. WordPerfect documents are opened in WordPerfect 9 before conversion. PDFs of Postscript files are created directly by ActivePDF.

The 'Create PDF' button can also be used to turn an Excel chart or table into a text-based PDF file. Additional information on this feature is available from the Commission's technical staff.

On the Account Holder's computer. For Account Holders using their own conversion software, the required PDF file can be created directly on the Account Holder's computer and that file can then be added to a Filing Record using the 'Upload Files from Computer' button.

Assembling PDF files. Once the files have been converted to PDF, the 'Assemble PDFs' button can be used to combine multiple PDFs into a single PDF, or to extract pages or groups of pages from one or more PDFs and insert them into a new PDF in any specified order. For example, one might extract specified pages from multiple PDFs and combine them with a cover page, table of contents, and other PDFs to create a coherent PDF called Testimony.

Filing Online
Welcome | Create Filing Record | User Activity | Participant Activity | Profile | Help

Assemble PDFs

Select PDFs to assemble:

- Use the pull-down boxes to select the combination order.
- To work with a single PDF, select "1" as the Order Number.
- To exclude a PDF, leave the pull-down box blank.
- Enter the range of pages to include using commas and dashes (Example: 1, 3-5). By default, all pages are selected.
- To reorder the pages of a PDF, enter the pages in the order desired (Example: 6, 8, 1-3, 5). Note that '3-1' is not a valid range; use '3, 2, 1' instead.

Order	PDF	Pages	Range
2	UPS-T-6.pdf	49	5-49,1,3,2
1	motion.pdf	2	1-2

Enter a name for the new PDF.

.pdf

[Return to Filing.](#)

When the user clicks on the 'Assemble PDFs' button, a new screen appears, allowing the user to select the order in which the constituent PDFs should appear, delineate specific pages to be included, and create the name of the new file.

Whether the user creates the PDF on the user's system or creates it on the Commission's website prior to submission, the user should review the PDF to verify that the format of the document has not altered significantly. **Documents granted a waiver**

for hardcopy service under Rules 10(b) and 12(d) must first be printed from the PDF, where possible, and then reproduced and served.

3.3 Edit Filing Record Page

The Edit Filing Record Page allows the Account Holder to add or change information relating to a Filing Record. The Account Holder can also create and assemble PDF files from this page.

Filing Online
Welcome | [Create Filing Record](#) | [User Activity](#) | [Participant Activity](#) | [Profile](#) | [Help](#)

Logout

Edit Filing Record

Docket No: If not listed, specify in comments below.

Authorized By:

Filing Party: Check all that apply. If not listed, specify in comments below.

OCC - Office of the Continental Congress

TMA - Tea Manufacturer's Association

Document Title: Please enter the exact title of the Host Document.

Host Document and Attachments: Upload Files from Computer Add Files from Holding Area A PDF of the Host Document (that is not scanned) must be included in the filing.

Comments for Dockets Staff: Any comments submitted are not a part of the filing and will only be viewed by the Dockets Staff.

Defer Filing: No deferral Defer until The document will be held for processing until the selected day and time.

Save on Activity Page
Submit Filing Record

3.4 Filing the Document

At any time the Account Holder may click the 'Save on Activity Page' button to save the work in progress to the User Activity Page without filing it. Records saved on the User Activity Page can be accessed up to seven days after the record is created. Once all the Filing Record information is entered, and the Host Document PDF and collateral files are reviewed and attached, the Account Holder may click the 'Submit Filing Record' button to bring up the Confirmation Page.

3.5 Confirmation Page

The Confirmation Page gives the user a final chance to review the Filing Record before submitting it.

