



NORTH AMERICAN ENERGY STANDARDS BOARD

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June 20, 2011
Filed Electronically

The Honorable Kimberly D. Bose
Secretary
Federal Energy Regulatory Commission
888 First Street N.E., Room 1A
Washington, D.C. 20585

RE: Standards for Business Practices of Public Utilities (Docket Nos. RM 01-5-000 and RM05-5-000)

Dear Ms. Bose:

The North American Energy Standards Board ("NAESB") herewith submits this report to the Federal Energy Regulatory Commission ("FERC" or "Commission") regarding errata to Version 002.1 of the NAESB Wholesale Electric Quadrant ("WEQ") standards, provided to the Commission on February 19, 2009. This report is voluntarily submitted by NAESB in response to Docket Nos. RM01-5-00 and RM05-5-013. The NAESB WEQ Version 002.1 standards were ratified by the NAESB membership and published on March 11, 2009. FERC approved the NAESB WEQ Version 002.1 standards on November 24, 2009 in Order No. 676-E. The minor corrections included in this report were adopted by the WEQ Executive Committee between August 19, 2010 and May 20, 2011.

The report is being filed electronically in Adobe Acrobat® Portable Document Format (.pdf). All of the documents are also available on the NAESB web site (www.naesb.org). Should you have need of the filing in editable format, we can provide it in Microsoft® Word® 2003. Please feel free to call me at (713) 356-0060 or refer to the NAESB website (www.naesb.org) should you have any questions or need additional information regarding the errata to the NAESB WEQ Version 002.1 standard or any other NAESB work products.

Respectfully submitted,

Rae McQuade

Ms. Rae McQuade
President & COO, North American Energy Standards Board



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June 20, 2011

cc without enclosures:

Chairman Jon Wellingshoff, Federal Energy Regulatory Commission
Commissioner Philip D. Moeller, Federal Energy Regulatory Commission
Commissioner Marc Spitzer, Federal Energy Regulatory Commission
Commissioner John R. Norris, Federal Energy Regulatory Commission
Commissioner Cheryl A. LaFleur, Federal Energy Regulatory Commission

Mr. Michael C. McLaughlin, Office Director, Office of Energy Market Regulations,
Federal Energy Regulatory Commission
Mr. Michael Bardee, General Counsel of the Commission, Federal Energy Regulatory
Commission

Mr. Michael Goldenberg, Senior Attorney, Office of General Counsel, Federal Energy
Regulatory Commission
Ms. Jamie Simler, Director, Office of Energy Policy and Innovation
Mr. Mason Emnett, Associate Director, Office of Energy Policy and Innovation

Ms. Valerie Crockett, Chairman and CEO, North American Energy Standards Board
Mr. William P. Boswell, General Counsel, North American Energy Standards Board

**UNITED STATES OF AMERICA
FEDERAL ENERGY REGULATORY COMMISSION**

**Standards for Business Practices)
And Communication Protocols for Public Utilities)**

**Docket No. RM 01-5-000
Docket No. RM05-5-000**

REPORT OF THE NORTH AMERICAN ENERGY STANDARDS BOARD

The North American Energy Standards Board (“NAESB”) is voluntarily submitting this report in accordance with the Commission’s Orders in the above referenced Dockets. The report is organized into appendices; the first six appendices reference specific minor corrections. The last three appendices reference the NAESB Wholesale Electric Quadrant (“WEQ”) Executive Committee (“EC”) meeting minutes approving the WEQ minor corrections, the notice to WEQ membership of the WEQ EC adoption of the minor corrections, and NAESB Operating Procedures for minor clarifications and corrections to standards.

The list of appendices shown below in tabular form include the FERC docket number(s) for the amended standard(s), the version(s) of standard(s) amended, and a description of the amendments:

Appendix No.	Minor Correction Description
Appendix 1	<p>MC10019 applies to Docket No. RM01-5-000 and Version 002.1 of the NAESB standards, in particular to WEQ-014-A – Implementation Guide for Electronic Tariff Filing, which was adopted by FERC¹ on January 21, 2010.</p> <p>Minor correction to the WEQ/WGQ Implementation Guide for Electronic Tariff Filing to correspond to modifications made by FERC to its Implementation Guide for Electronic Filing of Parts 35, 154, 284, 300, and 341 Tariff Filings. FERC issued 6 revised versions to its implementation guide. The FERC revised version dates are as follows:</p> <p style="text-align: center;">March 27, 2009, April 21, 2009, May 1, 2009, July 28, 2009, December 18, 2009, and January 21, 2010</p> <p><u>Errata to Version 002.1 NAESB WEQ Business Practice Standards:</u></p> <p>NAESB WEQ Business Practice Standards WEQ-014-A (Implementation Guide for Electronic Tariff Filing): The purpose of the minor correction is to make corresponding revisions to the comparable sections of the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing. The remaining portion of the NAESB WEQ/WGQ implementation guide (the Use Cases, Examples and FAQ sections) are unchanged and therefore, those pages are not included.</p>

¹ FERC Order establishing procedures relating to tariffs filed electronically (Docket No. RM01-5-000), available at <http://elibrary.ferc.gov/idmws/common/opennat.asp?fileID=12249629>

Appendix No.	Minor Correction Description
Appendix 2	<p>MC10032 applies to Docket No. RM05-5-013, FERC Order No. 676-E and Version 002.1 of the NAESB standards, in particular to WEQ-007-A, which was adopted by FERC² on November 24, 2009.</p> <p>Errata to NAESB WEQ Version 002.1 NAESB WEQ Business Practice Standards WEQ-007, Inadvertent Interchange Payback, to add defined terms ‘On-Peak’ and ‘Off-Peak.’ The appendix in this Business Practice Standard WEQ-007-A provides the clarification/definition for On-Peak and Off-Peak. Rather than trying to include large portions of the appendix in the definitions, the WEQ EC approved the definitions for these terms point to NAESB WEQ Business Practice Standard WEQ-007-A. This approach is similar to what was done for other terms such as Actual Daily Native Peak Load and Forecasted Daily Zonal Load.</p> <p><u>Errata to Version 002.1 NAESB WEQ Business Practice Standards:</u></p> <p>NAESB WEQ Business Practice Standards WEQ-007 (Inadvertent Interchange Payback) add defined terms ‘On-Peak’ and ‘Off-Peak’</p>
Appendix 3	<p>MC10033 applies to Docket No. RM05-5-013, FERC Order No. 676-E and Version 002.1 of the NAESB standards, in particular to WEQ-003-0, the OASIS Data Dictionary, which was adopted by the FERC³ on November 24, 2009.</p> <p>Errata to NAESB Version 002.1, NAESB WEQ Business Practice Standard WEQ-003-0 to correct a discrepancy in the definition of ANNULLED as identified in NAESB WEQ Business Practice Standards WEQ-013.</p> <p><u>Errata to Version 002.1 NAESB WEQ Business Practice Standard:</u></p> <p>NAESB WEQ Business Practice Standard WEQ-003-0 (OASIS Data Dictionary, Version 1.5) correction definition of ANNULLED to read: ANNULLED – assigned by the Seller when, by mutual agreement with the Customer, a reservation or pre-confirmed request is to be voided, or assigned unilaterally by the Primary Provider when a resale reservation is to be voided. (Final state)</p>
Appendix 4	<p>MC10041 applies to Docket No. RM01-5-000 and Version 002.1 of the NAESB standards, in particular to WEQ-014-A, Implementation Guide for Electronic Tariff Filing, which was adopted by FERC⁴ on January 21, 2010.</p> <p>Minor Correction to the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing to correspond to modifications made by FERC to its Implementation Guide for Electronic Filing of Parts 25, 154, 284, 300, and 241 Tariff Filings as noted in the FERC eTariff RSS Feed(s), dated October 8, 2010.</p> <p><u>Errata to Version 002.1 NAESB WEQ Business Practice Standards:</u></p> <p>NAESB WEQ Business Practice Standards WEQ-014-A (Implementation Guide for Electronic Tariff Filing): The purpose of this minor correction is to make corresponding revisions to the comparable sections of the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing. The remaining portion of the NAESB WEQ/WGQ implementation guide (the Use Cases,</p>

² FERC Final Rule on Standards for Business Practice and Communication Protocols for Public Utilities (Docket No. RM05-5-013; FERC Order No. 676-E), available at <http://elibrary.ferc.gov/idmws/common/OpenNat.asp?fileID=12205098>.

³ Id.

⁴ FERC Order establishing procedures relating to tariffs filed electronically (Docket No. RM01-5-000), available at <http://elibrary.ferc.gov/idmws/common/opennat.asp?fileID=12249629>.

Appendix No.	Minor Correction Description
	Examples and FAQ sections) are unchanged and therefore, those pages are not included.
Appendix 5	<p>MC11011 applies to Docket No. RM05-5-013 and Version 002.1 of the NAESB standards, in particular to WEQ-006, Manual Time Error Correction, which was adopted by the FERC⁵ on November 24, 2009.</p> <p>Minor correction to NAESB WEQ Version 002.1, NAESB WEQ Business Practice Standards WEQ-006 (Manual Time Error Correction) to suspend the NAESB WEQ Business Practice Standards for WEQ-006-1 through WEQ-006-12 based on the motion approved by the NERC Operating Committee at their March 9, 2011 meeting. The motion stated:</p> <p><i>The Operating committee adopts the Time Error Correction Field Trial as outlined by the Resources Subcommittee predicated on the following:</i></p> <ul style="list-style-type: none"> • <i>NERC develops correspondence from either the general counsel or the president, informing the FERC that the field trial is expected to be implemented on June 11,2011 and continue until either a.) the test is halted, or b.) modifications to the appropriate standards are made, up to and including retirement of standards. The correspondence should further explain that, during the field trial, compliance with associated NERC standards need to be waived. NERC and its stakeholders will work with NAESB to determine what actions, if any, may need to occur relative to NAESB standards.</i> • <i>NERC complete the Time Correction field trial communications outreach program.</i> • <i>During the field trial, time error will continue to be monitored but all manual time corrections will cease.</i> <p><u>Errata to Version 002.1 NAESB WEQ Business Practice Standards:</u></p> <p>NAESB WEQ Business Practice Standards WEQ-006 (Manual Time Error Correction), suspend the NAESB WEQ Business Practice Standards for WEQ-006-1 through WEQ-006-12 by adding the following language before the ‘Introduction’ section of the standards: ‘The following standards are suspended from the start the NERC Time Error Correction Field Trial until either a) the test is halted, or b) modifications to the appropriate standards are made, up to and including the retirement of the corresponding Standards.’</p>
Appendix 6	<p>MC11016 applies to Docket No. RM01-5-000 and Version 002.1 of the NAESB standards, in particular to WEQ-014-A, Implementation Guide for Electronic Tariff Filing, which was adopted by FERC⁶ on January 21, 2010.</p> <p>Minor Correction to the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing to correspond to modifications made by FERC to its Implementation Guide for Electronic Filing of Parts 25, 154, 284, 300, and 241 Tariff Filings as noted in the FERC eTariff RSS Feed(s), dated April 18, 2011.</p> <p><u>Errata to Version 002.1 NAESB WEQ Business Practice Standards:</u></p> <p>NAESB WEQ Business Practice Standards WEQ-014-A (Implementation Guide for Electronic Tariff Filing): The purpose of this minor correction is to make corresponding revisions to the comparable sections of the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing. The remaining portion of the NAESB WEQ/WGQ implementation guide (the Use Cases, Examples and FAQ sections) are unchanged and therefore, those pages are not included.</p>

⁵ FERC Final Rule on Standards for Business Practice and Communication Protocols for Public Utilities (Docket No. RM05-5-013; FERC Order No. 676-E), available at <http://elibrary.ferc.gov/idmws/common/OpenNat.asp?fileID=12205098>.

