



# **EQR User Group Meeting**

## **Office of Enforcement**

### **Division of Energy Market Oversight**

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December 5, 2017

# IT Support Improvements for EQR

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December 5, 2017



# Progress on Resolving FERC Online Support Requests

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- Improved EQR processes which reduced the number of tickets being created and the time taken to resolve them
- Improved tracking and reporting on open trouble tickets
- A knowledgebase is being built to help IT to provide improved support to filers who are having issues
- Senior level management assigned a Business Applications Support Team Lead to further improve the EQR support process.

# EQR System Upgrades and Improvements

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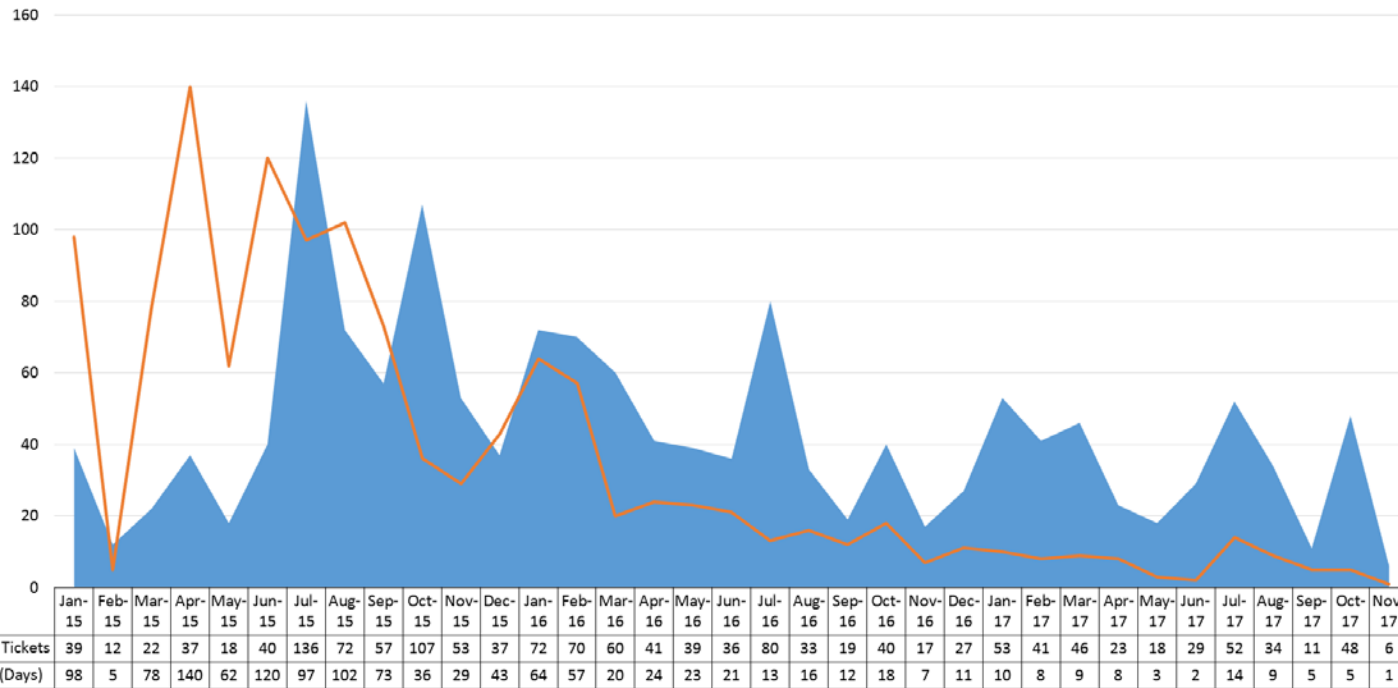
- Software upgrades
  - Added file name to the receipt email sent to filers after they complete their submission
  - Refined the alignment with other FERC systems such as eRegistration and Company Registration to ensure that only fully registered agents are allowed to file the EQR on behalf of a seller
- Hardware upgrades
  - Server upgrades have improved EQR performance, reliability and availability

# EQR Ticket Trend Analysis



Total Number of EQR Tickets Avg. Time to Resolve (Days)

Monthly EQR Tickets 2015-2017  
(Data through 11/17/17)



Month

- Number of tickets have declined and closure times have decreased since peaking in 2015
- Improved trend has remained steady over past six months

NEXT PRESENTATION – GERARD WESTON  
OFFICE OF ENFORCEMENT – DIVISION OF ENERGY  
MARKET OVERSIGHT



# EQR Website Overview

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EQR Users Group Meeting – December 5, 2017

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Guidance for filing extension requests is available at [EQR FAQ](#). Extension requests made through an electronic filing must use [eFiling](#).