The screenshot shows the 'Confirmation Page' in a web browser. At the top, a navigation bar includes 'Filing Online' and links for 'Welcome', 'Create Filing Record', 'User Activity', 'Participant Activity', 'Profile', and 'Help'. Below the navigation bar, the page title is 'Confirmation Page'. A message reads: 'Please double check the filing before final submission.' The main content area is a form with the following fields:

Docket:	
Authorized By:	Ben Franklin
Submitted By:	George Washington
Title:	Tea Manufacturer's Motion to Strike
Filing Party:	Tea Manufacturer's Association
Comments:	
Defer Filing:	No Deferral
Attached Files:	motionchart.xls 14 KB motion.pdf 1 KB

At the bottom of the form are two buttons: 'Edit' and 'Submit'. Overlaid on the right side of the form is a 'Microsoft Internet Explorer' error dialog box. The dialog box contains a question mark icon and the following text: 'The 4:30 pm deadline has passed. Your document will be processed on the next business day. Please put that date on your document before submitting. If you have confirmed the date and carefully reviewed the information and you are ready to submit, please click OK otherwise, please click CANCEL and click the EDIT button.' At the bottom of the dialog box are 'OK' and 'Cancel' buttons.

- The user should verify the Docket Number, authorizing Principal Account Holder and submitter, make certain the title in the filing record is exactly as it appears on the document, the filing party is correct, that all relevant files are attached, and that each attached file has the appropriate extension.
- If the defer filing option has been chosen, the Confirmation Page will indicate the date and time the filing is to be submitted.
- If any of the information is incorrect or missing, the user should select the 'Edit' button to return to the Edit Filing Record Page and correct the record.
- If all the information is correct, the user should choose the 'Submit' button which will transmit the Filing Record to the Commission and bring up the Receipt Page.
- On clicking "Submit" a message box allows the user to review the information one last time and reminds the user if it is after 4:30 pm to date the document for the next business day.

3.6 Receipt Page

Filing Online	
Welcome Create Filing Record User Activity Participant Activity Profile Help	
	
Filing Online Receipt	
Please print this receipt for your records.	
Filing ID:	37223
Submitted:	2/26/2003 9:26 am
Docket:	
Authorized By:	Ben Franklin
Submitted By:	George Washington
Title:	Tea Manufacturer's Association Notice of Intervention
Filing Party:	Tea Manufacturer's Association
Comments:	
Attached Files:	Notice.doc 20 KB Notice.pdf 2 KB
Documents submitted after 4:30 pm will be posted the next business day.	

After the Account Holder submits the filing, a Receipt Page will appear that records the time that the Commission received the submission. In the case of deferred filings, the Date Stamp section will reflect the date and time that the record is to be submitted to the Commission. Please note that documents submitted after 4:30 pm will be posted the next business day. **Users should print this page for their records.**

The receipt acknowledges only the fact that the Commission's server has received the submission. It does not constitute acceptance of the submission by the Secretary as an officially filed document. The Receipt Page includes the Filing ID# which should be referenced in any subsequent inquiries concerning this filing.

3.7 Acceptance of Filing

The Secretary will check the document-identifying information for the Host Document and review any Attachments. If it is in compliance with the Commission's rules, the filing will be posted on the Daily Listing Page. This will indicate that the filing

Filing Online User Guide

has been accepted. At this time the document status on the User Activity Page will also be updated.

Chapter 4: Account Management

4.1 User Activity

The User Activity Page allows Account Holders to keep track of their electronic filings. It consists of three parts, Holding Area, Filings in Progress and Submitted Filings:

Filing Online [Welcome](#) | [Create Filing Record](#) | [User Activity](#) | [Participant Activity](#) | [Profile](#) | [Help](#)

Activity of **Ben Franklin** [Logout](#)

All items are removed after seven days.

