

FERC FILE DOWNLOADS (CSV)

FERC will provide file downloads for certain eTariff data elements. These files will provide the valid values for the specified data elements. In some instances the file download will contain data elements that are not ~~isn't~~ associated with an eTariff data element, but rather provides data for error processing ~~or~~ FERC validation information ~~or FERC business rules used to process the Tariff Filing or perform tariff maintenance~~. The files that contain these additional FERC ~~validation~~ information are provided to assist the filer's tariff filing creation and ~~tariff~~ management systems in data validation prior to creating an XML package.

This section is composed of three parts: (1) the list of FERC File Downloads and their contents; (2) the FERC File Download CSV format; and (3) a description of the non-eTariff data elements.

List of FERC File Downloads

The following is a list of the downloadable files. The FERC will post these lists on its web site at www.ferc.gov. The lists will be available in CSV and PDF formats. Data elements shown in *italics* are not eTariff XML schema data elements, and are described later in this section.

- **filing_type**

This file contains thirteen columns:

- ~~filing_type_code~~ – used to populate the filing_type_code column at the filing level.
- ~~prog_code~~ – this column ~~is provided for information only. shows which FERC programs the filing type can be used for. It will allow the filer (or filers software) to determine which filing type codes are relevant based on their industry. The values are decoded below:~~
 - ~~E = Federal Power Act Electric (Traditional)~~
 - ~~F = Power Administrations~~
 - ~~G = NGA Gas~~
 - ~~K = NGPA311 Gas Pipelines~~
 - ~~M = Federal Power Act Electric (Market Based Rate Companies)~~
 - ~~O = Oil~~
- ~~description~~ – ~~can be displayed to the user to help them choose the correct~~ Description of the ~~filing_type_code~~
- ~~refiled_type~~ – yes/no field. ~~It can be used by the filer or the filer's software for additional validation~~
- ~~new_type~~ – yes/no field. ~~It can be used by the filer or the filer's software for additional validation~~
- ~~normal_type~~
- ~~motion_type~~ – yes/no field. ~~It can be used by the filer or the filer's software for additional validation~~
- ~~withdraw_type~~ – yes/no field. ~~It can be used by the filer or the filer's software for additional validation~~
- ~~compliance_type~~ – yes/no field. ~~It can be used by the filer or the filer's software for additional validation~~
- ~~can be used by the filer or the filer's software for additional validation~~
- ~~report_type~~ – yes/no field. ~~It can be used by the filer or the filer's software for additional validation~~
- ~~amendment_type~~ – yes/no field. ~~It can be used by the filer or the filer's software for additional validation~~
- ~~cancellation_type~~ – yes/no field. ~~It can be used by the filer or the filer's software for additional validation~~
- ~~baseline_type~~ – yes/no field. ~~It can be used by the filer or the filer's software for additional validation~~
- ~~suspend_motion_response~~ – yes/no field. ~~It can be used by the filer or the filer's software for additional validation~~
- ~~status_change_timeout~~ – number of days until system auto-change in status. ~~It can be used by the filer or the filer's software for additional validation~~

All the data for this table is based on the information provided in the eTariff Rules Table located at

(<http://www.ferc.gov/docs-filing/etariff/fil-soft-help/etariff-rules-table.pdf>)^[1]

- attachment_reference_code

This file contains seven columns:

- filing_type_code – this column ~~will be used to restrict~~ relates the Type of Filing with the available selection of attachments to only those applicable to the filing type previously selected.
- attachment_code – this column is used to populate the att_ref_code filed at the attachment level.
- description – this column is used to populate the att_desc filed at the attachment level.
- citations – ~~for informational purposes only~~ Citation to FERC regulation
- is_required – true/false field. ~~It can be used by the filer or the filer's software for additional validation~~
- can_waive – true/false field. ~~It can be used by the filer or the filer's software for additional validation~~
- req_access_lvl – indicates the minimum security level on a file.

All the data for this table is based on the information provided in the eTariff Rules Table located at (<http://www.ferc.gov/docs-filing/etariff/fil-soft-help/etariff-rules-table.pdf>)

- att_content_type_code

This file contains two columns:

- att_content_type_code - used to populate the att_content_type_code field at the attachment level.
- description – ~~can be displayed to the user to help them choose the correct att_content_type_code for the type of document they are attaching.~~

- att_security_level

This file contains two columns:

- att_security_level – used to populate the att_security_level field at the attachment level.
- description – ~~can be displayed to the user to help them choose the correct att_security_level for the document they are attaching~~ Description of the FERC security level associated with the att_security_level code.

