

**Information Requirements Subcommittee**  
**FERC Order No. 637 GISB Action Items Report to the Executive Committee**  
**IR Priority # 1 (Action Item VI)**  
**List of Imbalance Related Code Values**

18-Jul-00

Per the FERC Order 637 work plan approved by the Executive Committee, Information Requirements Subcommittee (IR) reviewed the GISB datasets to prepare a list of data elements and code values within the existing datasets relating to imbalances. GISB datasets from Nominations through Invoicing are designed to handle imbalances. Code values for the Charge Type, Service Code, Service Requester Level Charge/Allowance Amount Descriptor, and Transaction Type data elements exist for imbalance transactions. Current datasets can be used for limited imbalance netting, but do not have specific provisions for imbalance trading. The Expedited Data Development Subcommittee is currently addressing imbalance netting and trading.

The following are related directly to imbalances:

- a) The Shipper Imbalance is used to report imbalances to the Service Requester.
- b) Listed below are current GISB data elements and associated code values that directly relate to imbalances.

<b><u>Data Element</u></b> Charge Type	<b><u>Data Element Definition</u></b> Identifies the type of charge rendered under a specific type of service.	<b><u>Code Value Description</u></b> Imbalance Penalty Under Volume	<b><u>Code Value Definition</u></b> NOTE: IR has not yet determined whether or not a definition is necessary for this code value.	<b><u>Where Used</u></b> Note 1
<b><u>Data Element</u></b> Service Code	<b><u>Data Element Definition</u></b> Identifies the type of service rendered under the contract.	<b><u>Code Value Description</u></b> Imbalance Settlement	<b><u>Code Value Definition</u></b> An agreement under which a service requester would reconcile and settle an imbalance.	<b><u>Where Used</u></b> Note 1
<b><u>Data Element</u></b> Service Requester Level Charge/ Allowance Amount Descriptor	<b><u>Data Element Definition</u></b> Descriptor used to provide information about the service requester level charge or allowance.	<b><u>Code Value Description</u></b> Imbalance Charges	<b><u>Code Value Definition</u></b> Charges/allowances for the settlement of quantity imbalances.	<b><u>Where Used</u></b> Note 2

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**Data Element**  
Transaction Type

**Data Element Definition**

This field identifies the specific type of transaction. This field will be populated with GISB approved transaction types. For example: authorized overrun, imbalance payback to pipeline, imbalance payback from pipeline, plant thermal reduction, current business, injection, withdrawal. The default value is current business.

**Code Value Description**

**Code Value Definition**

**Where Used**

Imbalance Payback from Transportation Service Provider	A payback of an imbalance from the Transportation Service Provider to the Service Requester.	Note 3
Imbalance Payback to Transportation Service Provider	A payback of an imbalance from the Service Requester to the Transportation Service Provider.	Note 4
Imbalance Transfer	A transfer of an imbalance between contracts or Service Requesters.	Note 5
Loan	A "loan" of quantities at a location from the Transportation Service Provider to a Service Requester.	Note 6
Loan Payback	A payback of "loaned" quantities at a location from the Service Requester to the Transportation Service Provider.	Note 6
No-notice Balancing	A quantity of gas to resolve a current month no-notice imbalance.	Note 7
No-notice Due Service Requester Balancing	A quantity of gas to resolve a prior month no-notice imbalance owed to the Service Requester.	Note 7
No-notice Due Transportation Service Provider Balancing	A quantity of gas to resolve a prior month no-notice imbalance owed to the Transportation Service Provider.	Note 7
Park	A "park" of quantities at a location by a Service Requester.	Note 6
Park Withdrawal	A withdrawal of "parked" quantities at a location by a Service Requester.	Note 6

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Note 1: Transportation/Sales Invoice (Standard 3.4.1)

Note 2: Transportation/Sales Invoice (Standard 3.4.1) and Service Requester Level Charge/Allowance Invoice (Standard 3.4.4)

Note 3: Nomination (Standard 1.4.1), Scheduled Quantity (Standard 1.4.5), Pre-determined Allocation (Standard 2.4.1), Allocation (Standard 2.4.3), Shipper Imbalance (2.4.4), and Transportation/Sales Invoice (3.4.1)

Note 4: Nomination (Standard 1.4.1), Scheduled Quantity (Standard 1.4.5), Pre-determined Allocation (Standard 2.4.1), Allocation (Standard 2.4.3), and Shipper Imbalance (2.4.4)

Note 5: Shipper Imbalance (Standard 2.4.4) and Transportation/Sales Invoice (Standard 3.4.1)

Note 6: Nomination (Standard 1.4.1), Pre-determined Allocation (Standard 2.4.1), Allocation (Standard 2.4.3), Shipper Imbalance (Standard 2.4.4), and Transportation/Sales Invoice (Standard 3.4.1)