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- » [What is EQR?](#)
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Telephone: 202-502-8076

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Electric Quarterly Reports (EQRs) for 3rd Quarter 2013 and Beyond

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These Frequently Asked Questions are being provided by FERC staff to assist filers in complying with the requirements set forth in Commission rules and orders for EQRs filed for the third quarter of 2013 and later. Questions and answers may be added or updated from time to time.

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May 16, 2017

- EQR Users Group Meeting: to discuss potential improvements to the EQR program and the EQR filing process. For more information and to register for this free event. [Agenda PDF](#) | [Notice PDF](#) | [Event Details](#)

May 2, 2017

- The technical issue preventing certain filers from submitting their Q1 2017 EQR filings using XML by Monday, May 1, has been resolved. Affected filers should submit their EQR filings no later than Friday, May 5.

May 1, 2017

- FERC staff is aware that some filers have been experiencing difficulty when trying to submit EQR filings using XML. Staff continues to troubleshoot the issue. Although the deadline for Q1 2017 EQR filings is today (May 1), filers do not need to submit an extension request if encountering this problem. A subsequent staff announcement will be made when the problem is resolved.

April 12, 2017

- Notice of Deactivation of EQR Sandbox Electronic Test Site [Notice PDF](#)

March 29, 2017

- FERC to Convene an EQR Users Group Meeting on May 16, 2017 [Notice PDF](#) | [Event Details](#)
- Notice of Extension of Time was issued for reporting a new Contract Unique ID (Field No. 15) when there is a new Commencement Date of Contract Terms (Field No. 22) [Notice of Extension of Time PDF](#)
- FERC Staff provides guidance for reporting in sub-hourly increments [Read More](#)

January 17, 2017


- Recently all FERC external servers have been updated to match required SSL protocol. This update includes the direct XML service for EQR users to submit their quarterly filings thru any 3rd party software. [Read More DOC](#)

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<a href="#">» EQR Web Interface and XML System Guide PDF</a>	<a href="#">» Allowable Entries for Balancing Authorities and Hubs XLS</a> (Fields 39-42, 57, 58)
<a href="#">» Release Notes PDF</a>	<a href="#">» Reference to XML Elements and Tags for EQR Fields PDF</a>
<a href="#">» Implementation Guidance of Executive Order 13579 PDF</a> (for EQR filers) Entering Notes to Corrected EQR Filings	<a href="#">» Electric Quarterly Report Filing Requirements Guide PDF</a>

### CONTACT

Filing Inquiries:  
Email: [eqr@ferc.gov](mailto:eqr@ferc.gov)  
Telephone: 202-502-8076

System Issues:  
FERC Online Support  
Email: [ferconlinesupport@ferc.gov](mailto:ferconlinesupport@ferc.gov)

[Telephone Numbers](#)

### QUICK LINKS

- Electric Market-Based Rates
- Notices of Succession or Cancellations
- Electric Industry
- Electric Staff Reports
- Company Registration
- Required Filers

### RSS NEWS FEED

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# Change Logs

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- Decisions & Notices
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## Change Logs