⁶ FERC Order establishing procedures relating to tariffs filed electronically (Docket No. RM01-5-000), available at <http://elibrary.ferc.gov/idmws/common/opennat.asp?fileID=12249629>.

Appendix No.	Minor Correction Description
Appendix 7	NAESB WEQ Executive Committee meeting minutes approving NAESB WEQ minor corrections.
Appendix 8	Notice to WEQ members of Executive Committee adoption of minor corrections.
Appendix 9	NAESB operating procedures for minor clarifications and corrections to standards.

We appreciate the opportunity to provide these minor corrections to the Commission. As can be seen in the table, the minor corrections impact Version 002.1 of the NAESB WEQ standards, adopted by the Commission in Docket Nos. RM01-5-000 and RM05-5-013. For the eTariff amendments in Docket No. RM01-5-000, the changes are reflective of actions taken by the Commission, and applied sequentially to ensure that the related NAESB standards mirror the Commission's application of the eTariff program. For the minor corrections to the NAESB standards that have North American Electric Reliability Corporation ("NERC") counterparts, the standards are not inconsistent with actions taken by NERC, and indeed were voted on in support by the NERC representative on the EC. If there are any questions or additional information is required, do not hesitate to contact the NAESB office (713-356-0060, naesb@naesb.org).

Appendix 1 contains **Minor Correction MC10019** Joint NAESB WEQ Version 002.1 NAESB WEQ Business Practice Standards WEQ-014-A and WGQ Version 1.9 Standard No. 11.4.1 (Implementation Guide for Electronic Tariff Filing) Corrections to the WEQ/WGQ Implementation Guide for Electronic Tariff Filing to correspond to modifications made by FERC to its Implementation Guide for Electronic Filing of Parts 35, 154, 284, 300, and 341 Tariff Filings. FERC issued 6 revised versions to its implementation guide. The FERC revised version dates are as follows:

March 27, 2009,
April 21, 2009,
May 1, 2009,
July 28, 2009,
December 18, 2009, and
January 21, 2010

MC10019

North American Energy Standards Board

Request for Minor Correction/Clarification of a NAESB Business Practice Standard, Model Business Practice or Electronic Transaction as revised by the WEQ EC on August 17, 2010 and the WGQ on August 19, 2010

Instructions:

1. Please fill out as much of the requested information as possible. It is mandatory to provide a contact name, phone number and fax number to which questions can be directed. If you have an electronic mailing address, please make that available as well.
2. Attach any information you believe is related to the request. The more complete your request is, the less time is required to review it.
3. Once completed, send your request to:
Rae McQuade
NAESB, Executive Director
1301 Fannin, Suite 2350
Houston, TX 77002

Phone: 713-356-0060
Fax: 713-356-0067

by either mail, fax, or to NAESB's email address, naesb@naesb.org

Once received, the request will be routed to the appropriate subcommittees for review.

NAESB Correction/Clarification Procedure

Minor Clarifications and Corrections to Standards

Minor clarifications and corrections to existing standards include: (a) clarifications or corrections made by a regulatory agency to standards that are of a jurisdictional nature, or by the American National Standards Institute or its successor; (b) clarifications or corrections to the format, appearance, or descriptions of standards in standards documentation; (c) clarifications or corrections to add code values to tables; and (d) clarifications and corrections that do not materially change a standard. Any request for a minor clarification or correction to an existing standard should be submitted in writing to the executive director. This request shall include a description of the minor clarification or correction and the reason the clarification or correction should be implemented.

1. Processing of Requests

The executive director shall promptly notify the EC and any appropriate subcommittee(s) of the receipt of the request. The members of the applicable quadrant's EC shall promptly determine whether the request meets the definition of a minor clarification or correction. Through the decision of the vice chair of the applicable quadrant, this determination may be delegated to one of the quadrant's subcommittees, with the concurrence of the subcommittee chair, in which case the subcommittee shall make a prompt decision.

If the request is determined to meet the definition of minor clarification or correction, the applicable quadrant's EC, with input from any subcommittee(s) to which the request has been forwarded, shall act on the request within one month of its receipt. A meeting to discuss the request is not required; the decision may be made by notational vote. A simple majority of the votes received shall determine the outcome. The members of the applicable quadrant's EC shall be given at least three working days to consider and vote on the request.

2. Public Notice

The results of the vote on the request for a minor clarification or correction shall be posted on the NAESB website and the members of the applicable quadrant shall be notified of the request by e-mail. If the request has been approved by the applicable quadrant's EC, the notification shall include a brief description of the request, the contact name and number of the requester so that further information can be obtained, and the proposed effective date of the clarification or correction. The proposed effective date of the minor clarification or correction shall normally be one month from the date of the public notice. Any interested party shall have an opportunity to comment on the request, and the comments shall be posted on the NAESB website. The comment period is two weeks.

3. Final Disposition of Approved Requests

If no comments are received on an approved request, the standard shall be clarified or corrected as specified in the approved request on the effective date proposed. If comments are received, they shall be forwarded to the members of the applicable quadrant's EC for consideration. Each comment requires a public written response from the applicable quadrant's EC. The applicable quadrant's EC shall determine whether changes are necessary as a result of the comments. Members of the applicable quadrant's EC shall be given three working days to consider the comments and determine the outcome, which shall be decided by a simple majority of the votes received. A meeting to discuss the request is not required; the decision may be made by notational vote. The standard shall be clarified or corrected in accordance with the outcome of the vote, effective with the completion of voting, and notice thereof shall be posted on the NAESB website.

Date of Request: 4/12/10

1. Submitting Entity & Address:

Williams Gas Pipeline
P.O. Box 1396
Houston, TX, 77056

2. Contact Person, Phone #, Fax #, Electronic Mailing Address:

Name : Dale Davis
Title : Industry Standards Consultant
Phone : 713-215-2396
E-mail : dale.m.davis@williams.com

3. Version and Standard Number(s) suggested for correction or clarification:

Minor Correction for NAESB WEQ Standard WEQ-014-A and WGQ Version 1.9 Standard No. 11.4.1 (Implementation Guide for Electronic Tariff Filing)

4. Description of Minor Correction/Clarification including redlined standards corrections:

Corrections to the WEQ/WGQ Implementation Guide for Electronic Tariff Filing to correspond to modifications made by FERC to its Implementation Guide for Electronic Filing of Parts 35, 154, 284, 300, and 341 Tariff Filings..

See attached – color coded corresponding to the date of the FERC versions

5. Reason for of Minor Correction/Clarification:

The Federal Energy Regulatory Commission (FERC) issued the FERC Implementation Guide for Electronic Filing of Parts 35, 154, 284, 300, and 341 Tariff Filings dated January 5, 2009 which essentially is the same as Pages 4 – 44 of the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing. Subsequently, FERC issued 6 revised versions to its implementation guide. The FERC revised version dates are as follows:

March 27, 2009,
April 21, 2009,
May 1, 2009,
July 28, 2009,
December 18, 2009, and
January 21, 2010

The purpose of this request for minor correction is to make corresponding revisions to the comparable sections of the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing. The remaining portion of the NAESB WEQ/WGQ implementation guide (the Use Cases, Examples and FAQ sections) are unchanged and therefore, those pages are not included in this request.

Implementation Guide for Electronic Tariff Filing
NAESB WGQ Standard 11.4.1 and WEQ Standard WEQ-014
to be updated after WEQ/WGQ adoption

This grayed section is on the cover of FERC's official implementation guide – **NOT to be part of NAESB WEQ/WGQ implementation guide**– and is provided for ease in identifying the changes corresponding to the FERC revision dates.

1/5/09 – Two sentences on Page 11 of the NAESB Implementation Guide were not included in FERC's original publication

Changes made 3/27/09 – only change to Official cover page

Changes made 4/21/09 – only change was to Official cover page

Changes made 5/1/09

Changes made 7/28/09

Changes made 12/18/09

Changes made 1/21/10

Changes made 6/10/10 – after discussion with FERC confirming changes were made for all representations to show "FERC's Online."

**Implementation Guide for Electronic Filing of
Parts 35, 154, 284, 300, and 341 Tariff Filings**

Version: June 9, 2010

Form Approved

OMB Nos. 1902-0089 (Oil program) (Expires 4/30/2012)

1902-0096 (Electric program) (Expires 7/31/2012)

1902-0154 (Gas program) (Expires 3/31/2012)

1902-0086 (NGPA 311 program) (Expires 12/31/2011)

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Executive Summary

This implementation guide is for use by entities required to submit tariffs, rate schedules, and service agreements together with supporting documentation to the Federal Energy Regulatory Commission (FERC) pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by FERC. Filings which historically were submitted in hard copy should be submitted electronically according to the guidelines contained herein. To accomplish this, the components of the previous filings will need to be separated into various pieces of identifying information as defined by the data elements contained herein. These data elements and their accompanying data, are hierarchically organized by the XML schema and when compiled constitute an XML filing package for an electronic Tariff Filing. The XML filing package is then uploaded through a web portal. The following is a guide describing the various processes/mechanisms, data tables, code values/reference tables, and technical specifications used in the submission of such Tariff Filings.

