

155 FERC ¶ 61,280
UNITED STATES OF AMERICA
FEDERAL ENERGY REGULATORY COMMISSION

Before Commissioners: Norman C. Bay, Chairman;
Cheryl A. LaFleur, Tony Clark,
and Colette D. Honorable.

Filing Requirements for Electric Utility Service Agreements	Docket Nos. RM01-8-000
Electricity Market Transparency Provisions of Section 220 of the Federal Power Act	RM10-12-000
Revisions to Electric Quarterly Report Filing Process	RM12-3-000
Electric Quarterly Reports	ER02-2001-000

ORDER CLARIFYING ELECTRIC QUARTERLY REPORT REPORTING
REQUIREMENTS AND UPDATING DATA DICTIONARY

(Issued June 16, 2016)

1. In this order, we implement certain clarifications to the existing Electric Quarterly Report (EQR) reporting requirements and the EQR Data Dictionary, pursuant to sections 205 and 220 of the Federal Power Act (FPA).¹ In particular, in this order we clarify reporting requirements and associated fields in the EQR Data Dictionary related to “Increment Name” and “Commencement Date of Contract Terms.” This order also affirms the requirement that transmission providers must report transmission-related data in their EQRs. In addition, this order makes certain updates to the EQR Data Dictionary with respect to the “Time Zone” field options and deletes fields associated with reporting e-Tag ID data. This order also clarifies that future minor or non-material changes to EQR reporting requirements and the EQR Data Dictionary, such as those outlined in this order,

¹ 16 U.S.C. §§ 824d, 824t (2012).

will be posted directly to the Commission's website² and EQR users will be alerted via email of these changes. The updated EQR Data Dictionary adopted in this order shall be used beginning with the filing of the Q4 2016 EQR.

I. Background

2. In Order No. 2001,³ the Commission amended its filing requirements to require companies subject to the Commission's regulations under FPA section 205 to electronically file EQRs summarizing the contractual terms and conditions in their agreements for all jurisdictional services, including cost-based sales, market-based rate sales, and transmission service, as well as transaction information for short-term and long-term market-based power sales and cost-based power sales. The requirement to file EQRs replaced the requirement to file short-term and long-term service agreements for market-based sales, service agreements for generally applicable services, and quarterly transaction reports that summarize a utility's market-based rate transactions and sales agreements that conformed to the utility's tariff. In Order No. 2001, the Commission also adopted a new section in its regulations, 18 C.F.R. § 35.10b, which required public utilities to file EQRs and that the EQRs be prepared in conformance with the Commission's software and guidance posted and available from the Commission's website. In Order No. 768,⁴ the Commission, among other things, revised the EQR

² 18 C.F.R. § 35.10b (2015). *See also Revised Public Utility Filing Requirements*, Order No. 2001-H, 121 FERC ¶ 61,289 (2007); *Revised Public Utility Filing Requirements*, 106 FERC ¶ 61,281 (2004) (directing Commission staff to alert EQR users of future changes to entries for control area and hub names by email and to post these changes on the Commission's website).

³ *Revised Public Utility Filing Requirements*, Order No. 2001, FERC Stats. & Regs. ¶ 31,127, *reh'g denied*, Order No. 2001-A, 100 FERC ¶ 61,074, *reh'g denied*, Order No. 2001-B, 100 FERC ¶ 61,342, *order directing filing*, Order No. 2001-C, 101 FERC ¶ 61,314 (2002), *order directing filing*, Order No. 2001-D, 102 FERC ¶ 61,334, *order refining filing requirements*, Order No. 2001-E, 105 FERC ¶ 61,352 (2003), *order on clarification*, Order No. 2001-F, 106 FERC ¶ 61,060 (2004), *order revising filing requirements*, Order No. 2001-G, 120 FERC ¶ 61,270, *order on reh'g and clarification*, Order No. 2001-H, 121 FERC ¶ 61,289 (2007), *order revising filing requirements*, Order No. 2001-I, 125 FERC ¶ 61,103 (2008).

⁴ *Electric Market Transparency Provisions of Section 220 of the Federal Power Act*, Order No. 768, FERC Stats. & Regs. ¶ 31,336 (2012), *order on reh'g*, Order No. 768-A, 143 FERC ¶ 61,054 (2013), *order on reh'g*, Order No. 768-B, 150 FERC ¶ 61,075 (2015).

filing requirements to include non-public utilities⁵ with more than a *de minimis* market presence.

