

## **FERC STAFF PROPOSED eTARIFF FRAMEWORK FOR MARCH 13, 2007 NAESB MEETING**

Based on the discussion at the February 1<sup>st</sup> NAESB Conference, FERC staff are willing to propose the following framework for electronic tariff filings.

1. Filers will have two options to load tariff text into the tariff data base (to accommodate both the EEI/AOPL and INGAA proposals)
  - a. **Entire Document Option** – Under certain conditions a company can load each of its jurisdictional agreements (tariff, rate schedule, etc.) as a single data base record with a .pdf file as one of the record's fields (see constraints in #2). Under this option, the company would need to refile the entire agreement as a single record with every proposed revision.
  - b. **Sheet Based Filing** -- A company can load individual tariff sheets or groups of sheets as individual records, and only replace the tariff sheet(s) records it is proposing to change.
2. Scope of .pdf Document filings. In the July 6, 2005, Notice of Additional Proposals And Procedures (FERC Stats. & Regs. [Notices] ¶ 35,551), the Commission proposed to allow oil tariffs and grandfathered agreements to be filed in .pdf format. If the industries wish to file .pdf format documents, research, analytical functionality and the ability to compile content must be addressed for both the Commission and the public. To implement this option (other than grandfathered contracts), there needs to be a discussion on the scope, content and structure of the .pdf file addressing the ability to conduct word search, headers to activate Adobe automatic Table of Contents generator and other issues.
3. The tariff database fields required for either the Document or Sheet Based option will be identical. The attachment includes the fields currently used for the eTariff data base along with a glossary of terms, which can be further discussed at the meeting.
  - a. Under the Document Option, the field data could be captured by a web-page, as a Tariff Filing is likely to have no more than one or two records. The record and field data to be captured and the means for capturing it needs to be discussed at the next meeting.
  - b. Under the sheet-based approach each tariff sheet will be a record, and likely numerous records will be part of every Tariff Filing. It would be more convenient for Companies making Tariff Filings if they had some way to package these records and upload them on the FERC website as a package as opposed to record-by-record. Standards need to be developed for identifying how the overall package data as well as the record data for each sheet will be transmitted (e.g., xml)
4. As requested by the parties at the conference, FERC is willing to discuss the creation of a web-based interface to facilitate all electronic filings, and in this case tariff filings.

## Glossary of Terms

Line	Term	Definition
1	Company	A company regulated by the FERC required to submit Tariff Filings pursuant to Parts 35, 154, 284, 341 or other Parts as required by the Commission.
2	Database	Compilation of all tariffs, Tariffs, OATTS, Rate Schedules, certain service agreements, Statement of Conditions, rates, and any other material the Commission requires to be filed in a data base format. A Company must have no more than one active Data base.
3	Fields	A Field is an element of a Record. A Field may be mandatory or discretionary, will have defined formats, and have restricted values.
4	Record	A single record of a Data base will consist of multiple Fields. A record may contain a Field that is plain text or a document (such as a PDF file). A Data base must contain at least one Record.
5	Tariff Filing or Filing	A Tariff Filing consists of a Company filing made pursuant to Parts 35, 154, 284, 341 or other Parts as required by the Commission with all of its components: e.g.: Transmittal Letter, Notice, supporting documents, and required Records of tariffs, Tariffs, OATTS, Rate Schedules, service agreements, Statement of Conditions, rates, and any other material the Commission requires to be filed in a Data base format.
6	Type of Filing	A specific Commission defined Tariff Filing that may be filed by a Company pursuant to Parts 35, 154, 284, 341 or other Parts as required by the Commission

## Draft eTariff Data Elements and Descriptions

### Introduction

The following specify the Data Dictionary for eTariff filings. Conceptually, an eTariff filing consists of the following items:

- Filing Data - which describes the overall filing
- Filing Attachment Data - supporting documents required by specific filing types
- Tariff Content Data - the actual tariff "text" or "content" of the Tariff itself

### Filing Data

This data defines the filing. In some ways this could be considered defining the "container" to which the Filing Attachment Data and Tariff Content Data belong.