Business Process

Definitions and Standards

Definitions

WGQ 11.2.1 (WEQ-014-0.3) Tariff Submitter is the term used to describe any entity that is required to submit a Tariff Filing.

WGQ 11.2.2 (WEQ-014-0.1) Tariff Filing is the term used to describe a compilation of all document(s), associated data and supporting documents that is required to be filed electronically by a Tariff Submitter pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by the Federal Energy Regulatory Commission.

WGQ 11.2.3 (WEQ-014-0.2) Tariff Record is the term used to describe the part of a Tariff Filing that consists of the data elements that relate to a sheet, section, or entire tariff, rate schedule, or service agreement that is required to be filed with the Federal Energy Regulatory Commission.

WGQ 11.2.4 (WEQ-014-0.4) Sheet-Based Format and Section-Based Format are the terms used to describe the subdivision into sheets or sections, respectively, of a tariff, rate schedule, or service agreement for purposes of a Tariff Filing.

WGQ 11.2.5 (WEQ-014-0.5) Whole Document Format is the term used to describe a tariff, rate schedule, or service agreement submitted as a single document within a Tariff Record for purposes of a Tariff Filing.

Standards

WGQ 11.3.1 (WEQ-014-1) A Tariff Submitter should electronically submit a Tariff Filing pursuant to the requirements as set forth in NAESB WGQ Standard 11.4.1 / NAESB WEQ Standard WEQ-014.

WGQ 11.3.2 (WEQ-014-2) For the electronic submission of a Tariff Filing, a tariff, rate schedule, or service agreement, and changes thereto, should be structured using one or more of the following methods:

- i. Sheet-Based Format,
- ii. Section-Based Format, or
- iii. Whole Document Format

NAESB WGQ Standard 11.4.1 and NAESB WEQ Standard WEQ-014 **Technical Implementation of Business Processes**

GENERAL PURPOSE:

The purpose of the eTariff Submission implementation guide is to define the requirements for the submission of a Tariff Filing to the Federal Energy Regulatory Commission (FERC) in an electronic format such that the information can be stored in the FERC eTariff database and in eLibrary. The eTariff Submission dataset is used by an entity (Tariff Submitter) required to electronically submit Tariff Filings to the FERC pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by FERC.

Set forth below is an explanation of how the eTariff Submission dataset works, including instructions describing the various processes / mechanisms, data tables, code values / reference tables, and technical specifications used in the submission of a Tariff Filing.

The eTariff Submission dataset is used to electronically submit a new, modify an existing, and withdraw or cancel a tariff, rate schedule, or service agreement. Within the FERC eTariff database, each Tariff Submitter will have one or more of its own database(s). A Tariff Submitter's database must contain at least one Tariff Record. A Tariff Record is a single occurrence (row) in a database (similar to a row in a spreadsheet) consisting of multiple data elements that relate to a sheet, section, or entire tariff, rate schedule, or service agreement.

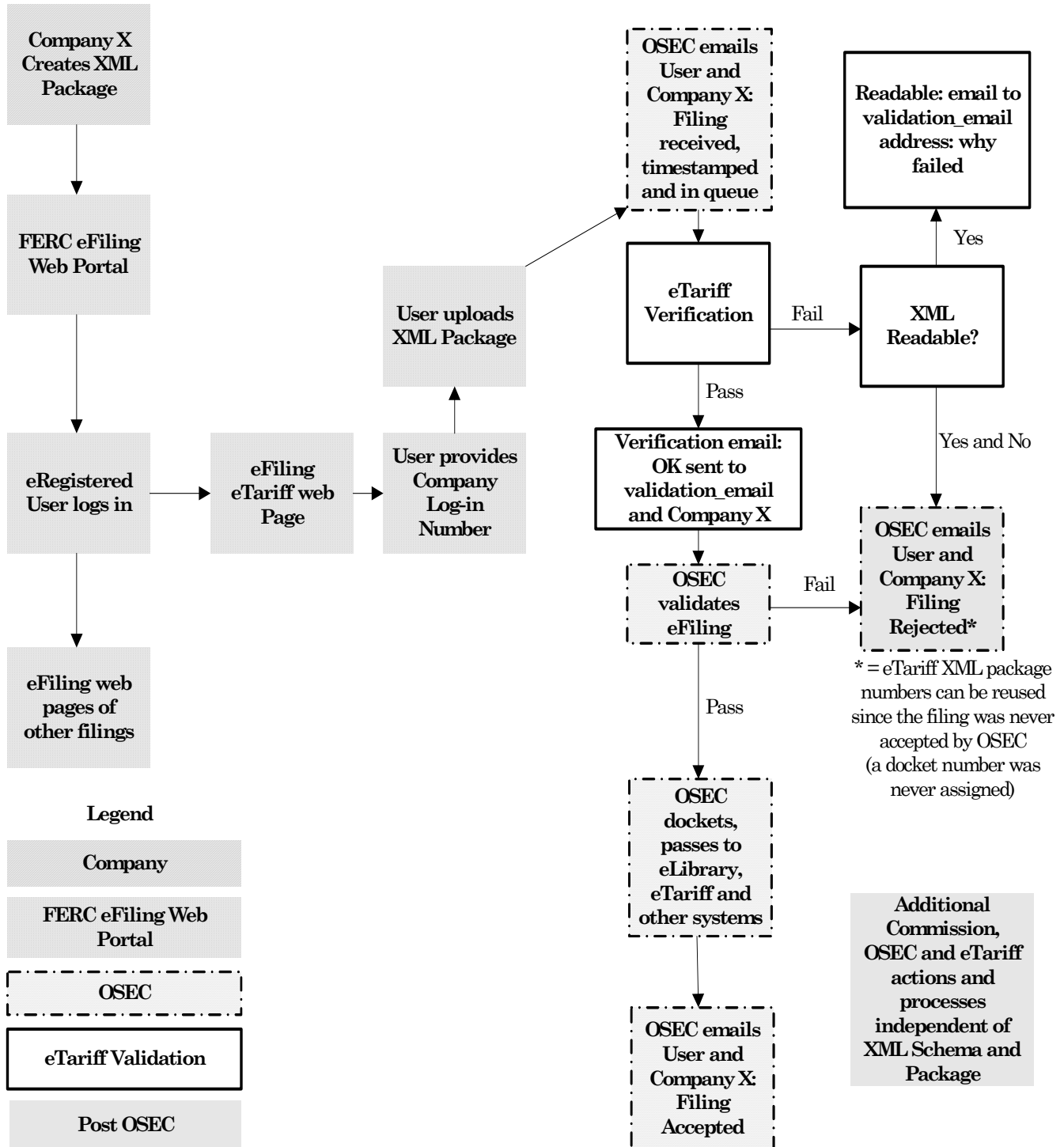
Sheet-Based Format and Section-Based Format describes the subdivision into sheets or sections, respectively, of a tariff, rate schedule, or service agreement for purposes of a Tariff Filing. Whole Document Format describes a tariff, rate schedule, or service agreement submitted as a single document within a Tariff Record for purposes of a Tariff Filing. A single database may contain one or more tariff(s), rate schedule(s), and service agreement(s) that are in different formats. For example, a tariff may be in a Sheet-Based Format or Section-Based Format, while the rate schedules may be in Whole Document Format.

The decision to use Sheet-Based Format, Section-Based Format, or Whole Document Format is left to the Tariff Submitter consistent with FERC regulations.

eTariff Filings Process Flow through the FERC eFiling Web Portal

DIAGRAM

The following is a high level diagram representing the overall process flow from the creation of an eTariff XML filing package by a Tariff Submitter through the Office of the Secretary (OSEC) acceptance or rejection of the filing. Following the diagram is a more detailed description of the submission to FERC and the processing the eTariff XML filing package



Description of eTariff Filing Process Flow

Disclaimer:

The following summary represents FERC Staff's best understanding of how the eFiling process, including eTariff, will be designed. As of January 2008 the process has not been built, or fully designed, therefore FERC may change the process.

The FERC's eFiling *Reference Guide*, located at www.ferc.gov, provides a step-by-step set of instructions and expected results for the eFiling process.

- A User is a person authorized to submit a filing on behalf of a Tariff Submitter, as defined in NAESB WGQ Standard 011-2.1 and NAESB WEQ Standard WEQ-014-0.3. The User must be an eRegistered party for eFiling.
- The User will login into the FERC eFiling portal.
- The User, upon successfully logging into the FERC eFiling portal, will be presented with the introductory screen indicating success in accessing the site, and presented with a link to the filing creation part of the site.
- Upon entering the filing creation site, the User will choose to make an eTariff filing.
- The eTariff portal will prompt the User to enter company login information (see Note 1 below). After successfully passing this step, the User will upload an eTariff XML filing package.
- Once the filing is uploaded, the eFiling web page indicates the Tariff Filing has been submitted.
- After the filing has been submitted, OSEC will send a Confirmation of Receipt e-mail to the User and to the e-mail address on file with FERC for the company that logged in. This e-mail only acknowledges the receipt of the filing through the eFiling portal, provides a timestamp, and indicates that the filing is placed in the queue to be processed.
- The eTariff XML filing package will be validated programmatically by an eTariff verification process.
 - If the XML is unreadable, an e-mail will be sent by OSEC to the User and to the e-mail address on file with FERC for the company logged-in (as a result of the XML being unreadable, the Validation e-mail address contained in the XML package cannot be obtained).
 - If the verification is completed successfully, an e-mail will be sent to the Validation e-mail address provided in the eTariff XML package and to the e-mail address associated with the Company Identifier (or multiple Company Identifiers, as applicable (see Note 2 below)) for the affected database. This does not mean that the filing has been accepted by OSEC.
 - In the event the XML filing package can be read and the Validation e-mail can be obtained, but the data does not pass verification, (an e-mail will be sent to the Validation e-mail address provided in the eTariff XML filing package. This e-mail will provide information about the problems encountered during the verification process.
- FERC's OSEC will send an e-mail to the User and the e-mail address on file with FERC for the company logged in. The e-mail will indicate that either the filing:

Appendix 1 – Minor Correction MC10019
Errata for NAESB Wholesale Electric Quadrant Business Practice Standards Version 002.1
June 20, 2011

- Has been accepted through OSEC's process for filing and docketed (which does not guarantee that other filing deficiencies will not result in rejection later in the review processes within FERC). At this time the filing is passed on to eLibrary, eTariff and other FERC systems; or
- Has been rejected and not docketed (see Note 3 below).