- record_content_type_code

This file contains two columns:

- record_content_type_code - used to populate the record_content_type_code field at the record data level.
- description – ~~describes~~ Describes the ~~correct~~ record_content_type_code

- record_change_type

This file contains one column:

- record_change_type - used to populate the record_change_type filed at the record level.

- email_notification_error_code

This file contains two columns:

- error_code – ~~returned in the validation email~~ Error code generated by the Secretary of the Commission's eTariff validation.
- description – Description of the word explanation of the error code.

CSV Format of FERC File Downloads

These downloadable files will be formatted as ASCII comma separated value (CSV). The first row of the CSV file will be the title of each of the columns and will determine the order in which the corresponding data is to appear in all subsequent rows. The following are CSV file format specifications:

- Rows are separated by a carriage return/line feed (CRLF).
- Fields are separated by commas.
- When a field contains a comma, the field should be enclosed by double-quotes.
- Double-quotes should not be used within any data field.
- When numeric data is negative, the minus sign should precede the number.
- When numeric data contains decimal precision, the decimal point should be included within the field.
- When numeric data contains one or more significant leading zeros, these zeros should be preserved in the flat file.
- Date fields should be formatted as YYYYMMDD.
- Time fields should be specified in a 24 hour format, formatted as HH:MM or HH:MM:SS, as applicable.
- Date/Time fields should be formatted as YYYYMMDD HH:MM or YYYYMMDD HH:MM:SS when date and time are expressed in one NAESB WGQ data element. Note that there should be exactly one space between the day (DD) and the hour (HH).
- The maximum amount of data to be placed in a field should be limited to 256 characters.
- When a field contains no data, the empty field should result in two delimiters next to each other. Note that there should be no blank spaces between the delimiters.

Description of the Non-eTariff Data Elements FERC File Downloads

FERC's tariff filing and tariff requirements are the function of many statutory, regulatory and business processes. Tariff filings and its contents must satisfy many rules simply to be considered a filing acceptable for processing by the Commission. How the Commission maintains its version of Tariff Submitter's tariff is a function of these statutory, regulatory and business rules, plus its own findings with regard to the merits of the Tariff Submitter's proposal(s). The Commission has created software to automat the tariff filing process and much of the tariff maintenance process. It is in the interests of the Commission that Tariff Submitters create electronic tariff filings and tariffs that are compatible with the automated tariff filing and tariff maintenance processes. For that reason, FERC provides the public information on additional data elements that it uses as part of its processes. This information may be used by Tariff Submitters and tariff filing and tariff maintenance software to add functionality to the processes and to improve accuracy of the tariff filings. FERC will not review or certify any tariff filing and tariff creation and maintenance software or Tariff Submitter processes.

- filing_type

The statutes, regulations and business rules provide for many different filing types. Every filing type has a unique code that is randomly generated. It is used to direct the software to a set of data elements that describe that filing type.

- *prog_code* The "program code" refers to the different tariff regulatory programs that the Commission regulates. Currently there are five (5) tariff programs
 - E = Federal Power Act Electric (Traditional Cost of Service and Market Base Rates) Public Utilities
 - M = Federal Power Act Electric (Market Based Rate) Public Utilities
 - F = Power Administrations
 - G = NGA Gas Pipelines
 - K = NGPA § 311 Gas Pipelines
 - O= Oil Pipelines

The Commission assigns a program code to a Tariff Submitter at the time the Tariff Submitter registers with the Commission as part of Company Registration. The Tariff Submitter can only make tariff filings with Type of Filing codes that are of the same program code as the Tariff Submitter.

Note the program code of "M". The "M" program code is a subset of the "E" program code unique for FPA Tariff Submitters with only Market Based Rate tariffs. Tariff Submitters with "E" and "M" program codes will need to change their program code through the FERC Company Registration process if it requires access to Type of Filing codes not available in its program.

- *description* – Description of the Type of Filing. The Commission will post the description for each Type of Filing code. This data element will be used by eLibrary as part of the description of the filing. The description data element is a text field, and the description can be changed by the Tariff Submitter in the XML package. However, the description must satisfy the limits provided in the Data Tables, and it may be edited by the Secretary of the Commission before or after posting in eLibrary.