<i>Business Name</i>	<i>Element Name</i>	<i>Field Format</i>	<i>Restricted Values</i>	<i>Definition of Data Element</i>
Company Identifier	company_id	Numeric (10)	1 - 2,147,483,648	A FERC-Designated company identifier code
Database Identifier	tariff_id	Numeric (10)	1 - 2,147,483,648	A unique identifier for each database for that company. This can be any value in the allowable range of numbers, but it must be unique for each company database..
Database Title	tariff_title	Alphanumeric (100)	Free form text. Only required for initial, first-time filings.	The title or name to give to each company database. After the initial filing has been made, this value is no longer required; the "database identifier will suffice.
Filing Identifier	filing_id	Numeric (10)	1 - 2,147,483,648	A unique identifier for the specific filing for that company. This can be any value in the allowable range of numbers, but it must be unique across all filings for a specific company.
Filing Title/Description	filing_title	Alphanumeric (80)	Free form text. Must not be empty.	The title given to the filing by the filing company
Type of filing/Filing reference code	filing_type	Numeric (10)	Some examples are:  (Sect. 35.13(a)(2)(iii) - Rate Schedule Changes Other Than Rate Increases/Compliance Filing)  (Sect. 342.2(a) - Establishing Initial Rates - Cost of Service option)	This defines the type of Tariff filing being made.  Please refer to <a href="http://www.ferc.gov/docs-filing/etariff/fil-soft-help/etariff-rules-table.pdf">http://www.ferc.gov/docs-filing/etariff/fil-soft-help/etariff-rules-table.pdf</a> for the current list of codes.
Point of Contact First Name	poc_fname	Character (30)	Free form text. Must not be empty.	First name of point of contact person for the filing
Point of Contact Middle Initial	poc_midinit	Character (1)	Free form text. Empty/null allowed.	Middle initial of contact person for the filing
Point of Contact Last Name	poc_lname	Character (30)	Free form text. Must not be empty.	Last name of point of contact person for the filing
Point of Contact phone number	poc_phone	Character (15)	Numeric. Form of 999999999999999 digits are interpreted as: (999) 999-9999 x99999	The phone number of the contact person for the filing
Point of Contact email address	poc_email	Alphanumeric (100)	Free form text. Value email should be entered.	The email address of the contact person for the filing.
Company Authorizing person First Name	auth_fname	Character (30)	Free form text. Must not be empty.	First name of point of the authorizing person for the filing

<i>Business Name</i>	<i>Element Name</i>	<i>Field Format</i>	<i>Restricted Values</i>	<i>Definition of Data Element</i>
Company Authorizing person Middle Initial	auth_midinit	Character (1)	Free form text. Empty/null allowed.	Middle initial of authorizing person for the filing
Company Authorizing person Last Name	auth_lname	Character (30)	Free form text. Must not be empty.	Last name of point of the authorizing person for the filing
Authorizer/Signer email	signer_email	Alphanumeric (100)	Free form text. Value email should be entered, and the email address must be eRegistered with FERC.	The email address of the authorizer/signer person for the filing.
Associated Filing	assoc_filing	Numeric (10)	1 - 2,147,483,648 This is not applicable to all filing types. Where it is used, it must refer to a previous filing, and the value here should be that filing's "filing_id" value.	This is used to associate the filing with a previous filing made to FERC. For example, compliance filings and withdrawal filings must identify the previous, applicable filing to which they pertain.

Filing Attachment Data:

This defines data for each supporting document that is being provided with the filing.

<i>Business Name</i>	<i>Element Name</i>	<i>Field Format</i>	<i>Restricted Values</i>	<i>Definition of Data Element</i>
Company Identifier	company_id	Numeric (10)	1 - 2,147,483,648	A FERC-Designated company identifier code
Filing Identifier	filing_id	Numeric (10)	1- 2,147,483,648	A unique identifier for the specific filing for that company. This can be any value in the allowable range of numbers, but it must be unique across all filings for a specific company.
Attachment Reference Code	att_ref	Numeric (10)	<p>If attachment pertains to a specific document defined for the type of filing, the appropriate document reference code must be used. If the attachment is an 'additional' or supplemental document that does not pertain to a specific supporting document required by the filing type, this value may be 0.</p> <p>Some examples are:</p> <p>(Transmittal letter - § 341.2(c)(1))</p> <p>(Cost-Of-Service Summary Schedule - § 346.2(b))</p> <p>(Statement A - § 346.2(c)(1))</p> <p>(Statement B - § 346.2(c)(2))</p>	<p>Different filing types have differing sets of requested supporting documentation. When an attachment is provided, and that attachment is meeting the request of a specific supporting document, the appropriate document reference code must be provided.</p> <p>Please refer to <a href="http://www.ferc.gov/docs-filing/etariff/fil-soft-help/etariff-rules-table.pdf">http://www.ferc.gov/docs-filing/etariff/fil-soft-help/etariff-rules-table.pdf</a> for the current list of codes.</p>
Waiver requested	waive_req	Character (1)	"Y" - waiver is requested "N" or " " - waiver not requested	The requested supporting documentation can be requested to be waived by the filing company. For each document that is requested to be waived, the attachment reference code (above) is provided, and a value of "Y" is entered here. Of course, if an actual document is being provided, this value should be "N" or empty (" ").
Supporting document	doc_raw_data	Binary (10 MB)	None. Binary data. Actual document data.	This is the actual document 'content'. That is, the binary data of the file contents as it is stored electronically.
Supporting document filename	doc_filename	Alphanumeric (64)	Free form text. If a document is being attached (e.g. a waiver not requested), a filename must be entered here. Only valid filenames are permitted (e.g. the following characters are not allowed in filenames: ? / * \ " ' > < . and so on.	The filename of the document being attached. This filename will be used to recreate the document when needed.
Document Security Level	doc_sec_lvl	Character (1)	" " - only if waiver is requested "P" - public "B" - public non-Internet "M" - privileged "X" - Critical Energy Infrastructure	The level of security of the specific document (if one is included).