Notes:

- (1) As of January 2008, the FERC staff does not know whether the company that logs-in will be required to correlate to the company identified by the Company Identifier in the XML package).
- (2) As of January 2008, the FERC Staff does not know how joint filings will be handled. A "Joint Filing" refers to a Tariff Filing made on behalf of multiple parties with an identical tariff, rate schedule, or service agreement that is part of a single XML filing package. This is different from a shared tariff, rate schedule, or service agreement that refers to any situation where multiple parties are allowed to add or change the contents of a specific tariff, rate schedule, or service agreement, which is associated with one company_id.
- (3) If the filing is rejected at any point prior to receiving a docket number, the filing can be corrected and re-submitted using the same Filing Identifier. Once it is docketed it becomes part of the public record, the Filing Identifier cannot be re-used.

eTariff Submission Dataset Overview:

The eTariff Submission dataset consists of a Data Dictionary that contains three data tables, as more fully explained below. The data tables explain the data elements used when creating a single Tariff Filing. The dataset also includes Code Value Dictionaries used for populating some data elements with standardized code values. Once the Tariff Submitter has completed all of the requirements for the various data elements, the data will need to be compiled into a single XML file pursuant to the XML schema contained in the technical section below, and then zipped for submission to FERC via the eFiling / eTariff web portal.

Data Dictionary Data Tables Overview:

The eTariff Submission Data Dictionary consists of the following three data tables, which are presented in hierarchical order:

Filing Data Table:

This table includes, but is not limited to, the data elements that identify the company making the Tariff Filing, the Type of Filing, and the name of the database that is being created, modified, or cancelled. A single Tariff Filing may only have one set of Filing Data. The data in this table is required for each Tariff Filing.

Attachment Data Table:

This table includes, but is not limited to, the data elements that describe each of the attachments (e.g., transmittal letter, redline and clean versions of a tariff, rate schedule, or service agreement or portions thereof, and supporting materials) regardless of whether they are required or optional for the given Type of Filing, as set forth in the FERC rules and regulations. Currently, all Type of Filings will have at least one attachment and thus at least one set of attachment data elements (e.g., the transmittal letter).

Tariff Record Content Data Table:

This table includes, but is not limited to, the data elements that are used to uniquely identify the individual Tariff Records being submitted, the proposed effective date, the order in which the Tariff Records should be assembled, and the binary data and plain text for each Tariff Record. A single Tariff Filing may have multiple sets of Tariff Record Content Data. Based on the Type of Filing there may or may not be any Tariff Record Content Data.

Data Element Overview:

The data elements are the individual pieces of information or data that make up the Tariff Filing. Each will have a defined format, may be required, conditional or optional and may have restricted values. A data element may contain text or an electronic file (e.g., a .PDF file) as more fully explained in this implementation guide. An explanation of the individual data elements is provided in the data table portion of this implementation guide. In such tables, for each data element, the following information is provided:

- Business Name
- Element Name (this is the corresponding technical (metadata) name used in the XML schema)
- Definition of Data Element
- Field Format (length)
- Valid Values
- Usage / Responsibility and Conditions

Details of Individual Data Elements:

The following are the individual data elements provided in the same order as they appear in the Data Tables:

Note: For additional information on each data element, e.g., formatting requirements, see the definitions and other requirements as set forth in the data tables.

Filing Data Table Data Elements:

Schema Version:

This is the version of the XML schema used to create the specific Tariff Filing. The Schema Version and the actual schema will be published on the FERC website located at www.ferc.gov. Any changes to the schema will be made through a FERC notice or order.

Company Identifier:

A FERC-designated company identifier code used to define an entity registered with FERC to make Tariff Filings. To acquire a company identifier code, a company should apply at FERC's Online Company Registration application, located at www.ferc.gov.

Tariff Identifier:

A unique identifier for a Tariff Submitter's database as it pertains to the database being modified by a Tariff Filing. A Tariff Submitter may have more than one active database. A database may contain one or more tariffs, rate schedules, or service agreements. A Tariff Identifier is supplied by the Tariff Submitter. Once a Tariff Identifier in a Tariff Filing has been accepted for filing by the Office of the Secretary (SOCOSEC), it cannot be changed. A Tariff Identifier ~~even if cancelled~~ cannot be reused ~~if cancelled~~.

Tariff Title:

The name of the database assigned by the Tariff Submitter. The name of the database may not be changed. It is suggested that the Tariff Submitter's name not be included in the Tariff Title, as the Tariff Submitter's name is captured by the Company Identifier.

Filing Identifier:

A unique number identifying the subject Tariff Filing. The Tariff Submitter assigns the value. Filing Identifiers do not have to be assigned sequentially from one filing to the next. If a Tariff Filing is rejected by SOCOSEC prior to being docketed, the Filing Identifier may be reused.

Filing Title/Description:

The title given to the filing by the Tariff Submitter. Additional instructions may be published on the FERC website or via FERC notice or order. This data element will be used in eLibrary as part of the description of the Tariff Filing. The description may be edited by the SOCOSEC before or after posting in eLibrary.

Type of Filing Code:

A numeric code that identifies the Type of Filing being made as defined by FERC regulation. Only one Type of Filing can be submitted in a single Tariff Filing. The Type of Filing will dictate the data requirements for the subject filing. A list of allowable codes will be published on the FERC website located at www.ferc.gov, with changes communicated via a FERC notice or order. FERC will provide this information in CSV (comma separated value) and PDF formats which will be updated as regulations are modified. The Commission will use the Type of Filing Code together with the Tariff Record Proposed Effective Date to establish whether a filing is statutory and the applicable statutory timelines.

Associated Filing Identifier:

Identifies the previous filing, if any, to which the subject filing pertains. The value provided is the Filing Identifier for the previous filing. When Associated Filing data is required, only one Associated Filing number can be provided.

Validation e-mail:

An e-mail address provided by the Tariff Submitter for notification of the results of the technical validations from the eTariff verification process. The Validation e-mail address does not have to be eRegistered with FERC.

Payment Confirmation Code:

For certain Type of Filings, the regulations require that a fee be paid along with the Tariff Filing. The payment of such fee is made at www.pay.gov through the FERC's Online eFiling page. The Payment Confirmation Code confirmation number will be the Accession Number provided on FERC's Online pay.gov confirmation screen when obtained after the a successful payment is made is used to populate the Payment Confirmation Code. It is suggested that the Tariff Submitter be familiar with the FERC's Online www.pay.gov procedures or pre-pay a set of fees prior to making the Tariff Filing with FERC to avoid last minute delays that may prevent a timely filing.

Suspension Motion:

As of January 2008, this data element is only applicable to certain Part 154 filings made by interstate natural gas pipelines. It is not applicable to the electric or oil industries. This data element indicates whether or not the Tariff Records should automatically go into effect at the end of the applicable suspension period. If the value provided is no ("N"), the status of the Tariff Record will remain "Suspended" until such time as the Tariff Submitter files an appropriate motion filing. If the value provided is yes ("Y"), FERC's eTariff maintenance will automatically change the status from "Suspended" to "Effective" at the end of the suspension period with no further action required of the Tariff Submitter.

Attachment Data Table Data Elements:

Attachment Reference Code:

The data code identifies the type of attachment based on the Type of Filing. A list of allowable codes will be published on the FERC website located at www.ferc.gov, with changes communicated via a FERC notice or order. FERC will provide this information in CSV and PDF formats which will be updated as regulations are modified. This data element must be completed for each required attachment, regardless of whether a

waiver is requested for the subject attachment. **Other attachments should use the Attachment Reference Code provided for "Other"**

Attachment Description:

This is the description of the individual attachment. For attachments that are pre-defined by FERC's regulations, the description should be the FERC pre-defined description. For attachments that are added by the Tariff Submitter that are "Other", the description can be any value desired. The Attachment Description is not required if a waiver has been requested for the subject attachment. The Attachment Descriptions provided will be displayed in eLibrary. Additional instructions regarding this data element may be published on the FERC website or via FERC notice or order.

Attachment Waiver Requested:

This data element indicates whether or not a waiver is requested. A FERC table providing rules for attachments is located at www.ferc.gov. This table indicates whether an attachment for a given Type of Filing can be waived. If an attachment is provided, the field is filled with no ("N"). If a waiver for the attachment is allowed, and the Tariff Submitter wants to request a waiver, the field is filled with a yes ("Y"). If "Y" is chosen, there is no need to attach the corresponding attachment. The Waiver Request code is solely for the purpose of passing the **SOCOSEC**'s electronic filing validation checks. The actual request for waiver of the FERC's regulations and supporting documentation must be provided in the transmittal letter.

Attachment Document File Name:

This is the actual file name for the identified attachment provided by the Tariff Submitter. The file name is the name of the individual electronic document, including the extension. The name is chosen by the Tariff Submitter, unless otherwise provided in FERC instructions. The **SOCOSEC**'s file name extension rules will be enforced. The Attachment Document File Name will appear in eLibrary. The Attachment Document File Name is not required if a waiver has been requested for the subject attachment.

Attachment Document:

This is the content of the actual attached document in a base64 bit encoded binary file. This binary file is in the native format of the saved file generated from the word processing software, or other FERC approved software format(s), in which the attachment was written. Base64 bit encoding is an additional step that must be applied to the binary file, using encoding software, enabling the file to be inserted into the XML. The Attachment Document is not required if a waiver has been requested for the subject attachment.

All Tariff Filing attachments must meet the same rules and requirements applicable to any document filed with FERC through its eFiling portal. Instructions with regard to the electronic format and content of electronic documents will be published on the FERC website located at www.ferc.gov or via FERC notice or order. However, the eTariff verification process does not enforce these rules, which are subject to other FERC processes.