Note 7: Nomination (Standard 1.4.1), Scheduled Quantity (Standard 1.4.5), Shipper Imbalance (Standard 2.4.4), and Transportation/Sales Invoice (Standard 3.4.1)

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**IR Priority # 2 (Action Item XII)**  
**Usage/Accommodation of Agents in GISB Datasets**

There are two types of agents: business agents and communications agents. A business agent is an entity who is contractually authorized to conduct business for another entity. On the other hand, a communication agent (also known as a third party service provider) is an entity contracted to send and receive data for another entity. Communication agency information can be relayed via HTML information and EDI enveloping (i.e. the ISA and GS segments), which are not within the datasets. Therefore, communication agents are not within the scope of the Information Requirements Subcommittee (IR). However, in Capacity Release, there are instances where the communications agent is specified within the datasets. See the Capacity Release inventory below for further clarification.

Business agency information is contained within the datasets. Listed below is an inventory of the usage and accommodation of business agents in the existing datasets.

<u>Standards Book</u>	<u>Dataset</u>	<u>Usage or Accommodation of Agents</u>
<b>Nominations</b>		
	Nomination (1.4.1)	The definition of the data element Service Requester includes the phrase 'or their agent'.
	Nomination Quick Response (1.4.2)	The definition of the data element Service Requester includes the phrase 'or their agent'.
	Request for Confirmation (1.4.3)	The definition of the data element Service Requester includes the phrase 'or their agent'.
	Confirmation Response (1.4.4)	The definition of the data element Service Requester includes the phrase 'or their agent'.
	Scheduled Quantity (1.4.5)	The definition of the data element Service Requester includes the phrase 'or their agent'.
	Scheduled Quantity for Operator (1.4.6)	The definition of the data element Service Requester includes the phrase 'or their agent'.
	Confirmation Response Quick Response (1.4.7)	The data element Service Requester that was sent in the Confirmation Response dataset is referred to through the use of the data element Confirmation Tracking Identifier.

<u>Standards Book</u>	<u>Dataset</u>	<u>Usage or Accommodation of Agents</u>
<b>Flowing Gas</b>		
	Pre-determined Allocation (2.4.1)	The data element Service Requester ID appears in the dataset, but the definition differs from the one in the Nominations related datasets in that it does not include the phrase 'or their agent'. The data elements Preparer ID and Statement Recipient ID appear in the dataset and could be either the principal or the agent.
	Pre-determined Allocation Quick Response (2.4.2)	The data element Service Requester ID that was sent in the Pre-determined Allocation dataset is referred to through the use of the data element PDA Submitter's Tracking ID.
	Allocation (2.4.3)	The data element Service Requester ID appears in the dataset, but the definition differs from the one in the Nominations related datasets in that it does not include the phrase 'or their agent'. The data elements Preparer ID and Statement Recipient ID appear in the dataset and could be either the principal or the agent.

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<u>Standards Book</u>	<u>Dataset</u>	<u>Usage or Accommodation of Agents</u>
<b>Flowing Gas</b> (continued)	Shipper Imbalance (2.4.4)	The data element Service Requester ID does not currently appear in the dataset. This data element, however, is in the process of being added to the dataset. The definition differs from the one in the Nominations related datasets in that it does not include the phrase 'or their agent'. The data elements Preparer ID and Statement Recipient ID appear in the dataset and could be either the principal or the agent.
	Measurement Information (2.4.5)	Agents are not specifically referred to in any of the data elements in the dataset. The data elements Preparer ID and Statement Recipient ID appear in the dataset and could be either the principal or the agent.
	Measured Volume Audit Statement (2.4.6)	Agents are not specifically referred to in any of the data elements in the dataset.

<u>Standards Book</u>	<u>Dataset</u>	<u>Usage or Accommodation of Agents</u>
<b>Invoicing</b>	Transportation/Sales Invoice (3.4.1)	The definition of the data element Service Requester includes the phrase 'or their agent'.
	Payment Remittance (3.4.2)	The definition of the data element Service Requester includes the phrase 'or their agent'.
	Statement of Account (3.4.3)	The definition of the data element Service Requester includes the phrase 'or their agent'.
	Service Requester Level Charge/Allowance Invoice (3.4.4)	The definition of the data element Service Requester includes the phrase 'or their agent'.

**Standards Book**

**Capacity Release** Note: The Return Addressee Company Code is defined as the legal entity to which the response to a document is to be sent. In the Sample Paper Transactions for several Capacity Release datasets the Return Addressee Company Code is populated with a communication agent. Therefore, the principal, the business agent, or the communication agent may appear in this data element.