3. In Order No. 2001-G, the Commission adopted an EQR Data Dictionary, which defined certain terms and values used in filing EQR data in one document, and provided formal definitions for EQR fields that were previously undefined.⁶ The Commission has since revised the EQR Data Dictionary on several occasions to further clarify terms and definitions as needed.⁷ The Commission revised the process for filing EQRs in Order No. 770.⁸ In that order, the Commission adopted a web-based filing system and revised the regulation governing EQRs at 18 C.F.R. § 35.10b to state that “Electric Quarterly Reports must be prepared in conformance with the Commission’s guidance posted on the FERC Web site (<http://www.ferc.gov>).” The web-based filing system allowed both public utilities and non-public utilities to file EQRs directly through the Commission’s website, beginning with Q4 2013 EQRs.

4. The continually evolving nature of electricity markets and transactions necessitates periodic updates to EQR reporting requirements and the EQR Data Dictionary. Based on Commission staff’s review of existing EQR data and reporting practices, this order sets forth certain clarifications to the EQR reporting requirements and updates the EQR Data Dictionary. These clarifications and updates will help ensure accurate and consistent data and reduce filing errors.

5. Today’s order sets forth the process by which the Commission will make future minor or non-material changes to the reporting requirements and the EQR Data Dictionary, such as those being set forth in this order. The Commission will no longer implement such changes through a Commission order. Going forward, consistent with

⁵ Order No. 768, FERC Stats. & Regs. ¶ 31,336 at P 19. *See also* 16 U.S.C. § 824(f) (2012).

⁶ Order No. 2001-G, 120 FERC ¶ 61,270.

⁷ *See, e.g., Filing Requirements for Electric Utility Service Agreements*, 146 FERC ¶ 61,169 (2014) (updating the EQR Data Dictionary to indicate how market participants should enter data in certain fields of the new web-based EQR filing system); Order No. 2001-I, 125 FERC ¶ 61,103 (revising the EQR Data Dictionary to define and rename the Commencement Date of Contract Terms and clarifying information to be reported concerning ancillary services); Order No. 2001-H, 121 FERC ¶ 61,289 (clarifying information to be included in several EQR data fields).

⁸ *Revisions to Electric Quarterly Report Filing Process*, Order No. 770, FERC Stats. & Regs. ¶ 31,338 (2012).

section 35.10b of the Commission's regulations, future minor or non-material changes to the reporting requirements and EQR Data Dictionary will be posted directly to the Commission's website, and EQR users will be alerted via email. This process will enable the Commission to make necessary minor or non-material changes in a more timely manner. Conversely, significant changes to the EQR reporting requirements and the EQR Data Dictionary will be proposed in a Commission order or rulemaking, which would provide an opportunity for comment.

II. Discussion

A. Increment Name

6. Field Numbers 28 and 61 are required data fields that currently require EQR filers to designate the "Increment Name," or the terms of a particular contract or sale, as "Hourly," "Daily," "Weekly," "Monthly," or "Yearly" in the Contract Data and Transaction Data sections of the EQR. Based on our review of EQR data, some EQR filers are reporting "Increment Name" in an inconsistent manner. For example, certain EQR filers designate some transactions in the Transaction Data section as "Daily" when they should, in fact, be designated as "Hourly" transactions. Conversely, some transactions that should be designated as "Daily" are instead mislabeled as "Hourly." We clarify that, if the price associated with a transaction does not change on an hourly basis, then that transaction should not be listed as "Hourly." However, if the price associated with a transaction does change on an hourly basis, then it must be listed as "Hourly."

7. In addition, the most granular "Increment Name" currently available in the Contract Data and Transaction Data sections is "Hourly." Thus, for example, even transactions that are settled on a sub-hourly basis, such as in five-minute or fifteen-minute increments, can only be reported in the EQR as "Hourly." In order to align actual transactional data with the "Increment Name" required by Field Number 61, we will add values for sub-hourly transaction increments in the form of "(5) - Five-Minute" and "(15) - Fifteen-Minute" to Field Number 61. Accordingly, EQR filers will be required to report transactions that occur on a sub-hourly basis, i.e., in five-minute or fifteen-minute increments, as applicable, using the relevant designations in the Transaction Data Section of the EQR. We will include definitions in Field Number 28 for "(5) - Five-Minute" as "[t]erms of the contract (if specifically noted in the contract) set for up to 5 minutes" and for "(15) - Fifteen Minute" as "[t]erms of the contract (if specifically noted in the contract) set for up to 15 minutes." Similarly, we will include definitions in Field Number 61 for "(5) - Five-Minute" as "[t]erms of the particular sale for up to 5 minutes" and for "(15) - Fifteen-Minute" as "[t]erms of the particular sale for up to 15 minutes."