A clean copy of the proposed tariff, rate schedule, or service agreement for posting in eLibrary is required for all Tariff Filings. The guidelines for this document are as follows:

Guidelines for the attachment that represents the clean copy of the proposed tariff, rate schedule, or service agreement, or portion thereof, for posting in eLibrary:

1. The electronic version of the clean copy of the proposed tariff, rate schedule, or service agreement, or portion thereof, must conform with the SOGOSEC's guidelines for electronically filed text documents, located at www.ferc.gov.
2. No information is required in the header or footer of the clean tariff, rate schedule, or service agreement, or portion thereof, to be posted in eLibrary. At its discretion, a Tariff Submitter may include information in the header or footer.
3. When using Whole Document Format and the Record Binary Data is submitted in PDF, a title page should be included containing the following information:
 - a. Tariff Submitter
 - b. FERC Tariff Program name. The current programs are:
 - i. FERC FPA Electric Tariff
 - ii. FERC PA Electric Tariff
 - iii. FERC NGA Gas Tariff
 - iv. FERC NGPA Gas Tariff
 - v. FERC ICA Oil Tariff
 - c. Tariff Title
 - d. Tariff Record Proposed Effective Date
 - e. Tariff Record Title
 - f. Option Code
 - g. Other information as the FERC may require by notice or order
4. The attachment that is the clean copy for posting in eLibrary must be identical with that provided in the Record Binary Data with the exception of the text in the header or footer information.

Attachment Content Type Code:

This is the numeric code representing the software format of the specific attachment. A list of allowable codes will be published on the FERC website located at www.ferc.gov with changes communicated via a FERC notice or order. FERC will provide this information in CSV and PDF formats which will be updated as necessary. The Attachment Content Type Code is not required if a waiver has been requested for the subject attachment.

Attachment Security Level:

This code is used to indicate the level of security for the specific attachment. For example, the code indicates whether the attachment is Public, Privileged, or if Critical Energy Infrastructure Information (CEII) classification is being requested. Certain attachments are required to be Public; however, those attachments may be submitted in redacted form along with an un-redacted copy of the attachment. Additional instructions may be published on the FERC website located at www.ferc.gov or via FERC notice or order. The Attachment Security Level is not required if a waiver has been requested for the subject attachment. Documents provided with a public (redacted) and non-public levels of security should use the same Attachment Reference Code for each attachment.

Tariff Record Content Data Table Data Elements:

Tariff Record Identifier:

This data element is a numeric value assigned by the Tariff Submitter to uniquely identify each Tariff Record. This identifier will not change with each revision within a given Tariff Record. The Tariff Record Identifier does not have to be sequential.

Option Code:

This data element permits a Tariff Submitter to propose alternate sets of Tariff Records (Option Sets) in a single Tariff Filing, with a request that FERC determine which Option Set to accept (i.e., place into effect). For each set of Tariff Records, the Tariff Submitter proposed options must start with "A" and increment sequentially through the alphabet, i.e., the Tariff Record can not have an option designated as "A" and another option designated as "C" without having an option of "B". If no alternative Options Sets are being proposed, the value for this data element would be an "A". Each Option Set must contain all Tariff Records for the relevant Tariff Filing even if some of the Tariff Records are identical across the Option Sets. For Tariff Filings with multiple Option Sets, the Tariff Submitter should make Option "A" its primary proposal. If the Type of Filing Code provides for a statutory period and the Commission does not formally act, Option "A" will be deemed Accepted and all other Options deemed Rejected. If FERC accepts Tariff tariffRecords text from various Option Sets, it will require a compliance filing.

Tariff Record Title:

The Tariff Record Title is chosen by the Tariff Submitter for the individual Tariff Record. The Tariff Record Title may be changed in a subsequent Tariff Filing. If the Whole Document Format is used, the Tariff Record Title of the tariff, rate schedule, or service agreement should reflect the existing FERC naming conventions e.g., FERC Electric Tariff Volume Number 1, Rate Schedule X-5, Service Agreement No. 4 Under Tariff Volume No. 3.

Record Content Description:

This is a textual description of the Tariff Record. When the database is assembled, this field may be used to generate the database Table of Contents. The Record Content Description may be changed in a subsequent Tariff Filing.

Record Version Number:

This is a representation of the version (designation) of the Tariff Record, in the format of x.y.z, where "x" represents revision number for the given Tariff Record, "y" delineates that it is a substitute for a previously filed Tariff Record, and "z" indicates that it is a "squeeze" Tariff Record. A "squeeze" Tariff Record occurs when a Tariff Record needs to be made effective on a date which occurs between the effective dates of two Tariff Records with the same Tariff Record Identifier already on file with FERC. Commonly, this occurs when a Tariff Record is suspended and subsequent Tariff Records need to be made effective prior to when the suspended Tariff Record becomes effective. The Tariff Submitter may choose to use only "x" for all revised, substitute, and squeezed Tariff Records. In that case, the "y" and "z" should be zero.

This information is not used to determine actual status of a Tariff Record. This field will not be checked by the eTariff verification process. FERC will not use it in any

automated fashion. This field is provided for ease of business and FERC referencing and will only be used for display.

Guidelines for the Record Version Number:

1. Each version of a Tariff Record must have a unique Record Version Number.
2. The “x”, “y” and “z” components:
 - are integers
 - begin with 0.0.0
 - increment separately by one
3. Record Version Numbers are not required for the following Type of Filings and Tariff Record changes:
 - Withdrawal
 - Motions to place Tariff Records into effect or delay effectiveness

Record Narrative Name:

This is an optional data element that provides the Tariff Submitter the ability to include an additional narrative description of the Tariff Record. As of January 2008, FERC has not determined how this information will be utilized.

Tariff Record Collation Value:

This is a value provided by the Tariff Submitter that determines the order in which the Tariff Records are compiled. In other words, it will provide the appropriate sequencing of the Tariff Records. For each Tariff Record:

- Use a unique Tariff Record Collation Value, and
- It is recommended that in the preparation of a new database, a sufficient gap (e.g., increments of 1,000) be provided between the collation values to allow for future insertion of new Tariff Records.

A Tariff Record Collation Value may be modified as part of another Tariff Filing.

Example:

Tariff Record	Collation Value
Common Service Provisions	2000
Definitions	3000
Table of Contents	1000

The Tariff Records would be assembled in the following order:

Table of Contents
Common Service Provisions
Definitions

Tariff Record Parent Identifier:

The Tariff Record Parent Identifier provides the hierarchical structure to identify the higher-level part of the database to which the subject Tariff Record belongs.

When a database is first organized, thought should be given to how the electronic Table of Contents will appear. A Tariff Record that has no parent has a Tariff Record Parent Identifier of “0”, i.e., top level record. If the value provided is not “0”, it must be a valid Tariff Record Identifier of another Tariff Record. It is suggested by FERC that no more than 7 levels under a top level record be used.

A Tariff Record Parent Identifier may be modified as part of another Tariff Filing.

Tariff Record Proposed Effective Date:

This indicates the date the given Tariff Record is proposed to go into effect. It is used to determine which version of a Tariff Record change is effective in accordance with applicable law, regulations and business practices. The data in this field is subject to FERC review and disposition, which will impact the status of a Tariff Record for any given period of time. **The Commission will use the Type of Filing Code together with the Tariff Record Proposed Effective Date to establish whether a filing is statutory and the applicable statutory timelines.**

If the effective date is not known at the time of the filing, such as the effective date is contingent on FERC approval, the closing of a plant sale, etc., the date of **12/31/9998** must be used. Use of this option may have regulatory consequences depending on the FERC Tariff Program.

Changing a Tariff Record Proposed Effective Date requires a Tariff Filing.

Record Effective Priority Order:

A positive integer assigned by the Tariff Submitter that indicates the order of multiple changes for a given Tariff Record (i.e., the same Tariff Record Identifier) proposed to go into effect on the same date. The Tariff Record with the highest Record Effective Priority Order will supersede any other Tariff Records with the same Tariff Record Identifier also proposed to be effective for that date. The value must be unique across Tariff Records with the same Tariff Record Identifier and Tariff Record Proposed Effective Date. It is recommended that the default Record Effective Priority Order value be set relatively high, e.g., 500, thereby allowing subsequent Tariff Filings with Record Effective Priority Orders either before or after the initial Record Effective Priority Order.

Record Content Type Code:

This is the numeric code representing the software format of the specific Record Binary Data. A list of allowable codes will be published on the FERC website located at www.ferc.gov with changes communicated via a FERC notice or order. FERC will provide this information in CSV and PDF formats which will be updated as necessary.

Record Binary Data:

This is the content of the Tariff Record in a Base64 bit encoded binary file. This binary file is in the native format of the saved file generated from the word processing software, or other FERC approved software format(s), in which the Tariff Record content was written. Base64 bit encoding is an additional step that must be applied to the binary file, using encoding software, enabling the file to be inserted into the XML.

All Record Binary Data must meet the same rules and requirements applicable to any document filed with FERC through its eFiling website. Instructions with regard to the electronic format and content of electronic documents will be published on the FERC website located at www.ferc.gov or via FERC notice or order. However, the eTariff verification process does not enforce these rules, which are subject to other FERC processes.

Record Plain Text:

This is the plain text version of the content of the Record Binary Data. Formatting and other binary values are stripped from this content. This field will be used for searching and indexing.

Record Change Type:

This data element indicates the type of change / revision / maintenance action being requested for the Tariff Record, e.g., new, change, cancel, etc. Some Type of Filings are restricted to the choice of Record Change Types.

Business descriptions of the Record Change Types are as follows:

- NEW:** To create a new Tariff Record Identifier.
- CHANGE:** To change an existing Tariff Record. Modifications to a Tariff Record that has been cancelled may be made if the Tariff Record Proposed Effective Date is prior to the cancellation date.
- CANCEL:** Used to cancel a Tariff Record Identifier. Once cancelled, the Tariff Record Identifier cannot be changed with a filing that contains a Tariff Record Proposed Effective Date that is after the accepted date of cancellation. Cancellation of a Tariff Record Identifier that is a Tariff Record Parent Identifier will automatically cancel all related child Tariff Record Identifiers.

Cancellation of a Tariff Record Identifier should not be confused with cancelling a Tariff Identifier, which requires the submission of a cancellation Type of Filing.