[Upload Files to Holding Area](#)

Holding Area

1	motion.doc	Create PDF	Delete
---	----------------------------	----------------------------	------------------------

Filings in Progress **Owner**

1	Tea Manufacturer's Association Motion to Compel Response to Interrogatories	Ben Franklin	View Record	Delete
2	Tea Manufacturer's Association Motion to Strike	Ben Franklin	View Record	Delete

Submitted Filings Pending or Approved Since 1/6/2003

Date Stamp	Status	Docket No.	Filing Title	Authorized By	Submitted By
1/14/2003 8:00 am	Deferred		Interrogatories of Tea Manufacturer's Association to Office of the Continental Congress witness John Hancock	Ben Franklin	George Washington
1/13/2003 10:04 am	Pending		Tea Manufacturer's Association Motion for Late Acceptance	Ben Franklin	George Washington

- **Holding Area** - The Holding Area is a space for users to upload files they may use to create different Filing Records or to test the conversion of files to PDF format without creating a Filing Record. The 'Assemble PDFs' button can be used to combine multiple PDFs into a single PDF, or to extract pages or groups of pages from one or more PDFs and insert them into a new PDF in any specified order. Files in the Holding Area can be added directly to filings using the 'Add Files from

Holding Area' button. Files remain in the holding area for seven days. At the end of the seventh day, files are automatically erased.

- *Filings in Progress* - Any filings not yet submitted are listed under Filings in Progress. Account Holders can save Filing Records and return to them later from this screen. This area also identifies the owner of the document. The owner of a document is the person, either Principal or Agent Account Holder, who initiated the Filing Record. Filing Records are deleted from the User Activity Page after seven days.
- *Submitted Filings* - Filings that have been submitted to the Commission in the last seven days are listed under Submitted Filings. All filings are listed as "pending" until the Commission reviews them. A record that has been submitted under 'Delayed Filing' will be listed with the notation that it has been delayed and the date of expected submission. Once accepted, the status changes to "filed." If a filing has been rejected, it is returned to the Filings In Progress Listing. The Submitted Filings table also indicates the person that authorized the filing and the person by whom the file was submitted.

4.2 Participant Activity Page

The Participant Activity Page provides a list of all the filings made on the current day and the previous business day on behalf of a participant that the Account Holder represents, whether the filings are pending or accepted. A record that has been submitted under 'Deferred Filing' will be listed with the notation that it has been deferred and the date of expected submission. Both hard copy and electronic files are listed. For electronic submissions the person authorizing the filing and the person submitting the filing are also listed.

Filing Online Welcome | Create Filing Record | User Activity | Participant Activity | Profile | Help

Participant Activity Since 1/10/2003 **Logout**

Tea Manufacturer's Association

Status	Docket No.	Document Title	Authorized By	Submitted By
Deferred until 1/14/2003 8:00 am		Interrogatories of Tea Manufacturer's Association to Office of the Continental Congress witness John Hancock	Ben Franklin	George Washington
Pending		Tea Manufacturer's Association Motion for Late Acceptance	Ben Franklin	George Washington

4.3 Profile Page

Account Holders can change their password, update their address information, and add or delete Agent Account Holders on the Profile Page. To maintain security, Account Holders are encouraged to periodically change their password and verify authorized Agent Account Holders. Authorized Agents can be either Principal or Agent account holders. Changing the address information on the Profile Page simultaneously updates the Account Holder's address on the Service List and Party Representative pages.

Filing Online Welcome | Create Filing Record | User Activity | Participant Activity | Profile | Help

Profile **Logout**

Ben Franklin (Franklinb)

Address Information

Job Title:

Organization:

Address*:

City*:

State*:

Zip*:

Phone*:

Fax:

E-mail*:

**Required*

Change Password

Current Password:

New Password:

Re-enter New Password:

Your Agents

George Washington (washington)

Add New Agent:

Username:

Chapter 5: Document Alert!

5.1 Document Alert!

Through Document Alert you can arrange to receive e-mail notification for documents filed with the Commission. You can receive notification by creating customized notification Rules in the Document Alert system. The Document Alert function is accessed through the Contents section or the Daily Listing Page of the Commission's website. *Filing Online* Account Holders can also access the Document Alert system through the Welcome Page.