TEXT SIZE S M L

Version	Release Date	Description of Changes
V3.4 (updated)	1/12/2017	<p><b>Data Dictionary</b></p> <ul style="list-style-type: none"><li>• FERC staff has updated the Data Dictionary and the XML schema to be used beginning with EQR filings for the period Q1 2017. These documents include updates made in the June 16 and December 5, 2016 orders issued in Docket No. RM01-8, et al. The Primary Frequency Response product has been added to the Data Dictionary pursuant to Order No. 819. These changes include:<ul style="list-style-type: none"><li>» Added Primary Frequency Response</li><li>» Added 5-minute &amp; 15-minute Increment Names</li><li>» Removed "consecutive" from the Increment Name definitions</li><li>» Removed NA &amp; UT options from Time Zone Table (Appendix D)</li><li>» Removed Balancing Authority and Hub Tables (Appendix B and Appendix C)</li><li>» Removed eTag ID fields</li></ul></li><li>• V3.4 Clean and Redline posted</li></ul> <p><b>XML Schemas</b></p> <ul style="list-style-type: none"><li>• Data Values XSD updated to include (5) and (15) in Increment Name and to remove "NA" and "UT" from Time Zone.</li></ul> <p><b>EQR Release Notes</b></p> <ul style="list-style-type: none"><li>• V3.4 (updated) posted</li></ul>

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 Join Our EQR Contact List

# **EQR Website Overview**

**Questions?**

NEXT PRESENTATION – SOHEILA MANSOURI  
OFFICE OF ENFORCEMENT – DIVISION OF ENERGY  
MARKET OVERSIGHT



# Pre-Validation and Validation Error Messages

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EQR Users Group Meeting – December 5, 2017

# Validation Process (CSV files)

Validation is done in two steps:

- **Pre-validation**

Performs during upload

- **Validation**

Performs during submit

# Pre-Validation (CSV)

- Happens when attempting to upload a file
- Basic Data structure and formatting check
- If there is an error, the screen will display error information
- If pre-validation check passes, filers will be able to submit their files

## Basic Data Structure and Formatting Check Examples

- 'Issue with Zip file' (e.g. Empty zip file, Wrong extension)
- 'Formatting issue' (e.g. Contract UID not started by letter ' C')
- 'Login or password check' (e.g. No Seller found for a user that is logged in)
- 'Mismatching information provided' ( e.g. Selected Seller CID is different than the one from \_ident.csv file)

## Location for Pre-Validation Error Messages

- Error messages for Pre-validation can be found in the “EQR Web Interface and XML System Guide - Appendix B”
  - Available via this link: <https://www.ferc.gov/docs-filing/eqr/users-guide.pdf>



# Sample Error Messages for Pre-Validation

Message #	Cause	Message
1700	Seller has no filings in previous quarter.	No previous quarter data for this Seller exist. Previous quarter data cannot be used to prefill the current quarter unless Seller has successfully submitted a filing in the previous quarter.
3400	Uploaded _transactions.csv without _contracts.csv file	No _contracts.csv file found for the uploaded _transactions.CSV file in the zip. Transactions that occur within the reporting quarter must have corresponding contracts reported during the same reporting quarter.

# Uploading Large CSV Files

- At any given time, the system may adjust one or more file size thresholds in order to optimize queue management
- File is too large to be submitted for pre-validation
- System provides Options to submit for “Test Only” or “Direct CSV Submission”

# Uploading XML Files

There are two options for filing in XML:

- **Direct XML Upload**
  - Has option for Test Only Submissions
- **Web Service**
  - No Test Only Option

# XML Schema (XSD) Validation

- Filers should check their XML files against the XSD provided by FERC before uploading their files for validation
- The XSD files are located on the EQR website here:
  - [http://eqr.ferc.gov/XSD/XmlModelPublic\\_DataStructure.xsd](http://eqr.ferc.gov/XSD/XmlModelPublic_DataStructure.xsd)
  - [http://eqr.ferc.gov/XSD/XmlModelPublic\\_DataValue.xsd](http://eqr.ferc.gov/XSD/XmlModelPublic_DataValue.xsd)

# Test Only Validation

- Validates data before writing to the database
- All validation rules apply to the data
- Data is not submitted to the Commission
- Users may submit tested files in “Direct CSV Submission” or “Direct XML Upload”

# **Notification emails are sent from FERC for CSV and XML**

**1. Receipt Email**

**2. Validation Email**

**3. Rejection Email**

**OR**

**Acceptance Email**

# Validation Errors

- Validation Rules and Error Messages are available at:

<https://www.ferc.gov/docs-filing/eqr/order768/validation-rules.pdf>

- Rules are applied after the system opens the files

# Validation Errors - example

Original Req. ID	Requirement Description	Effective Time Frame					Error Message	Severity	Type of Validation
		Pre Q1 2004	Q1 2004	Q1 2005	Q4 2006	Q3 2013			
F.25.2.5	Disallow empty Product Name.	No	Yes	Yes	Yes	Yes	Product Name (Field 63) may not be empty or null	Error	Data Check
F.25.24.1	If transaction StandardizedQuantity is <= 0.	No	No	No	No	Yes	Please confirm that transactions with negative or zero Standardized Quantity (Field 67) are correct.	Warning	Data Check



# Error vs. Warning Messages

## Error

- Will prevent acceptance
- Must be corrected and then resubmitted

## Warning

- Will not prevent acceptance
- Alerts the filers to double check their filing

# Further Information

- If you receive Pre-Validation or Validation errors that you need assistance with, or are not documented, please email us at [eqr@ferc.gov](mailto:eqr@ferc.gov)

# Pre-Validation and Validation Error Messages

- Questions?

NEXT PRESENTATION – ROXANA ROYSTER OFFICE  
OF ENFORCEMENT – DIVISION OF ENERGY  
MARKET OVERSIGHT



**CELEBRATING 40 YEARS**

# **“Other” Product Name and “Other” Product Type Name in the EQR**

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**EQR Users Group Meeting – December 5, 2017**

# **“Other” Product Name Data from the EQR**

- **Product Name in the EQR is reported in Field Nos. 31 and 63.**
- **Data Dictionary definition: Description of product being offered.**
- **The Product Names Table is found in Appendix A of the Data Dictionary.**
- **Data Dictionary definition of “Other” Product Name: Product name not otherwise included.**
- **“Other” Product Name sales comprise around 3% of the Total Transaction Charges for every quarter since 2016.**
- **“Other” Product Name is the fourth most reported product name after Energy, Capacity, and Requirements Service Product Names by Total Transaction Charges.**

# **“Other” Product Name Data from the EQR**

- The majority of transactions reported as “Other” Product Name are sales to RTO/ISOs and the specific Total Transaction Charge for each transaction is relatively small.
- The Rate Description field (Field No. 37) indicates that these sales often report meter error corrections and flexible ramping product.
- The largest Total Transaction Charges of “Other” Product Name are reported from bilateral sales to affiliates.

# **“Other” Product Name Reporting Questions**

- The Rate Description field data do not always comply with the Data Dictionary requirement when the “Other” Product Name is reported.
- Reporting “N/A” or “Market-Based” in the Rate Description does not comply with the Data Dictionary requirements or improve the transparency of the wholesale markets.



# Example of Reporting That May Need to Be Reviewed

Customer Company Name	Bilateral
Contract Affiliate	Y
FERC Tariff Reference	Market-Based Rate Power Sales Tariff
Contract Service Agreement ID	Contract ABC
Product Name	Other
Rate	
Rate Minimum	
Rate Maximum	
<b><i>Rate Description</i></b>	<b><i>N/A</i></b>

# “Other” Product Name Best Practices

- When submitting the Rate Description to the EQR, the filer should report the required information, as defined in the Data Dictionary.
- Some acceptable options for the Rate Description field are:
  - A text description of the rate
  - A FERC Accession Number and the relevant tariff
  - A rate algorithm
  - A descriptive summary with a citation of the tariff

# “Other” Product Name Best Practices

- When reporting bilateral sales under a long-standing contract, review the contract and verify especially that the Product Name is not Requirements Service or Grandfathered Bundled instead of Other.
- Staff is interested in knowing if there are Product Names that filers think should be added to the Product Names Table so that these products do not need to be reported as “Other”.
- Contact the EQR team at [eqr@ferc.gov](mailto:eqr@ferc.gov) to let Staff know of possible Product Names to be added.