- WITHDRAW:** Used to withdraw a pending or suspended Tariff Record. The withdrawal of a “NEW” Tariff Record Parent Identifier will automatically cancel all “NEW” children. Withdrawal 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 will result in a verification error and **SOE0SEC** rejection. Depending on the program, withdrawal’s effectiveness may be reflected automatically by FERC’s eTariff database maintenance. At a minimum, the Tariff Submitter needs to provide the following data elements:

- Tariff Record Identifier
- Option Code
- Record Change Type
- Associated Filing Identifier
- Associated Record Identifier
- Associated Option Code

PRO FORMA: Used to submit a Tariff Record proposal without invoking statutory processing timelines. The Tariff Submitter should include a Tariff Record Proposed Effective Date, which is used for database maintenance. Pro Forma Tariff Records cannot be converted to effective Tariff Records by FERC, and should be resubmitted as actual Tariff Records.

Associated Filing Identifier:

Used to provide the Tariff Filing Identifier associated with a previously filed Tariff Record that the subject Tariff Record replaces. This field is only populated when the Associated Filing Identifier data element (in the Filing Data Table) is populated. This data element is used in conjunction with the Associated Record Identifier and the Associated Option Code (below). This is not applicable to all Type of Filings.

An Associated Filing Identifier for the subject Tariff Record does not have to be the same as the Associated Filing at the filing level used in this Tariff Filing.

Amendment and Compliance Type of Filings permit multiple Associated Filing Identifiers, however only one Associated Filing Identifier may be provided for each Tariff Record.

Associated Record Identifier:

This field is used in conjunction with the Associated Filing Identifier and the Associated Option Code to provide the Tariff Record Identifier of the Tariff Record which the subject Tariff Record replaces. It should refer to a Tariff Record Identifier in a previous filing, and this value should be that record's Tariff Record Identifier.

Associated Option Code:

This field is used in conjunction with the Associated Filing Identifier and the Associated Record Identifier. The value should be the correct Option Code for the Associated Record Identifier.

DATA DICTIONARY

NAESB WGQ Standard 11.4.1 and NAESB WEQ Standard WEQ-014

Introduction

The following three Data Tables make up the Data Dictionary for electronic Tariff Filings. Conceptually, the purpose of each table is:

- Filing Data - describes the overall filing.
- Attachment Data - supporting documents required by specific Type of Filing or additional documents supplied by the Tariff Submitter.
- Tariff Record Content Data - the actual “text” or “content” of the tariff, rate schedule, or service agreement along with its associated metadata.

The data elements contained in the three data tables are presented in the order in which they appear in the XML schema.

Filing Data

This data defines the Tariff Filing and this data will be provided with each Tariff Filing.

Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Schema Version	schema_version	The version of the XML schema used to create the specific Tariff Filing.	Numeric (10)	Any number between 1 and 2,147,483,648	Required.
Company Identifier	company_id	A FERC-designated Company Identifier code used to identify an entity required to submit Tariff Filings to FERC pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by FERC.	Alphanumeric (10)	Free form text	Required. Assigned by FERC and provided in the Tariff Filing by the Tariff Submitter.
Tariff Identifier	tariff_id	A unique identifier for the Tariff Submitter's database assigned by the Tariff Submitter as it pertains to the database being modified by the Tariff Filing. This can be any value in the allowable range of numbers, but it must be unique for each Tariff Submitter's database. A Tariff Submitter may have more than one active database.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned and provided by the Tariff Submitter. The Tariff Identifier of the database cannot change.
Tariff Title	tariff_title	The name of the database assigned by the Tariff Submitter.	Alphanumeric (100)	Free form text.	Required only when creating a new database. After the initial submission, the Tariff Identifier is used, and this data element may be left blank. Assigned and provided by the Tariff Submitter. The Tariff Title of the database cannot change.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Filing Identifier	filing_id	A unique identifier for the subject Tariff Filing for the Tariff Submitter.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned and provided by the Tariff Submitter. This can be any value in the valid range of numbers, but it must be unique across all Tariff Filings for a specific Tariff Submitter.
Filing Title / Description	filing_title	The title given to the Tariff Filing by the Tariff Submitter.	Alphanumeric (80)	Free form text.	Required. Assigned and provided by the Tariff Submitter. This will not be used in FERC's eTariff system and will be used in eLibrary.
Type of Filing Code	filing_type	A code that identifies the specific FERC defined type of Tariff Filing as set forth in Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by the Commission (e.g., initial, compliance, surcharge, etc.). The Type of Filing will dictate the data requirements for the subject filing	Numeric (10)	See list of codes posted @ www.ferc.gov	Required.
Associated Filing Identifier	associated_filing_id	The Filing Identifier for the previous Tariff Filing to which the subject filing pertains (i.e., associated).	Numeric (10)	Any number between 1 and 2,147,483,648	Conditional. Assigned and provided by the Tariff Submitter. This is not applicable to all Type of Filings. Where it is used, it must refer to a previous Tariff Filing, and the value should be that previous Tariff Filing's "filing_id" value. An example might be the subject Tariff Filing is a compliance (or withdrawal) filing and the previous, applicable Tariff Filing to which it pertains must be identified in this field.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Validation e-mail	validation_email	The email e-mail address provided by the Tariff Submitter for notification of whether the Tariff Filing meets the technical requirements such that it can be passed on to the Secretary of the Commission ISOCIOSEC for further processing.	Alphanumeric (100)	Free form text	Required.
Payment Confirmation Code	pay_confirm_code	The confirmation Accession Number Accession Number for the associated fee that has been previously submitted via FERC's Online FERC's Online www.pay.gov, as applicable.	Alphanumeric (15)	Free form text FERC Accession Number in nnnnnnnn-nnnn format	Conditional based on the Type of Filing. Required if payment is required by the regulations. Provided by the Tariff Submitter.
Suspension Motion	suspend_motion	An indication of whether or not the Tariff Records should automatically go into effect at the end of the applicable suspension period.	Character (1)	"Y" or "N"	Conditional based off of Type of Filing. Provided by the Tariff Submitter.

Attachment Data

This defines data for each supporting / attached document that is either (1) being provided with the Tariff Filing or (2) for which a waiver is requested.

Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Attachment Reference Code	att_ref_code	The FERC assigned reference code for each attachment type.	Numeric (10)	See list of codes posted @ www.ferc.gov	Required. Provided by the Tariff Submitter. If the attachment pertains to a specific document defined for the Type of Filing, the appropriate document reference code must be used. Note: The code may be different for each Type of Filing.
Attachment Description	att_desc	The title given to the attachment submitted by the Tariff Submitter.	Alphanumeric (80)	Free form text.	Required. For attachments that are pre-defined by FERC's regulations, the description will be the FERC pre-defined description. For other attachments that are added by the Tariff Submitter, the description can be any value desired. These descriptions will be displayed in eLibrary as assigned and provided by the Tariff Submitter.
Attachment Waiver Requested	att_waiver_request	An indication of whether or not the Tariff Submitter is requesting a waiver for submission of the attachment specified as required by the Attachment Reference Code.	Character (1)	"Y" - waiver is requested "N" or " " - waiver not requested	Conditional on the Type of Filing – required for those attachments that are required by regulations. Assigned and provided by the Tariff Submitter. For each document that is requested to be waived, the Attachment Reference Code (above) is provided, and a value of "Y" is entered here. If an actual document is being provided, this value should be "N" or " ".

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Attachment Document	att_binary_data	This is the actual document content.	Binary (50 MB)	Binary Base64 bit encoded file content	Conditional on the Type of Filings. Required if Attachment Document is required by regulation and waiver of such is not requested in the field "Attachment Waiver Requested." Provided by the Tariff Submitter.
Attachment Document File Name	att_filename	The complete file name, including the extension, assigned by the Tariff Submitter of the Attachment Document being attached.	Alphanumeric (60)	Free form text. Must not include ? / * \ " ' > or <	If the Attachment Waiver Requested is "Y", Attachment Document File Name is not required. Assigned and provided by the Tariff Submitter if not otherwise pre-defined by FERC's regulations or instructions. This file name will be used to identify the document and the extension will be used for retrieval purposes. Valid file names cannot include special characters such as: ? / * \ " ' > <
Attachment Content Type Code	att_content_type_code	The numeric code representing the software format of the specific Attachment Document.	Numeric (10)	See list of codes posted @ www.ferc.gov	Conditional, required when the Attachment Document is provided.
Attachment Security Level	att_security_level	The level of security requested for the specific attached document corresponding to the applicable Attachment Document.	Character (1)	"P" - Public "M" - Privileged "X" - Critical Energy Infrastructure Information See list of codes posted @ www.ferc.gov	Conditional based on Type of Filing. Required when the Attachment Document is provided. Certain Attachment Documents are required to be Public. Assigned and provided by the Tariff Submitter.

Tariff Record Content Data

This provides the data for each Tariff Record.

Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Tariff Record Identifier	record_id	An identifier for the Tariff Record within a given database that will not change as a result of revisions to the content of the Tariff Record (with same or different effective dates). No two different Tariff Records in the same database may have the same Tariff Record Identifier.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned by the Tariff Submitter. Each Tariff Record in the database has an associated Tariff Record Identifier number that does not change with each revision within a given database. The Tariff Record Identifier is not used for collation and does not have to be assigned sequentially.
Option Code	option_code	An identifier that designates the alternative Tariff Record option being submitted. An identifier that designates the primary Tariff Record as "A" and designates all alternative Tariff Record options being submitted, if any, sequentially in alphabetic order.	Character (1)	"A" thru "Z" allowed.	Required. Provided by the Tariff Submitter. Default (no more than one option is provided) is "A".
Tariff Record Title	record_title	The name of the Tariff Record contents.	Alphanumeric (60)	Free form text.	Required, if Tariff Record is a first-level Parent or in a Whole Document Format. Optional in other cases. Assigned by the Tariff Submitter. This field may be used in a database generated Table of Contents.
Record Content Description	record_content_desc	Textual description of the Tariff Record.	Alphanumeric (25)	Free form text.	Required. Assigned by the Tariff Submitter. This field may be used in a database generated Table of Contents.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Record Version Number	record_version_num	A representation of the version (designation) of the Tariff Record.	Alphanumeric (10)	x.y.z x = revision number y = substitute number z = "squeezed" number	Conditional based on Type of Filing. This information is not used to determine actual status of a Tariff Record. It is not used in any automated fashion other than display (possibly in the table of contents). This data is provided for ease of business and FERC referencing only.
Record Narrative Name	record_narrative_name	An additional narrative description of the Tariff Record.	Alphanumeric (254)	Free form text	Optional.
Tariff Record Collation Value	collation_value	A value that will determine the sort order in which the Tariff Records are merged.	Numeric (25)	Any number between 1 and 2,147,483,648	Required. Assigned by the Tariff Submitter.
Tariff Record Parent Identifier	record_parent_id	Provides the hierarchical structure to identify the higher-level part of the database to which this Tariff Record belongs.	Numeric (10)	Any number between 0 and 2,147,483,648	Required. Assigned by the Tariff Submitter. If the Tariff Submitter chooses not to use the functionality of this field, they must still populate the field with "0". Otherwise, the value must be a valid Tariff Record Identifier.
Tariff Record Proposed Effective Date	proposed_effective_date	The proposed effective date for the specified Tariff Record.	Date (10)	YYYY-MM-DD	Required. Assigned by the Tariff Submitter.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Record Effective Priority Order	priority_order	A positive integer that directs which of multiple changes of a given Tariff Record (the same Tariff Record Identifier) proposed to go into effect on the same day, will take precedence, i.e., the Tariff Record with the highest numeric value will supersede any other Tariff Records with the same Record Identifier also proposed to be effective for that day.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned by the Tariff Submitter. Default value should allow for priority values below and above the Tariff Record of a specific Tariff Record Proposed Effective Date initial value (for example: 500). The value must be unique for a specific Tariff Record for a specific Tariff Record Proposed Effective Date. When the current database is assembled for a particular effective date and there are multiple Tariff Records with the same Record Identifier and the same effective date, the approved Tariff Record for that effective date with the highest Record Effective Priority Order number will be the effective Tariff Record.
Record Content Type Code	record_content_type_code	The version of the software used to create the specific Tariff Record.	Numeric (10)	See list of codes posted @ www.ferc.gov	Conditional based on Type of Filing and/or structure of database. Provided by the Tariff Submitter.
Record Binary Data	record_binary_data	The actual Tariff Record content.	Binary (10 MB)	Binary Base64 bit encoded file content	Conditional based on Type of Filing and/or structure of database. Provided by the Tariff Submitter.
Record Plain Text	record_plain_text	The plain text version of the content of the Record Binary Data. Formatting and other binary values are stripped from this content.	Alphanumeric (10 MB)	Free form text	Conditional based on Type of Filing and/or structure of database. Provided by the Tariff Submitter.
Record Change Type	record_change_type	A description of the type of change being requested.	Alphanumeric (15)	See Code Values Dictionary	Required. Assigned by the Tariff Submitter. Used to identify the appropriate Tariff Record maintenance action. Some Type of Filings restrict the choice of Record Change Types.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Associated Filing Identifier	associated_filing_id	The Tariff Filing Identifier associated with a previously filed Tariff Record which the subject Tariff Record replaces. Note: This is used in conjunction with the Associated Record Identifier and the Associated Option Code (below).	Numeric (10)	Number between 1 and 2,147,483,648 used by the Tariff Submitter in a previous Tariff Filing	Conditional. Assigned by the Tariff Submitter. This is not applicable to all Type of Filings. Where the Type of Filings permits or requires its use, it must refer to a previous Tariff Filing, and the value should be that previous Tariff Filing's Filing Identifier.
Associated Record Identifier	associated_record_id	This is used to associate the specific content with a previously filed Tariff Record. For example, withdrawal Tariff Filings must identify the content being requested to be withdrawn. Note: This is used in conjunction with the Associated Filing Identifier (above) and the Associated Option Code (below).	Numeric (10)	Number between 1 and 2,147,483,648 used by the Tariff Submitter for the targeted Tariff Record Identifier	Conditional. Assigned by the Tariff Submitter. This is not applicable to all Type of Filings. Where it is used, it must refer to a Tariff Record Identifier in the associated filing.
Associated Option Code	associated_option_code	An identifier that designates the alternative associated record option of a previously filed Tariff Record. Note: This is used in conjunction with the Associated Filing Identifier and the Associated Record Identifier (above).	Character (1)	"A" thru "Z" used by the Tariff Submitter for the targeted Tariff Record Identifier	Conditional. Assigned by the Tariff Submitter. Where it is used, the value should be the applicable Option Code value for the Associated Record Identifier.

Code Values Dictionaries and FERC Reference Tables

Certain data elements need to be populated with standardized responses (code values). Some of these data elements lend themselves to simple code value tables as provided below. For others, FERC will provide reference tables in a downloadable CSV file. After the following data element code values tables is an extensive explanation of the FERC reference tables.

Data Element: Attachment Waiver Requested

Code Value	Code Value Description
N	No, a waiver of the attachment is not being requested.
Y	Yes, a waiver of the attachment is being requested.

Data Element: Option Code

Code Value	Code Value Description
A	Default for the primary Tariff Record.
B, C, through Z	Subsequent codes used for alternatives and must be provided in alphabetical order.

Data Element: Record Change Type - (code values is case sensitive)

Code Value	Code Value Description
CANCEL	Used to cancel a Tariff Record Identifier.
CHANGE	Used to change an existing Tariff Record.
NEW	Used to create a new Tariff Record Identifier.
PRO FORMA	Used to submit a Tariff Record proposal without invoking statutory processing timelines.
WITHDRAW	Used to withdraw a pending or suspended Tariff Record.

Data Element: Suspension Motion

Code Value	Code Value Description
N	No, the filing should not become effective without a separate filing to request such.
Y	Yes, the Tariff Record(s) should go into effect at the end of the suspension period.

FERC Reference Tables Provided in Downloadable Files

FERC will provide reference tables in downloadable files for the remaining data elements which have standardized code values, as well as to provide information to assist in the development of a Tariff Submitter's document management system and the creation of a Tariff Filing. The downloadable files will contain the appropriate codes to be used to populate the identified XML data elements (schema) and/or contain data that can be used to assist in error processing, provide FERC validation information and/or FERC business rules used to process the Tariff Filing.

This section is composed of three parts:

- (1) A list of the FERC File Downloads and their contents;
- (2) The Format of the FERC File Download Files; and
- (3) A description of the data elements contained in the FERC File Downloads

(1) List of FERC File Downloads

The following is a list of the downloadable files that FERC will post on its website, located at www.ferc.gov. The files listed will be available in CSV and may be provided in PDF formats.

- Type of Filing (`filing_type`) – code values and rules of use
- Attachment Reference Code (`att_ref_code`) – code values and rules of use
- Attachment Content Type Code (`att_content_type_code`) – code values
- Attachment Security Level (`att_security_level`) – code values
- Record Content Type Code (`record_content_type_code`) – code values
- Validation error codes provided by FERC.

(2) Format of the FERC File Downloads

The downloadable files posted on the FERC website will be formatted in CSV. The first row of the 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 the 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 will be enclosed by double-quotes.
- When numeric data contains decimal precision, the decimal point will be included within the field.
- When a field contains no data, the empty field will contain two delimiters next to each other. Note that there will be no blank spaces between the delimiters.

(3) Description of the Data Elements contained in the FERC File Downloads

FERC's Tariff Filing requirements are the function of many statutory, regulatory and business processes. A Tariff Filing must satisfy many rules simply to be considered a filing acceptable for processing by the FERC. How FERC maintains the contents of Tariff Filings 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). FERC has created software for internal purposes of automating the Tariff Filing review process and much of the eTariff maintenance process. It is in the interest of the FERC that Tariff Submitters create electronic Tariff Filings that are compatible with FERC's automated Tariff Filing and eTariff 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 Submitter's document management system to add functionality to the processes and to improve accuracy of the Tariff Filings. FERC will not review or certify any Tariff Submitter's document management system.

Following is a description of each of the downloadable files and the data contained in such files (both eTariff XML data elements and non-eTariff data elements used by FERC). The names of the columns that will be contained in the downloadable files are reflected below and are either shown in **bold** text (XML schema data elements) or in *italics* (non-XML schema data elements).

- **Type of Filing** (*filing_type*) - This file contains thirteen columns:
 1. **filing_type** – The values are used to populate the *filing_type* XML data element for the subject Tariff Filing. The statutes, regulations and business rules provide for many different filing types. Every Type of Filing has a unique code that is randomly generated by FERC. It is used to direct the software to a set of data elements that describe that filing type.
 2. *description* – Description of the *filing_type*. In this column FERC will provide its description for each Type of Filing code.
 3. *prog_code*: The “program code” refers to the different FERC Tariff Programs. As of January 2008, FERC has divided the various Type of Filings into five programs which are reflected by the six values below. FERC will allow the Tariff Submitter to determine which Type of Filing codes are relevant based on its FERC Tariff Programs. Within the five programs are dozens of different Type of Filings. The values in this column are defined below:
 - E = Federal Power Act Electric (Traditional Cost of Service and Market Based Rates) Public Utilities
 - F = Power Administrations
 - G = NGA Gas Pipelines
 - K = NGPA 311 Gas Pipelines
 - M = Federal Power Act Electric (Market Based Rate) Public Utilities
 - O= Oil Pipelines

FERC assigns one of the above program codes to a Tariff Submitter at the time the Tariff Submitter registers with FERC as part of the company registration process. The Tariff Submitter can only make Tariff Filings with one of the Type of Filing codes that are under the same program code as the Tariff Submitter.

Note: The program code of “M” is a subset of the “E” program code unique for FPA Tariff Submitters that only sell power at Market Based Rates. 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.

4. *new_type* – This column will indicate either yes (Y) or no (N). This reflects a type of Baseline category Type of Filing that requires both the creation of a new Company Identifier and a new Tariff Identifier. A more detailed explanation of the broad category of Baseline is provided below.
5. *refiled_type* – This column will indicate either yes (Y) or no (N). This reflects a type of Baseline category Type of Filing wherein the Tariff Submitter already has a pre-existing database or collection of paper tariffs, rate schedules, or service agreements and is requesting a new Tariff Identifier. A more detailed explanation of the broad category of Baseline is provided below.
6. *compliance_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Compliance type.
7. *amendment_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Amendment type.
8. *motion_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Motion type.
9. *withdraw_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Withdraw type.
10. *report_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Report type.
11. *cancellation_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Cancellation type.
12. *suspend_motion_response* – This column will indicate either yes (Y) or no (N). FERC may suspend certain Type of Filings. For some programs, the Tariff Submitter is required to inform FERC whether or not it is submitting a motion to place suspended Tariff Records into effect at the end of the suspension period.

The download file will indicate the Type of Filings requiring such a data element be populated by the Tariff Submitter.