8. Finally, the use of the word "consecutive" in the definitions of the specific increments listed under "Increment Name" in both the Contract Data and Transaction Data sections has created some confusion among filers with respect to how they should

report peak and off-peak contracts and transactions. For example, “Daily” transactions are defined in Field Number 61 as “Terms of the particular sale set for more than 6 and up to 60 consecutive hours . . . Includes sales over a peak or off-peak block during a single day.” Some EQR filers interpret “consecutive” in this context to mean that daily off-peak transactions should be reported as “Hourly” because off-peak hours can extend over more than one single day. However, these transactions should be reported as “Daily” and not “Hourly.” To ensure greater consistency in how peak or off-peak contracts or transactions are reported, we will delete the word “consecutive” from the definitions listed under “Increment Name” in the Contract Data and Transaction Data sections.

B. Commencement Date of Contract Terms

9. Currently, the EQR Data Dictionary defines the “Commencement Date of Contract Terms” in Field Number 22, in relevant part, as “[t]he date the terms of the contract reported in fields 18, 23 and 25 through 44 (as defined in the data dictionary) became effective. If those terms become effective on multiple dates (i.e., due to one or more amendments), the date to be reported in this field is the date the most recent amendment became effective.” Field Number 22 requires that any amendment to the specified fields⁹ necessitates a change to the “Contract Commencement Date” and a new corresponding contract number. Accordingly, for example, if the termination date of a contract changes, then the EQR filer must change the “Contract Commencement Date” in Field Number 22 and submit a new corresponding contract number.

10. In Order No. 2001-H, the Commission stated that an amendment to key terms associated with the products and services offered under any given jurisdictional contract would require a change to the information collected in Field Number 22 regarding the date that service commenced under the contract.¹⁰ The Commission noted that

⁹ The specified fields are: Contract Affiliate (Field Number 18); Contract Termination Date (Field Number 23); Extension Provision Description (Field Number 25); Class Name (Field Number 26); Term Name (Field Number 27); Increment Name (Field Number 28); Increment Peaking Name (Field Number 29); Product Type Name (Field Number 30); Product Name (Field Number 31); Quantity (Field Number 32); Units (Field Number 33); Rate (Field Number 34); Rate Minimum (Field Number 35); Rate Maximum (Field Number 36); Rate Description (Field Number 37); Rate Units (Field Number 38); Point of Receipt Balancing Authority (Field Number 39); Point of Receipt Specific Location (Field Number 40); Point of Delivery Balancing Authority (Field Number 41); Point of Delivery Specific Location (Field Number 42); Begin Date (Field Number 43); and End Date (Field Number 44).

¹⁰ Order No. 2001-H, 121 FERC ¶ 61,289 at P 12.

information about when key terms were established is necessary to better understand the market conditions at the time a contract was put into place.¹¹

11. In Order No. 2001-I, the Commission delineated Field Numbers 18, 23, and 25 through 44 as fields containing key terms where changes to those fields would require a change in the date reported in Field Number 22.¹² We find that the current definition of “Commencement Date of Contract Terms” should include two additional key contractual terms: “Seller Company Name” (Field Number 16) and “Customer Company Name” (Field Number 17). For example, if the name of the Seller Company or the Customer Company changes, EQR filers must list a new “Commencement Date of Contract Terms” in Field Number 22. We will therefore add Field Numbers 16 and 17 to the list of specified fields in the definition of “Commencement Date of Contract Terms.” The definition of Field Number 22 will be revised, in relevant part, to “[t]he date the terms of the contract reported in fields 16, 17, 18, 23 and 25 through 44 (as defined in the data dictionary) became effective.”

C. Transmission-Related Data

12. In Order No. 2001, the Commission required public utilities to file EQRs summarizing contractual terms and conditions in their agreements for all jurisdictional services, including transmission service. In particular, Order No. 2001 required public utilities to file information in the EQR about standard and non-conforming transmission service agreements under their Open Access Transmission Tariffs (OATT) in the Contract Data Section of the EQR.¹³ However, based on our review of EQR data, many transmission providers are not filing the necessary transmission-related data. We affirm the requirement set forth in Order No. 2001 that public utilities, including RTOs and ISOs,¹⁴ must file information about generally applicable transmission service (i.e., standard forms of transmission service agreements) and any agreements with individual terms and conditions or unexecuted agreements for any service (i.e., non-conforming transmission service agreements) in the Contract Data Section of the EQR. Pursuant to

¹¹ *Id.*

¹² Order No. 2001-I, 125 FERC ¶ 61,103 at P 23.

¹³ *See* Order No. 2001, FERC Stats. & Regs. ¶ 31,127 at PP 7, 18-19.