Business Process Rule: The Commission has five tariff programs, but dozens of different Types of Filings. Different Types of Filing have different business processes as required by statute, regulation or business practice. The eTariff tariff filing and tariff maintenance software breaks down the dozens of different Types of Filings into eight (8) broad categories that have similar business processes.

- **Baseline Type of Filings:** This category is used for Types of Filings that require a new tariff_id. Every Tariff Submitter establishing a new tariff_id must start with a Baseline filing. However, the software process is different depending on the requested action:
 - *new_type* – (New) This category is used for Types of Filings that require both the

- creation of a new company and a new tariff_id
 - *Refiled_type* (Refiled) This category is used for Types of Filings wherein the Tariff Submitter already has an established tariff_id, and is requesting a new tariff_id.
- Normal category – This category is used for Types of Filings wherein the Tariff Submitter is the proponent of the tariff change. This business process rule will be the most commonly used by Tariff Submitters. The Commission has rules for some programs, such as when such Types of Filings are appropriate relative to various indices, such as the status of a tariff filing or tariff_id. Further, there are statutory, regulatory and business rules that apply to the status of a proposed tariff change. Many of these rules are automated to change tariff status conditions in the appropriate circumstances. A filing type is a "normal" type if all other category type flags (motion_type, report_type, amendment_type, etc) are set to "No".
- *amendment_type* – (Amendment) This category is used for Types of Filings wherein the Tariff Submitter proposes to change proposed tariff text prior to Commission or business process rule action on a Normal or Compliance Type of Filing. Tariff Submitters cannot amend a filing that the Commission has acted upon either by order or by rule of law. Amendment Type of Filings modify the timing of automated action on the associated Normal or Amendment Type of Filing. An Amendment subordinates the associated Type of Filing to the Amendment Type of Filing. Amendments can be infinitely associated with each other with the same result of modify the timing of automated action on the associated Normal Type of Filing and subordinates it to the Amendment Type of Filing.
- *compliance_type* – (Compliance) This category is used for Types of Filings wherein the Tariff Submitter proposes to comply with a Commission order. There is no automated rule to change the status of the tariff filing or the proposed tariff. These status changes will require Commission action.
- *motion_type* – (Motion) This category of Type of Filing can only be associated with tariff_record_ids in the status condition of "Suspended". The only action that this category can do is to change the "proposed_effective_date" of the suspended record_id. Any change in the tariff text is ignored. If a Tariff Submitter wishes to change both the status of suspended record_ids and tariff text, it must file a Compliance Type of Filing.
- *withdraw_type* – (Withdraw) This category of Type of Filing can only be associated with tariff record_ids that are (depending on the program) in a "pending", "conditional" or "suspended" status condition. Any change in the tariff text is ignored. This business process rule may (depending on the program) automatically withdraw the targeted tariff record_ids, and changes the formerly "superceded" tariff record_id to "effective". Therefore no additional tariff filing or tariff records are required to reinstate superceded tariff record_ids. Note that Withdraw filings may be of only targeted tariff record_ids, or of all tariff record_ids, in the associated filing. If the Tariff Submitter desires to withdraw a complete filing, it must target every tariff record_id in the associated filing.
- *cancellation_type* – (Cancellation) This category of Type of Filing is used by the Tariff Submitter to close down a tariff_id. Once a tariff_id is cancelled, only Compliance Type of Filings with a "proposed_effective_date" before the effective date of the cancellation may be filed in this tariff_id.
- *report_type* – (Report) This category of Type of Filing contains no tariff record_id information. It can only be used to supplement the record. Basically, the Report Type of Filing is meant to provide Tariff Submitters an alternative means to make complex filings with the Commission in an established tariff proceeding as an alternative to the Commission's eFiling web site for non-tariff filings.

Additional Business Process Rules data:

- *suspend_motion_response* – yes/no field. The Commission may suspend certain Types of Filings (e.g.: FPA and NGA New and Amendment Types of Filings). For some programs, the Tariff Submitter is required to inform the Commission whether or not it is submitting a motion to place suspended tariff record_ids into effect at the end of the suspension period. The CSV download will indicate Type of Filings that expect such a data element populated by the Tariff Submitter.
- *status_change_timeout* – Many Type of Filings must be acted upon by the Commission by a certain number of days from the date of filing. This data element shows the number of days

from the date of filing before the system will auto-change the status in the absence of a Commission order.