## Tariff Content Data

This provides the data for each section/sheet, or complete contents, of a Tariff document that is being filed.

<i>Business Name</i>	<i>Element Name</i>	<i>Field Format</i>	<i>Restricted Values</i>	<i>Definition of Data Element</i>
Company Identifier	company_id	Numeric (10)	1 - 2,147,483,648	A FERC-Designated company identifier code
Filing Identifier	filing_id	Numeric (10)	1 - 2,147,483,648	A unique identifier for the specific filing for that company. This can be any value in the allowable range of numbers, but it must be unique across all filings for a specific company.
Option Designation	filing_opt	Character (1)	Must not be empty. "A" thru "Z" allowed. Also, options must increment through alphabet. E.g. a filing cannot have an "A" and a "C" option without also having a "B" option.	In some cases, companies desire to submit several "options" for consideration by FERC. For example, one option may be to change 3 or 4 sheets in one way, but change them in a different way in another option. FERC can look at these changes grouped by option and decide if one is more appropriate than another. This designator allows this to be performed. If there is only 1 "option" of changes for review, this value should be "A".
Database Identifier	tariff_id	Numeric (10)	1 - 2,147,483,648	A unique identifier for the database for each company. This can be any value in the allowable range of numbers, but it must be unique for each database for the company.
Record Identifier	sect_id	Numeric (10)	1 - 2,147,483,648	This is a unique identifier of the data contained. This identifier is what will track the changes to the content over time. The value must be unique for a specific company.
Record Title	sect_title	Alphanumeric (254)	Free Form text. Allowed to be empty	This is the title of the Record contents. When the Company database is assembled, this would be printed at the beginning of the record.
Record Number	sect_num	Alphanumeric (25)	Free Form text. Must not be empty	Some form of textual identifier. When the Company database is assembled, this would be printed at the beginning of the content.
Record Collation value	sect_sort	Alphanumeric (25)	Free Form text. Must not be empty	When the company database is reassembled, this value will determine the sort order in which things are merged.
Record Parent or Container Identifier	sect_parent	Numeric (10)	1 - 2,147,483,648 if this content is a 'sub part' of other content, or 0 if not.	In some cases, portions of a Record are 'sub sections' of other portions. If this approach is used, the value here must be a valid Record Identifier of another Record.
Record Effective Date	eff_date	Date (10)	Valid Date values.	This is the proposed date the specified content is supposed to go into effect.
Record Effective Priority order	apply_order	Numeric (10)	1 - 2,147,483,648 The value must be unique for a specific section on a specific effective date.	When multiple changes to the same content are proposed to go into effect on the same day, this value will determine which change will take precedence. I.e. the change filed with the highest priority value will be the one that becomes effective on the given date.
Record raw data	sect_data	Binary (10 MB)	None. Binary data. Actual content data.  Valid Data Format is <TBD>	This is the actual document 'content'. That is, the binary data of the contents as it is stored electronically. When the Company database is assembled, this is what is used to display the tariff content. This is the field for those choosing to file the tariff, rate schedule, contract as a single document.
Record plain text	sect_text	Alphanumeric (10 MB)	Free Form text. The text extracted from the raw data. E.g. all control codes and special binary characters are removed.	This is the plain text of the Record raw data contents. Formatting and other binary values are stripped from this content. This is the field for those filing tariff sections.
Record type change requested	sect_change	Character (15)	"NEW" "CHANGE" "CANCELLATION"	This describes the type of change being requested.
Associated Filing	assoc_filing	Numeric (10)	1 - 2,147,483,648 This is not applicable to all filing types. Where it is used, it must refer to a previous filing, and the value here should be that filing's "filing_id" value.	This is used to associate the filing with a previous filing made to FERC. For example, compliance filings and withdrawal filings must identify the previous, applicable filing to which they pertain.  Note that this is used in conjunction with the "assoc_sect_id" value and the "assoc_option" (below).

<i>Business Name</i>	<i>Element Name</i>	<i>Field Format</i>	<i>Restricted Values</i>	<i>Definition of Data Element</i>
Associated Record Identifier	assoc_sect_id	Numeric (10)	1 - 2,147,483,648 This is not applicable to all filing types. Where it is used, it must refer to a Record ID in previous filing, and the value here should be that data's "sect_id" value.	This is used to associate the specific content with a previous filed content item. For example, withdrawal filings must identify the content being requested to be withdrawn.  Note that this is used in conjunction with the "assoc_filing" value (above) and the "assoc_option" (below).
Associated Option Designation	assoc_option	Character (1)	"A" thru "Z" This is not applicable to all filing types. Where it is used, it must refer to correct Option Designation in a previous filing, and the value here should be that data's "filing_opt" value.	This is used to associate the specific content with a previous filed content item. For example, withdrawal filings must identify the content being requested to be withdrawn. And since filings can have multiple options, this value must be specified.  Note that this is used in conjunction with the "assoc_filing" value and the "assoc_sect_id" (above).