PRC Document Alert!

The Postal Rate Commission (PRC) web site provides a Daily Listing of all documents that have been filed on any given day. By creating notification rules, you can choose to receive an e-mail when documents satisfying your rules are posted. If you are a registered user, please log in below. To register, [click here](#)

User Login

E-mail Address	BFranklin@tma.org
Password	*****
<input type="button" value="Login"/>	

Document Alert allows you to specify the categories of documents for which you will receive notice by creating 'Rules' that identify the categories of documents that you wish

to monitor. The Rules that you create may include any combination of criteria. The more criteria included, the fewer documents that will satisfy a Rule. Only documents meeting ALL criteria within the Rule will be included in the notice. For example, if only the Docket is specified, notice is sent if any filings in that Docket are posted. If the Docket and Document Type are specified, a notice is triggered only if filings are posted in that Docket and of that Document Type are posted.

PRC Document Alert Preferences for BFranklin@tma.org			
Create Rule		Edit Account	
Hyperlink Options		Logout	
Current Rules			
Edit	MotionsMC2002-2	Dockets: MC2002-2	Witness: <All Witnesses>
Delete	<i>created on 10/31/2002 8:46 am</i>	Docktype: Motion or Request/Response/Reply	Title Contains: <All Titles>
		Immediate? Yes	
Edit	POIRs	Dockets: MC2002-2	Witness: <All Witnesses>
Delete	<i>created on 10/31/2002 2:59 pm</i>	Docktype: P.O. Information Request/Response (POIR)	Title Contains: <All Titles>
		Immediate? No	
Edit	Orders	Dockets: <All Dockets>	Witness: <All Witnesses>
Delete	<i>created on 10/31/2002 8:44 am</i>	Docktype: Orders/Responses to Orders	Title Contains: <All Titles>
		Immediate? Yes	

E-mail notices are sent when the Daily Listings Page is completed. The e-mail message automatically includes a link to the Daily Listing Page of the Commission’s website. If you wish to have a hyperlink to the document included with your e-mail you should select ‘Hyperlink Options’ and choose the option you prefer. The Hyperlink Option you choose will apply globally to all of your Rules.

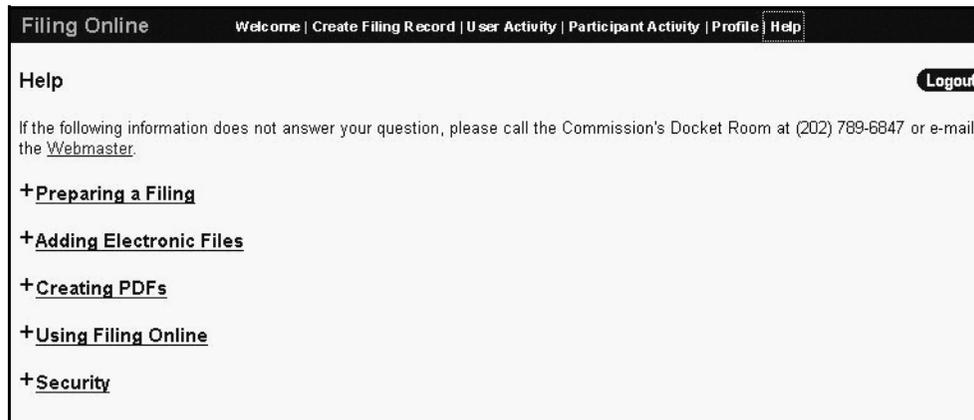
If you wish to be notified immediately that a certain kind of document has been filed you can include the ‘ImmediateNotify’ criterion in the Rule. Every 30 minutes the Commission’s server will identify documents that satisfy ImmediateNotify criteria and

send an appropriate e-mail. Immediate notification e-mails automatically include a link to the document specified by your Rules.