¹⁴ *Id.* P 334. *See also* 18 C.F.R. § 35.34(k) (2015).

Order No. 768, this requirement also applies to non-public utilities required to file EQRs that have an OATT on file with the Commission.¹⁵

D. Time Zone Field Options

13. Currently, options associated with the “Time Zone” field, which are listed in Appendix D of the EQR Data Dictionary, include “UT (Universal Time) and “NA (Not Applicable).” “Universal Time” is a modern continuation of Greenwich Mean Time. Based on our review of EQR data, it appears that no EQR filers use the “Universal Time” option when reporting time zone information. Therefore, the Commission will eliminate this option from Appendix D. In addition, the Commission will eliminate the option “Not Applicable” from Appendix D because this is not an appropriate option for reporting time zone information.

E. Removal of E-Tag ID-Related Data Fields

14. In Order No. 768-B, the Commission rescinded the requirement for EQR filers to submit e-Tag ID data for each transaction reported in the EQR if an e-Tag was used to schedule the transaction.¹⁶ Accordingly, we will delete the fields related to the e-Tag ID reporting requirement (i.e., Field Numbers 75 through 78) from the EQR Data Dictionary.

F. Future Minor or Non-Material Changes

15. As stated above, the Commission will make future minor or non-material changes to reporting requirements and the EQR Data Dictionary, such as those being set forth in this order, by posting them on the Commission’s website directly and alerting EQR users via email of the changes, rather than by issuing a Commission order. This approach is consistent with how the Commission makes other minor or non-material changes,

¹⁵ See Order No. 768, FERC Stats. & Regs. ¶ 31,336 at P 73 (requiring non-public utilities to report the same information about wholesale sales, transmission service, and transmission capacity reassignments currently reported by public utilities, with modifications related to information about certain wholesale sales made by non-public utilities).

¹⁶ Order No. 768-B, 150 FERC ¶ 61,075 at P 11.

including, for example, updates to the lists of Balancing Authority Area and Hub names in the EQR.¹⁷

16. For assistance or inquiries related to preparing EQRs, users may contact Commission staff at EQR@ferc.gov.

The Commission orders:

(A) The Commission hereby adopts the changes in the EQR Data Dictionary shown in the Attachment, as discussed in the body of this order.

(B) The definitions adopted in this order shall be applied to EQR filings beginning with the Q4 2016 EQR.

By the Commission.

(S E A L)

Kimberly D. Bose,
Secretary.

¹⁷ We will also revise the values associated with Point of Receipt Balancing Authority (PORBA), Point of Receipt Specific Location (PORSL), Point of Delivery Balancing Authority (PODBA), and Point of Delivery Specific Location (PODSL) in Field Numbers 39, 40, 41, 42, 57, and 58 to include: “See the EQR website at www.ferc.gov.” *See, e.g.*, Order No. 2001-H, 121 FERC ¶ 61,289; *Revised Public Utility Filing Requirements*, 106 FERC ¶ 61,281 (2004) (directing Commission staff to alert EQR users of future changes to entries for control area and hub names by email and to post these changes on the Commission’s website).

Attachment A

Update to Electric Quarterly Report Data Dictionary

EQR Data Dictionary Contract Data

Field #	Field	Required	Value	Definition
22	Commencement Date of Contract Terms	✓	YYYYMMDD	The date the terms of the contract reported in fields <u>16, 17, 18, 23 and 25 through 44</u> (as defined in the data dictionary) became effective. If those terms became effective on multiple dates (i.e., due to one or more amendments), the date to be reported in this field is the date the most recent amendment became effective. If the contract or the most recent reported amendment does not have an effective date, the date when service began pursuant to the contract or most recent reported amendment may be used. If the terms reported in fields 18, 23 and 25 through 44 have not been amended since January 1, 2009, the initial date the contract became effective (or absent an effective date the initial date when service began) may be used.
<u>28</u>	<u>Increment Name</u>	<u>✓</u>	<u>(5) - Five Minute</u>	<u>Terms of the contract (if specifically noted in the contract) set for up to 5 minutes (≤ 5 minutes).</u>
<u>28</u>	<u>Increment Name</u>	<u>✓</u>	<u>(15) - Fifteen Minute</u>	<u>Terms of the contract (if specifically noted in the contract) set for up to 15 minutes (≤15 minutes).</u>
28	Increment Name	✓	H - Hourly	Terms of the contract (if specifically noted in the contract) set for up to 6 consecutive hours (≤ 6 consecutive hours). Includes LMP based sales in ISO/RTO markets.
28	Increment Name	✓	D - Daily	Terms of the contract (if specifically noted in the contract) set for more than 6 and up to 60 consecutive hours (>6 and ≤ 60 consecutive hours).
28	Increment Name	✓	W - Weekly	Terms of the contract (if specifically noted in the contract) set for over 60 consecutive hours and up to 168 consecutive hours (>60 and ≤ 168 consecutive hours).
28	Increment Name	✓	M - Monthly	Terms of the contract (if specifically noted in the contract) set for more than 168 consecutive hours up to, but not including, one year (>168 consecutive hours and < 1 year).
39	Point of Receipt Balancing Authority(PORB A)	If specified in the contract. If not specified in the contract, this field should	See Balancing Authority Table Appendix B. the <u>EQR website at www.ferc.gov</u> .	The registered Balancing Authority (formerly called NERC Control Area) where service begins for a transmission or transmission-related jurisdictional sale. The Balancing Authority will be identified with the abbreviation used in OASIS applications. If receipt occurs at a trading hub, the term “Hub” should be used.