<u>Dataset</u>	<u>Usage or Accommodation of Agents</u>
Offer Upload (5.4.7)	The data elements Bidder Company Code, Releaser Company Code, and Return Addressee Company Code appear in the dataset. Although the definitions for these data elements do not specifically refer to agency, the Sample Paper Transaction reflects a communication agent in the Return Addressee Company Code data element. In addition, the Technical Implementation of Business Process states that the document "is sent from the releasing shipper (or its agent)".
Offer Upload Quick Response (5.4.8)	The data elements Bidder Company Code and Releaser Company Code that were sent in the Offer Upload dataset are referred to through the use of the data element Offer Tracking Identifier.

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<u>Standards Book</u>	<u>Dataset</u>	<u>Usage or Accommodation of Agents</u>
<b>Capacity Release</b> (continued)	Offer Upload Notification (5.4.9)	The data elements Bidder Company Code, Releaser Company Code, and Return Addressee Company Code appear in the dataset. The definitions for these data elements do not specifically refer to agency. The optional Offer Upload Notification dataset may be sent to the bidder by either the releasing shipper or the transportation service provider. The Sample Paper Transaction reflects that the releasing shipper's communication agent is sending this document, and therefore is specified in the Return Addressee Company Code data element. However, since the Offer Upload Bidder Confirmation dataset should only be sent to the transportation service provider, the Sample Paper Transaction is incorrect. The transportation service provider should be specified in the Return Addressee Company Code data element.
	Offer Upload Bidder Confirmation (5.4.10)	The data elements Bidder Company Code and Return Addressee Company Code appear in the dataset. The definitions for these data elements do not specifically refer to agency.
	Offer Upload Bidder Confirmation Quick Response (5.4.11)	The data element Bidder Company Code appears in the dataset. The definition for this data element does not specifically refer to agency.
	Offer Upload Final Disposition (5.4.12)	The data element Bidder Company Code appears in the dataset. The definition for this data element does not specifically refer to agency. The data element Releaser Company Code that was sent in the Offer Upload dataset is referred to through the use of the Offer Tracking Identifier data element.  The text of the Sample Paper Transaction incorrectly refers to Gas Management Software Co. (GMS) as the releasing shipper. In previous Sample Paper Transactions, GMS has been specified in the Return Addressee Company Code data element because they are the communication agent for the releasing shipper.  The Technical Implementation of Business Process states that the Offer Upload Final Disposition dataset should be sent to "the releasing shipper that submitted the Offer Upload". By definition, the return addressee is the entity that should receive the Offer Upload Final Disposition dataset, which is the response to the Offer Upload dataset.
	Bid Upload (5.4.18)	The data elements Bidder Company Code, Releaser Company Code, and Return Addressee Company Code appear in the dataset. Although the definitions for these data elements do not specifically refer to agency, the Sample Paper Transaction reflects a communication agent in the Return Addressee Company Code data element. In addition, the Technical Implementation of Business Process states that the document "is sent from the potential replacement shippers (or their agents)".

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<u>Standards Book</u>	<u>Dataset</u>	<u>Usage or Accommodation of Agents</u>
<b>Capacity Release</b> (continued)		
	Bid Upload Quick Response (5.4.19)	The data elements Bidder Company Code and Releaser Company Code that were sent in the Bid Upload dataset are referred to through the use of the data element Bid Tracking Identifier.
	Offer Download (5.4.1)	The data elements Bidder Company Code and Releaser Company Code appear in the dataset. The definitions for these data elements do not specifically refer to agency.
	Bid Download (5.4.2)	The data element Releaser Company Code appears in the dataset. The definition for this data element does not specifically refer to agency.
	Award Download (5.4.3)	The data elements Bidder Company Code and Releaser Company Code appear in the dataset. The definitions for these data elements do not specifically refer to agency.
	Replacement Capacity (5.4.4)	Agents are not specifically referred to in any of the data elements in the dataset.
	Withdrawal Download (5.4.5)	Agents are not specifically referred to in any of the data elements in the dataset.
	Withdrawal Upload (5.4.6)	The data element Withdrawing Company Code appears in the dataset. Although, the definition for this data element does not specifically refer to agency, the Technical Implementation of Business Process states that the document "is sent by the withdrawing party, or their agent".
	Operationally Available and Unsubscribed Capacity (5.4.13)	Agents are not specifically referred to in any of the data elements in the dataset.
	Upload of Request for Download of Posted Datasets (5.4.14)	The data element Requester Company Code appears in the dataset. The definition for this data element does not specifically refer to agency.
	Response to Upload of Request for Download of Posted Datasets (5.4.15)	The data element Requester Company Code appears in the dataset. The definition for this data element does not specifically refer to agency.
	System-Wide Notices (5.4.16)	Agents are not specifically referred to in any of the data elements in the dataset.
	Note/Special Instruction (5.4.17)	The data elements Bidder Company Code and Releaser Company Code appear in the dataset. The definitions for these data elements do not specifically refer to agency.