Chapter 6: User Assistance

6.1 Help Page

Information about using the *Filing Online* system is available on the Help Page in a question and answer format.



6.2 Help Desk

For assistance, or to discuss problems with making online filings, contact the Docket Section at (202) 789-6847 during regular business hours (8:00 a.m. to 4:30 p.m. Eastern time).

To obtain general information about Filing Online, document submission, and accessing the documents filed electronically (viewing, printing, and downloading), contact the Docket Section during regular business hours at (202) 789-6846.

SYSTEM REQUIREMENTS FOR USING FILING ONLINE

Accessing *Filing Online*

Filing Online users have few limitations with respect to the web browser that they may use. This is because from the browser's perspective, the Filing Online portion of the Commission's website consists primarily of html with minimal Javascript used for error checking. Some earlier versions of browsers, however, may have difficulty accessing the site through its Secure Socket Layer (SSL). If users with earlier versions of common browsers experience problems, they should use the latest versions, which may be downloaded for free from the appropriate websites.

The following versions of common browsers run with the following operating systems and platforms have been successfully tested.

Windows/PC:

Internet Explorer 4.x+

Netscape 4.x+

Netscape 6.x+

(EXCEPTION: Netscape versions 6.0 and 6.1 have a bug that stalls on uploading some files. This was corrected in Netscape 6.2.)

OS/Mac:

Internet Explorer 4.x

Netscape 4.x+

Conversion to PDF

Using Adobe Acrobat on the user's workstation

Users that have Adobe Acrobat software should encounter no limitations on their ability to convert word processing files to text-based PDF files.

Using ActivePDF on the Commission's web server

The 'Create PDF' button in *Filing Online* utilizes a program called ActivePDF to convert word processing files to PDF files. This conversion is accomplished on the PRC web server using either WordPerfect or Word to open the file and create a PDF.

Tests of Word 6.0/Office 95, Office 97 and Office 2000 and tests of WordPerfect 7 through 10 on the Windows/PC platform resulted in successful conversions. Tests of the Word software contained in Office 97 and Office 2001 on the OS/Mac platform resulted in successful conversions. Other combinations have not been tested. These successful tests included tests on files containing the most common formatting processes and some advanced formatting.

The following chart summarizes the results of the Commission's testing:

Appendix A: System Requirements for Using Filing Online

	Word 97*	Word 2001*	Word Perfect	Word 6.0/95	Word 97	Word 2000
	Macintosh		PC			
Text & Formatting (tabs, line spacing, etc.)	√	√	√	√	√	√
Headers & Footers	√	√	√	√	√	√
Footnotes	√	√	√	√	√	√
Line Numbering	√	√	√	√	√	√
Bulleted paragraph	√	√	√	√	√	√
Multiple Heading Levels	√	√	√	√	√	√
Generated Table of Contents	√	√	√	√	√	√
Tables	√	√	√	√	√	√
Charts**	†	†	√	√	√	√
Equations**	†	†	√	√	√	√

* In order for the conversion to pdf to work, the user must include a file extension with the file name (i.e., .doc, .wpd)

** Some difficulty was experienced with embedded Excel charts and equations on conversion.

† These features were not tested on the Macintosh

Enhanced Website Functions

Batch Downloading

The Batch Downloading feature on the Commission's site uses Software Artisans' SA-X-File to create the directories on the user's hard drive. It requires Microsoft's Wininet API that is supplied with Internet Explorer.

Windows 95, 98, NT, 2000:
IE 4.0+ Only

Mac:
This feature is not currently available.

PDF Batch Print

The PDF Batch Print feature requires a Netscape plugin to be installed on the user's system. Users must also have Acrobat or Acrobat Reader.

Windows (95, 98, ME, NT SP5+, 2000):
IE 4.0+

Netscape 4.x+ (Installation of the required plugin can be more difficult in Netscape and may require PRC staff to walk the user through the first attempt.)

