


General Information - Obtaining Qualifying Facility Status As A Cogeneration or Small Power Production Facility

1. Additional Information on obtaining *qualifying facility* status may be found at www.ferc.gov by searching for “QF” or “qualifying facility” or using this direct link to the FERC site at <http://www.ferc.gov/industries/electric/gen-info/qual-fac/what-is.asp>.
2. The procedures for becoming a qualifying small power production facility or a qualifying cogeneration facility are outlined in the 18 CFR §292.207 of the Federal Energy Regulatory Commission (FERC) regulations implementing PURPA.
3. The owner or operator of a facility seeking benefits as a qualifying facility must file a notice of self-qualification with the FERC pursuant to §292.207(a)(1), including a completed Form 556 (see §131.80). At the owner/operator’s option, an alternative application may be filed for FERC certification of a facility’s qualifying status pursuant to §292.207(b). The original and 14 copies should be sent to:

Office of the Secretary
Federal Energy Regulatory Commission
888 First Street, NE
Washington, DC 20426

4. The criteria for status as a qualifying small power production facility are set forth in §292.203(a) and §292.204 of the FERC regulations.
5. The criteria for status as a qualifying cogeneration facility are set forth in §292.203(b) and §292.205 of the FERC regulations.

What is a Qualifying Facility?

A **Qualifying Facility (QF)** is a generating facility which meets the requirements for QF status under the Public Utility Regulatory Policies Act of 1978 (PURPA) and part 292 of the Commission's Regulations ([18 C.F.R. Part 292](#) ) , and which has obtained certification of its QF status.

There are two types of QFs: cogeneration facilities and small power production facilities.

A **Cogeneration Facility** is a generating facility that sequentially produces electricity and another form of useful thermal energy such as heat or steam that can be used for industrial, commercial, residential or institutional purposes, and otherwise meets the requirements of 18 C.F.R. §§ 292.203(b) and 292.205 for operation, efficiency and use of energy output.

A **Small Power Production Facility** is a generating facility whose primary energy

source is renewable such as hydroelectric, wind, solar, biomass, waste, or geothermal resources, and that otherwise meets the requirements of 18 C.F.R. §§ 292.203(a), 292.203(c) and 292.204. Small power production facilities are limited in size to 80 MW, with the exception of certain types of facilities certified prior to 1995 and designated as "eligible" under section 3(17)(E) of the Federal Power Act ([FPA](#)) ([15 U.S.C. § 796\(17\)\(E\)](#)), which have no size limitation.

How to Obtain QF Status for Your Facility

An owner or operator of a generating facility may obtain QF status by either submitting a self-certification or applying for and obtaining a Commission certification of QF status. The choice of whether to certify a facility through a self-certification or Commission certification is up to the applicant. In some instances, negotiations with a lender or utility purchaser may proceed more smoothly if the facility has been certified by the Commission.

When an applicant files a self-certification or application for Commission certification of QF status, it must at the same time provide a copy of the filing to the utilities with which the facility will transact, as well as to the Utility Commission in the state(s) in which those utilities and the facility reside.

A completed Form No. 556 [[DOC](#)] | [[RTF](#)] must be submitted with each self-certification or application for Commission certification of QF status.

There are two methods of making QF filings:

- [Hardcopy Filing & Forms](#) (available for any QF filing); or
- [eFiling](#) (electronic filing available as an alternative to hardcopy filing only for self-certification).

To file a hardcopy of your self-certification or application for Commission certification, make sure the filing is completed and signed, and send the filing (including original and 14 copies of the Form No. 556) to the Secretary at the address listed in the [Hardcopy Filing & Forms](#) page of the FERC website.

Self Certification

Applicants for self-certification are encouraged to submit their filings electronically via the Commission's eFiling process, but may alternatively file in hardcopy. At this time, all applications for Commission certification must be filed in hardcopy. To file an electronic copy of your self-certification, make sure the filing is completed and signed (see information on electronic signatures in the [Completing the Form No. 556](#) page), and follow the instructions for submitting your filing from the [eFiling](#) page.

Filing a hardcopy self-certification of QF status under 18 C.F.R. § 292.207(a) must include the following:

- A cover letter that announces the self-certification of QF status of the applicant's facility and references the enclosures (Form No. 556; draft *Federal Register* notice, as applicable). If a docket number already exists for your facility, you should clearly identify it in the cover letter.
- An original and 14 copies of a completed Form No. 556.
- If the self-certification is for a "new cogeneration facility" (as defined below), then the public will be given notice of the filing through an announcement in the *Federal Register*. Thus, self-certifications of "new cogeneration facilities" must be accompanied by a draft notice (visit our [Notice Formats](#) page) suitable for publication in the *Federal Register*. This draft notice should be submitted in an electronic format, either on a 3 1/2" diskette or CD-ROM (if the filing is made in hardcopy) or via eFiling (if the filing is submitted electronically via eFiling). Pursuant to 18 C.F.R. § 292.205(d), a "new cogeneration facility" is a cogeneration facility that had not filed a self-certification or an application for Commission certification as a qualifying cogeneration facility prior to February 2, 2006. Small power production facilities and cogeneration facilities that do not meet the definition of a "new cogeneration facility" do not need to provide a draft *Federal Register* notice when self-certifying.

There is no fee for filing a self-certification.

When a self-certification is received via hardcopy filing, the Secretary will send to the applicant a copy of their filing with an assigned QF docket number. For facilities that have not been previously certified, a new docket number will be assigned. For a facility that is being recertified, the facility will be assigned a new subdocket number within the existing docket number. Applicants submitting a self-certification electronically via eFiling will receive a confirmation email that includes the docket number or subdocket number for their filing. Keep this number for future reference. You will receive no other document from the Commission for self-certifications.

Applicants for self-certification who have not yet received their docket number from the Secretary can locate their filed documents and find their docket number by performing a New Dockets Search in eLibrary. Please refer to our [Locating a Filing for QF Status in eLibrary](#) page for more information.

Application for Commission Certification

An application for Commission certification of QF status under 18 C.F.R. § 292.207(b) must include the following:

- A cover letter that requests Commission certification of QF status and references the enclosures (Form No. 556, filing fee, draft Federal Register notice). If a docket number already exists for your facility, you should clearly identify it in the cover letter.
- An original and 14 copies of a completed Form No. 556.
- The public is given notice through an announcement in the Federal Register of the filing of applications for Commission certification. Thus, applications for Commission certification must be accompanied by a draft notice (visit our Notice Formats page) suitable for publication in the Federal Register. This draft notice should be submitted in electronic format on a 3 1/2" diskette or CD-ROM.
- A check for the filing fee made payable to the Treasurer of the United States. Please visit the FERC Filing Fees page for the most current filing fee. A filing date will not be assigned to an application unless it is accompanied by the proper fee.

After submitting an application, applicants can locate documents related to their application and find their docket number by performing a New Dockets Search in eLibrary. Please refer to our [Locating a Filing for QF Status in eLibrary](#) page for more information. For facilities that have not been previously certified, a new docket number will be assigned. For facilities that are being recertified, the application will be assigned a new subdocket number within the existing docket number.

Within 90 days of the filing of an application, the Commission will either inform the applicant that the filing is deficient, issue an order granting or denying the application, or act to postpone the date for issuing an order. Under 18 C.F.R., 292.207(b)(3), if the Commission has not acted upon the application within 90 days of the filing date, it shall be deemed granted.

Additional information on obtaining qualifying facility status may be found at www.ferc.gov