40	Point of Receipt Specific Location (PORSL)	If specified in the contract. If not specified in the contract, this field should remain blank.	Unrestricted text (50 characters). If “HUB” is selected for PORBA, see Hub Table, Appendix C. the <u>EQR website at www.ferc.gov</u> .	The specific location at which the product is received if designated in the contract. If receipt occurs at a trading hub, a standardized hub name must be used. If more points of receipt are listed in the contract than can fit into the 50 character space, a description of the collection of points may be used. ‘Various,’ alone, is unacceptable unless the contract itself uses that terminology.
41	Point of Delivery Balancing Authority(PODB A)	If specified in the contract. If not specified in the contract, field should remain blank.	See Balancing Authority Table Appendix B. the <u>EQR website at www.ferc.gov</u> .	The registered Balancing Authority (formerly called NERC Control Area) where a jurisdictional product is delivered and/or service ends for a transmission or transmission- related jurisdictional sale. The Balancing Authority will be identified with the abbreviation used in OASIS applications. If delivery occurs at the interconnection of two control areas, the control area that the product is entering should be used. If delivery occurs at a trading hub, the term “Hub” should be used.
42	Point of Delivery Specific Location (PODSL)	If specified in the contract. If not specified in the contract, field should remain blank.	Unrestricted text (50 characters). If “HUB” is selected for PODBA, see Hub Table, Appendix C. the <u>EQR website at www.ferc.gov</u> .	The specific location at which the product is delivered if designated in the contract. If receipt occurs at a trading hub, a standardized hub name must be used.

EQR Data Dictionary
Transaction Data

Field #	Field	Required	Value	Definition
57	Point of Delivery Balancing Authority (PODBA)	✓	See Balancing Authority Table Appendix B , the EQR website at www.ferc.gov.	The registered Balancing Authority (formerly called NERC Control Area) abbreviation used in OASIS applications.
58	Point of Delivery Specific Location (PODSL)	✓	Unrestricted text (50 characters). If "HUB" is selected for PODBAs, see Hub Table, Appendix C , the EQR website at www.ferc.gov.	The specific location at which the product is delivered. If receipt occurs at a trading hub, a standardized hub name must be used.
61	<u>Increment Name</u>	✓	<u>(5) - Five Minute</u>	<u>Terms of the particular sale for up to five minutes (≤ 5 minutes).</u>
61	<u>Increment Name</u>	✓	<u>(15) - Fifteen Minute</u>	<u>Terms of the particular sale for up to fifteen minutes (≤ 15 minutes).</u>
61	Increment Name	✓	H - Hourly	Terms of the particular sale set for up to 6 consecutive hours (≤ 6 consecutive hours) Includes LMP based sales in ISO/RTO markets.
61	Increment Name	✓	D - Daily	Terms of the particular sale set for more than 6 and up to 60 consecutive hours (>6 and ≤ 60 consecutive hours). Includes sales over a peak or off-peak block during a single day.
61	Increment Name	✓	W - Weekly	Terms of the particular sale set for over 60 consecutive hours and up to 168 consecutive hours (>60 and ≤ 168 consecutive hours). Includes sales for a full week and sales for peak and off-peak blocks over a particular week.
61	Increment Name	✓	M - Monthly	Terms of the particular sale set for set for more than 168 consecutive hours up to, but not including, one year (>168 consecutive hours and < 1 year). Includes sales for full month or multi-week sales during a given month.

EQR Data Dictionary

Appendix D. Time Zone

Time Zone	Definition
NA	<i>Not Applicable</i>
UT	<i>Universal Time</i>