Mac:
This feature is not currently available

**Postal Rate Commission
Filing Online
Account Holder Application**

To file documents electronically, each Account Holder must have a login name and password. Upon submitting a completed application to the Commission, the Account Holder will receive a login name and password. The login name/password procedure is designed to ensure that material filed using the Filing Online system conforms to the Commission's rules of practice.

Account Holder Name

Affiliation

Address

Phone

Fax

Email Address

I, _____, apply for a Filing Online account as a

Principal Account Holder

or Agent Account Holder

I affirm that the material filed under my or my agent's User Name and password, conforms to the Commission's Rules of Practice, and is filed under my authority on behalf of the participant that it purports to represent. I affirm that I have read the material filed, and am familiar with its contents. I warrant that it is authentic, accurate, and otherwise in compliance with Rule 11(e). I undertake to monitor my filings with the Commission to ensure that no unauthorized filing is made under my or my agent's User Name and password.

I affirm that my principal has read the material filed under my User Name and password and agrees to its filing.

Signature of Account Holder

Privacy Act Notice: The collection of this information is authorized by 39 U.S.C. § 3603. This information will be used for administering the filing of documents in electronic form by participants in Postal Rate Commission proceedings. It may be publicly disclosed under the routine uses given in the Privacy Act system notice published at 64 Fed. Reg. 56819 (1999).

FILE NAMING CONVENTIONS

In general, the Dockets Staff will not rename files, so any file names you use will appear on the PRC's website. While the Commission does not have strict naming rules, file names usually follow certain conventions:

- The names of interrogatories, interrogatory responses, and objections include the interrogatory number (for example: dma-usps-t12-1-3.doc, usps-ups-t2-10~23.pdf, rsp-mma-usps-t4-23_28.doc, obj-oca-usps-25a.pdf, ups-usps-10a-24-etc.pdf).
- For other documents, the file names include at least the filing party and an abbreviation describing the type of document (for example: vp-not-lr-4.doc {Notice of filing Library Reference Number 4}, aba-mot-compel.pdf, oca-i-brief.doc, usps-resp-ord1333.pdf).
- If the filing is witness related, the file name also indicates the witness party and testimony number (for example: oca-desig-usps-t2.pdf, postcom-cross-oca-t5.doc, test-naa-t1-Bradley.pdf).

When creating file names it is advisable to avoid any symbols except dashes and underscores. To avoid syntax problems, certain symbols which are included in file names are automatically removed or converted on the Commission's website, e.g. spaces become underscores. Filers should also keep in mind that it is perfectly acceptable to abbreviate words in file names, for example, testimony can be abbreviated as test, motion as mot., etc.

When a filing record includes several electronic files, it is particularly important to name them accurately (examples: mpa-motion.pdf, mpa-motion-attach1.pdf, mpa-motion-attach2.pdf).

HOW TO INTERVENE IN A COMMISSION PROCEEDING

There are three alternatives for those wishing to participate in proceedings being held before the Commission on Requests to change postal rates, classifications and fees. The guidelines for formal intervention are covered by Rule 20, informal interventions are covered by Rule 20a and the submission of informal comments are covered by Rule 20b.

The text of Rules 20, 20a and 20b, effective January 7, 2003, appear below.

§ 3001.20 Formal intervention.

(a) *Who may intervene.* A notice of intervention will be entertained in those cases that are noticed for a proceeding pursuant to § 3001.17(a) from any person claiming an interest of such nature that intervention is allowed by the Act, or appropriate to its administration.

(b) *Contents.* A notice of intervention shall clearly and concisely set forth the nature and extent of the intervenor's interest in the issues to be decided, including the classifications of postal service utilized by the intervenor giving rise to his/her interest in the proceeding, and to the extent known, the position of the intervenor with regard to the proposed changes in postal rates, fees, classifications, or services, or the subject matter of the complaint, as described in the notice of the proceeding. Such notice shall state whether or not the intervenor requests a hearing or in lieu thereof, a conference, and whether or not the intervenor intends to actively participate in a hearing. Such notice shall also include on page one thereof the name and full mailing address of no more than two persons who are to receive service of any documents relating to such proceeding.