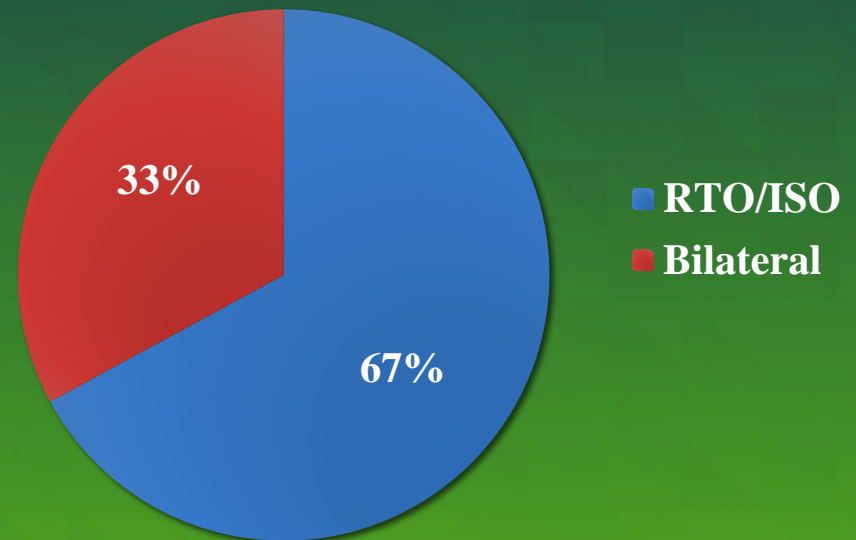
# “Other” Product Type Name Data from the EQR

- Field No. 30 in the Data Dictionary allows the following options:
  - CB - Cost Based
  - CR - Capacity Reassignment
  - MB - Market Based
  - T - Transmission
  - NPU – Non-Public Utility
  - *Other*

# “Other” Product Type Name Data from the EQR

- The majority of transactions reported as “Other” Product Type Name are sales to RTO/ISOs.

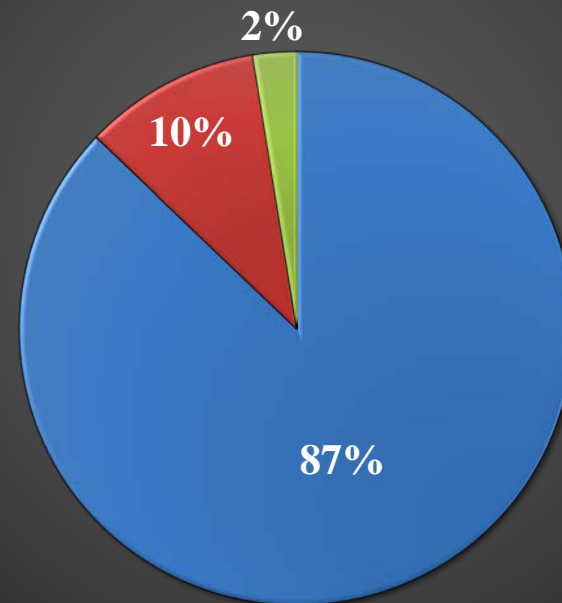
Product Type Name Reporting by  
Customer Company  
Number of Transactions in Q2 2017



# “Other” Product Type Name Data from the EQR

- The majority of the transactions listed as “Other” Product Type Name are sales of Energy and Capacity Product Names.
- The Customer Company for most of these transactions is the RTO/ISO.
- Staff would expect that sales to RTO/ISOs would be reported as “MB” Product Type Name and not “Other” Product Type Name.

## Product Type Name Reporting By Product Name Number of Transactions in Q2 2017



■ Energy ■ Capacity ■ Various Product Names

# **“Other” Product Type Name Reporting Questions**

- Staff has observed instances of reporting of “Other” Product Type Name while the Rate Description field reports text such as “Market-Based”.
- This type of reporting does not clarify why the Product Type Name is “Other” and not “MB - Market Based”.

# Example of Reporting That May Need to Be Reviewed

Customer Company Name	ISO
Contract Affiliate	N
FERC Tariff Reference	FERC Electric Tariff Revised Volume 1
Contract Service Agreement ID	Agreement ABC
Class Name	N/A
Term Name	ST
Increment Name	N/A
Increment Peaking Name	N/A
<b><i>Product Type Name</i></b>	<b><i>Other</i></b>
Product Name	Energy
<b><i>Rate Description</i></b>	<b><i>Market-Based</i></b>



# **“Other” Product Type Name Best Practices**

- **Verify that the Product Type Name is reported correctly by eliminating all the other options allowed for this field.**
- **Review the contracts for Energy, Capacity, and Ancillary Services sales into the RTO/ISO markets to verify the correct reporting of the Product Type Name.**

**“Other” Product Name**

**“Other” Product Type Name**

- Questions?