- **attachment_reference_code**

This file contains seven columns:

- **filing_type_code** – this column relates the Type of Filing with the available selection of attachments.
- **attachment_code** – this column is used to populate the att_ref_code filed at the attachment level.
- **description** – this column is used to populate the att_desc filed at the attachment level.
- **citations** – Citation to FERC regulation. This is simply a text field that provides the reader with additional information as to the source of the requirement.
- **is_required** – true/false field. Certain documents are required by either regulation or business rule for the tariff filing to be considered complete enough for the Secretary of the Commission to accept for filing. For each Type of Filing code, the attachments expected with each filing are identified, and for each attachment the coding as to whether the attachment is required by the Secretary of the Commission as a minimal condition is provided.
- **can_waive** - true/false field. Some attachments may be required, but the Commission may permit the Tariff Submitter to request that the requirement be waived. The Commission will post whether a required attachment may be waived.
- **req_access_lvl** – Some attachments the Commission requires must have a “Public” security level classification. The Commission will post whether a required document must be Public.

- **att_content_type_code**

This file contains two columns:

- **att_content_type_code** - used to populate the att_content_type_code field at the attachment level.
- **description** – The description of the electronic format represented by the code.

- **att_security_level**

This file contains two columns:

- **att_security_level** – used to populate the att_security_level field at the attachment level.
- **description** - Description of the FERC security level associated with the att_security_level code. Note that every attached document must have a populated att_security_level. The Commission will not presume any default document security level.

- **record_content_type_code**

This file contains two columns:

- **record_content_type_code** - used to populate the record_content_type_code field at the record data level.
- **description** - Describes the record_content_type_code. Only two possible codes are permissible at this time, representing RTF and PDF.

- **record_change_type**

This file contains one column:

- **record_change_type** - used to populate the record_change_type filed at the record level. These code values are used to initiate certain tariff maintenance rules.

record_change_type Code Value	Business Rule
BASELINE	For all Tariff Records that are part of a tariff filing establishing a Tariff Identifier for the first time. Use only with Baseline business rule Type of Filings.

record_change_type Code Value	Business Rule
CANCELLATION	<p>Use to cancel a Tariff Record Identifier. Once cancelled, the cancelled Tariff Record Identifier cannot be changed with a Tariff Record Proposed Effective Date after the date of cancellation. Cancellation of a parent (as identified in Tariff Record Parent or Container Identifier) will automatically cancel all children. Note that Type of Filing business rule of Amendment will result in the underlying "Cancellation" tariff record and business process to become subordinated to the new data, statutory and/or regulatory business processes contained in the Amendment.</p> <p>Cancellation of a Tariff Record Identifier should not be confused with cancelling a Tariff Identifier, which requires the use of a Cancellation business rule Type of Filing.</p>
CHANGE	<p>For all changes to all established Tariff Records' Tariff Record Content data, including tariff text and dates. Note that Type of Filing business rule of Amendment will result in the underlying "Change" tariff record and business process to become subordinated to the new data, statutory and/or regulatory business processes contained in the Amendment.</p>
NEW	<p>To establish a new Tariff Record Identifier in an established tariff. Note that "new" Tariff Records cannot be "Changed" by an Amendment business rule Type of Filing. They must be "Withdrawal" and another "New" Tariff Record submitted as part of the Amendment Type of Filing. [HKP> Charlie??]</p>
PRO FORMA	<p>For making tariff proposals to FERC without invoking statutory processing time lines. Must include a Tariff Record Proposed Effective Date, which is used for tariff maintenance. Pro Forma Tariff Records cannot be converted to effective tariff records by FERC, and must be resubmitted as actual Tariff Records.</p>
WITHDRAWAL	<p>For withdrawing pending or suspended (as appropriate for the program) Tariff Records. Withdraw of a "New" parent (as identified in Tariff Record Parent or Container Identifier) will automatically cancel all "New" children. Withdraw of "Change" Tariff Records requires identification of each Changed Tariff Record to be withdrawn. Filings to withdraw Tariff Records that are no longer pending or suspended (as appropriate for the program) will result in validation error and Secretary of the Commission rejection. Withdraws can only be used with Withdrawal business rule Type of Filings. Depending on the program, Withdrawals' effectiveness may be reflected automatically by tariff maintenance.</p>

•email_notification_error_code

This file contains two columns:

- *error_code* – Error code generated by the Secretary of the Commission's eTariff validation.
- *description* - Description of the error code.