(c) *Form and time of filing.* Notices of intervention shall be filed no later than the date fixed for such filing in any notice or order with respect to the proceeding issued by the Commission or its Secretary, unless in extraordinary circumstances for good cause shown, the Commission authorizes a late filing. Notices of intervention shall conform to the requirements of §§ 3001.9 through 3001.12.

(d) *Oppositions.* Oppositions to notices of intervention may be filed by any participant in the proceeding no later than 10 days after the notice of intervention is filed. Pending Commission action, an opposition to intervention shall delay on a day-for-day basis, the date for responses to discovery requests filed by that intervenor.

(e) *Effect of intervention.* A person filing a notice of intervention shall be a party to the proceeding subject, however, to a determination by the Commission, either in response to an opposition, or sua sponte, that party status is not appropriate under the

Act. Intervenors are also subject to the right of the Commission or the presiding officer as specified in § 3001.24 to require two or more intervenors having substantially like interests and positions to join together for purposes of service of documents, presenting evidence, making and arguing motions and objections, cross-examining witnesses, filing briefs, and presenting oral arguments to the Commission or presiding officer. No intervention shall be deemed to constitute a decision that the intervening party has such an interest in the proceeding that he/she would be aggrieved by an ultimate decision by order of the Commission.

§ 3001.20a Limited participation by persons not parties.

Notwithstanding the provisions of § 3001.20, any person may appear as a limited participator in any case that is noticed for a proceeding pursuant to § 3001.17(a), in accordance with the following provisions;

(a) *Form of intervention.* Notices of intervention as a limited participator shall be in writing, shall set forth the nature and extent of the intervenor's interest in the proceeding, and shall conform to the requirements of §§ 3001.9 through 3001.12.

(b) *Oppositions.* Oppositions to notices to intervene as a limited participator may be filed by any participant in the proceeding no later than 10 days after the notice of intervention as a limited participator is filed.

(c) *Scope of participation.* Subject to the provisions of § 3001.30(f), limited participators may present evidence which is relevant to the issues involved in the proceeding and their testimony shall be subject to cross-examination on the same terms applicable to that of formal participants. Limited participants may file briefs or proposed findings pursuant to §§ 3001.34 and 3001.35, and within 15 days after the release of an intermediate decision, or such other time as may be fixed by the Commission, they may file a written statement of their position on the issues. The Commission or the presiding officer may require limited participators having substantially like interests and positions to join together for any or all of the above purposes. Limited participators are not required to respond to discovery requests under §§ 3001.25 through 3001.28 except to the extent that those requests are directed specifically to testimony which the limited participators provided in the proceeding; however, limited participators, particularly those making contentions under 39 U.S.C. § 3622(b)(4), are advised that failure to provide relevant and material information in support of their claims will be taken into account in determining the weight to be placed on their evidence and arguments.

§ 3001.20b Informal expression of views by persons not parties or limited participators (commenters).

Notwithstanding the provisions of §§ 3001.20 and 3001.20a, any person may file with the Commission, in any case that is noticed for a hearing pursuant to § 3001.17, an informal statement of views in writing, in accordance with the following provisions:

(a) *Form of statement.* A statement filed pursuant to this section may be submitted as a hardcopy letter mailed to the Secretary or an electronic message entered on the form provided for this purpose under the “Contact Us” link on the commission’s website, www.prc.gov.

(b) *Contents of statement.* A statement filed pursuant to this section shall set forth the name and full mailing address of the person by whom or on whose behalf it is filed, a concise statement of the issue or issues to which the comments contained therein apply, and a clear statement of any views, opinions, or suggestions which the person filing the statement wishes to lay before the Commission.

(c) *Disposition by the Commission or presiding officer.* Statements filed pursuant to this section shall be made a part of the Commission's files in the proceeding. The Secretary shall maintain a file of such statements which shall be segregated from the evidentiary record in the proceeding, and shall be open to public inspection during the Commission's office hours. A statement or exhibit thereto filed pursuant to this section shall not be accepted in the "record," as defined by § 3001.5(k) except to the extent that it is (1) otherwise formally introduced in evidence, or (2) a proper subject of official notice, pursuant to § 3001.31(j).

(d) *Ex parte communications -- exception.* A statement filed pursuant to this section shall not be considered an ex parte communication within the meaning of § 3001.7.

PRIVACY STATEMENT

The Commission's Privacy Statement is available on the home page at www.prc.gov.

Filing Online

In using *Filing Online*, you provide information to the Commission in two different ways.

To become an Account Holder in *Filing Online* you must provide your name, address, telephone number, fax number and e-mail address. This information is used to authenticate the source of an electronic filing. We use Secure Sockets Layer (SSL) software in order to protect passwords so that others cannot access your account in order to make a filing.

The second source of information is the information you include in the file you submit to the Commission. The information in that document is a public record and will be accessible to members of the public via the Commission's website.

Website

The Postal Rate Commission (PRC) collects no personal information about you when you visit www.prc.gov or realserver.prc.gov unless you choose to provide such information to us. The Commission servers, however, do collect certain information automatically, and any information the Commission receives depends on what you access within the Commission site. This information is used only for website activity monitoring and it is closely guarded against any disclosure.

Cookies

Cookies are little pieces of text stored by websites in temporary memory or on a user's hard drive. They allow websites to carry user information from page to page or to recognize return users. More information is available at Cookie Central

(www.cookiecentral.com). When you access the Commission's site, the web server randomly generates an identification code and stores it in your computer's memory. This function allows the server to hold basic information about your connection to the Commission's database as you move through the site. It contains no personally identifiable information. The PRC uses cookies that are stored in temporary memory only (session cookies). When you close your browser, the information (cookie) is destroyed. You can use the Postal Rate Commission's site without accepting cookies.

Reading or Downloading Information

If you visit the Commission site to read or download information, the following information is collected automatically by the Postal Rate Commission's servers:

- The name of the domain (for example, aol.com, if you use an online account) and the IP address from which you access the Internet (an IP address is a number assigned to your computer through your Internet provider),
- The date and time you access our site,
- The pages you visit,
- The type of browser (Netscape, Internet Explorer) and operating system (Windows 95 or 98, Macintosh) used to access our site,
- The Internet address of the website from which you linked directly to our site.

This information is used strictly to monitor internet activities on our website. Access to these logs is restricted to a limited number of our IT personnel.

Listening to Audio Broadcasts

Additional information is collected automatically if you listen to an audio broadcast:

- The type of player used to listen to the broadcast,
- The protocol and transport used to send the broadcast,
- The length of time you listened to the broadcast,
- Details concerning the success of the transmission including the bandwidth available on your system and how well the packets containing the broadcast reached your computer.

Sending Personal Information

If you send the Commission personal information with a comment or question by e-mail or by using an online form, the Commission uses that information to respond to your request. The Commission does not use that personal information for any purpose other than responding to the request. Also, regular non-encrypted internet e-mail is not secure. Thus, if your communication is of a sensitive nature, you should send the information via postal mail.

The Commission does not furnish personal information to private or commercial organizations unless a request is received from an organization conducting a civil or criminal law enforcement investigation.

Links to Other Websites

The Commission website furnishes links to other federal sites. Once you link to that site, you are subject to the privacy policy of that site.

Security

For site security purposes and to ensure that the Commission's website remains available to all users, the Commission computer system employs software programs that monitor network traffic and identify unauthorized attempts to upload or change information, or otherwise cause damage.