13. *status_change_timeout* – Many Type of Filings must be acted upon by FERC by a certain number of days from the date of the Tariff Filing. This data element shows the number of days from the date of the filing before the FERC internal system will automatically change the status in the absence of a FERC order.
14. *fee_required* – this column will indicate either yes (Y) or no (N). if yes(Y), then this Type of Filing requires a filing fee be made with the Commission.
15. *active_date* – This column will indicate the effective date of the other data elements on the row.
16. *inactive_date* – This column will indicate the retirement date of the other data elements on the row. If there is no known retirement date, the date of 12/31/9998 will appear.

Explanation of Type of Filing Categories:

Different Type of Filings have different business processes as required by statute, regulation or business practice. FERC breaks down the dozens of different Type of Filings into eight broad categories that have similar business processes. The eight broad categories are explained below however, not all of them have individual columns in the download file.

The eight broad categories of Type of Filings are defined by FERC as:

- **Baseline** - This category is used for a Type of Filing that requires a new Tariff Identifier. Every Tariff Submitter establishing a new Tariff Identifier must start with a Baseline filing. However, the automated processing is different depending on whether the requested action is “New” or “Refiled” as more fully explained in the description above for the columns “*new_type*” and “*refiled_type*”:
- **Normal/Statutory** - This category is used for a Type of Filing wherein the Tariff Submitter is the proponent of the change(s) in a tariff, rate schedule, or service agreement. This business process rule will be the most commonly used by Tariff Submitters. FERC has rules for some programs, such as when a Type of Filing is appropriate relative to various indices, such as the status of a Tariff Filing or Tariff Identifier. Statutory, regulatory and business rules apply to the status of a proposed change(s) in a tariff, rate schedule, or service agreement. Many of these rules are automated to change the status conditions in the appropriate circumstances. A Type of Filing is a "normal" type if the data in the columns on the download file for all category types (*motion_type*, *report_type*, *amendment_type*, etc.) are set to "N".
- **Compliance** - This category is used for a Type of Filing wherein the

Tariff Submitter proposes to comply with a FERC order. There is no automated rule to change the status of the Tariff Filing. These status changes will require FERC action.

- Amendment - This category is used for Type of Filings wherein the Tariff Submitter proposes to change a pending Tariff Filing prior to FERC or business process rule action on a Normal/Statutory or Compliance Type of Filing. A Tariff Submitter cannot amend a filing that FERC 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/Statutory 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 modifying the timing of automated action on the associated Normal/Statutory Type of Filing and subordinates it to the Amendment Type of Filing.
- Motion - This category of Type of Filing can only be associated with Tariff Records whose status condition in the FERC eTariff database is “suspended”. The only action that a filing in this category can do is to change the Proposed Effective Date of the Tariff Record that is “suspended”. Any change in the tariff, rate schedule, or service agreement is ignored. If a Tariff Submitter wishes to change both the status of suspended Tariff Record and tariff, rate schedule, or service agreement, it must file a “Compliance” Type of Filing.
- Withdraw - This category of Type of Filing can only be associated with Tariff Records that are (depending on the program) in the FERC eTariff database in a “pending”, “conditional” or “suspended” status condition. Any change in the tariff, rate schedule, or service agreement is ignored. This business process rule may (depending on the program) automatically withdraw the targeted Tariff Record and change the formerly “superseded” Tariff Records to “effective.” Therefore, no additional Tariff Filing or Tariff Records are required to reinstate the superseded Tariff Record.

Note: . The Withdraw category of Type of Filing should not be confused with the Record Change Type of WITHDRAW. The Withdraw category of Type of Filing acts upon the associate filing as a whole, whereas the WITHDRAW Record Change Type acts upon the associated tariff record.

- Report - This category of Type of Filing contains no Tariff Record information. It can only be used to supplement the record of the proceeding. Basically, the Report Type of Filing is meant to provide Tariff Submitters a means to make complex filings with FERC in an established proceeding as an alternative to FERC’s eFiling website portal for non-Tariff Filings.
- Cancellation - This category of Type of Filing is used by the Tariff

Submitter to terminate a Tariff Identifier. Once a Tariff Identifier is cancelled, only Compliance Type of Filings with a Proposed Effective Date before the effective date of the cancelled Tariff Record may be filed using the cancelled Tariff Identifier.

- **Attachment Reference Code** (att_ref_code) - This file contains seven columns:
 1. **filing_type** – This column relates the Type of Filing with the available selection of attachments.
 2. **att_ref_code** – This column is used to populate the att_ref_code XML data element field for each attachment.
 3. **att_desc** – This column is used to populate the att_desc XML data element field for each attachment.
 4. *citations* – This column provides the corresponding Citation to FERC regulation. This is simply a text field that provides the reader with additional information as to the source of the requirement.
 5. *is_required* – This column will indicate either yes (Y) or no (N). Certain documents are required by either regulation or business rule for the Tariff Filing to be considered complete enough for the SOCOTEC 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 SOCOTEC as a minimal condition is provided.
 6. *can_waive* - This column will indicate either yes (Y) or no (N). Some attachments may be required, but FERC may permit the Tariff Submitter to request that the requirement be waived. FERC will post whether a required attachment may be waived.
 7. *req_access_lvl* – This column indicates the required security level on a file as indicated in the att_security_level download file. A blank indicates no required security level. The values are defined below:
 - P = Public
 - M = Privileged
 - X = Critical Energy Infrastructure Information

- **Attachment Content Type Code** (att_content_type_code) - This file contains two columns:
 1. **att_content_type_code** - The values are used to populate the att_content_type_code XML data element for each attachment.
 2. *description* – The description of the electronic format represented by the code.
 3. *file_extension* – This column contains the electronic format extensions.

4. *active_date* – This column will indicate the effective date of the other data elements on the row.
 5. *inactive_date* – This column will indicate the retirement date of the other data elements on the row. If there is no known retirement date, the date of 12/31/9998 will appear.
- **Attachment Security Level** (att_security_level) - This file contains two columns:
 1. **att_security_level** – The values are used to populate the att_security_level field for each attachment.
 2. *description* - Description of the FERC security level associated with the att_security_level. Note that every attached document must have a populated att_security_level. FERC will not presume any default document security level.
 3. *active_date* – This column will indicate the effective date of the other data elements on the row.
 4. *inactive_date* – This column will indicate the retirement date of the other data elements on the row. If there is no known retirement date, the date of 12/31/9998 will appear.
 - **Record Content Type Code** (record_content_type_code) - This file contains two columns:
 1. **record_content_type_code** – The values are used to populate the record_content_type_code field for each record.
 2. *description* - Describes the record_content_type_code.
 - **Validation Error Codes** (validation_error_code.csv) - This file contains two columns:
 1. *error_code* – The values for the identified error.
 2. *description* - Describes the error.

Technical Specifications

Electronic Delivery Specifications

- **High-level Summary**

The following section defines the technical details and processes for computer-to-computer exchange of an XML file between a Tariff Submitter and FERC for electronic-Tariff Filings. It also defines eFiling authentication, eTariff portal security, and information on error / messages, security and maintenance. It does not provide information related to developing a Tariff Submitter's document management system as FERC is not providing a system to manage the Tariff Submitter's tariffs, rate schedules, or service agreements. The Tariff Submitter can either purchase a third party software system, or design and develop its own system (manual or automated) to maintain its tariffs, rate schedules, or service agreements. The Tariff Submitter will provide an XML formatted eTariff filing in accordance with the eTariff standards and other FERC requirements.

The Tariff Submitter will not have direct access to the FERC eTariff database to add, change or delete records. The Tariff Submitter will only be able to maintain its data in the FERC eTariff database via data sent through the eTariff filing process.

The following process describes the electronic Tariff Filings that **must** be filed through the FERC's eFiling web page located at www.ferc.gov.

- **Format of Upload Data**

The eFiling portal for eTariff filing packages assumes the Tariff Submitter has already produced an XML file that contains both data tags and embedded data per the business specifications provided and has been packaged as a zip file. There are no restrictions on the file name other than "normal" file naming conventions (i.e., a file name should contain no periods except the period preceding the file extension and no backslashes), the total character length must be 64 characters or less, and must have a ".ZIP" extension.

- **Login/authentication Requirements**

eRegistration:

In order to submit a Tariff Filing through the eTariff portal, the User must be eRegistered with FERC. The eRegistration process will allow the User to login to FERC's eFiling portal. The instructions on how a User may become eRegistered are located at www.ferc.gov.

eFiling Requirements:

The FERC's eFiling *Reference Guide* located at www.ferc.gov provides a step-by-step set of instructions and expected results for the eFiling process.

Company Registration Requirements:

To log into FERC's eTariff portal, the User will be required to have a Company Identifier and password. This Company Identifier is unique for each company filing tariffs, rate schedules, or service agreements with FERC. All Users will enter the same Company Identifier for a given company. This Company Identifier's password is company proprietary and should be treated as such. Instructions on how to obtain a Company Identifier and password are located at FERC's Online Company Registration application, located at www.ferc.gov. Note: The eTariff Company Identifier should not be confused with the data element Company Identifier contained in the data dictionary.

- **Minimum Technical Capabilities of Browser Clients**

FERC's eFiling portal is compatible with most common internet browsers, but is optimized for use with Microsoft® Internet Explorer 6.0.

- **Error Codes and Handling**

Error codes that can occur during the upload of the eTariff package on the FERC eFiling portal will be provided as described in the eFiling documentation, located at www.ferc.gov.

The e-mail that results from the eTariff verification process will use specific error codes/descriptions. The error codes provided within the e-mail can be decoded with the FERC-published code table located at www.ferc.gov. This table can be downloaded in CSV format and may be available in PDF format.

If the XML file is malformed and cannot be read, to the extent OSEC is able to identify the resulting error messages, the error messages will be provided to the Tariff Submitter as part of the OSEC Rejection e-mail. The Tariff Submitter is responsible for researching the nature of the XML error messages at locations such as www.w3.org (i.e.: <http://validator.w3.org/docs/errors.html>).

- **Security Specifications**

Tariff Submitters are responsible for security of the Company Identifier's password and all data contained in their filing that resides on their internal systems. The Company Identifier is public information.

Electronic transfer of the ZIP file is via the FERC eFiling portal using secure login (from eRegistration) and HTTPS for User interaction, and data transfer using a web browser. Refer to FERC eFiling specifications for minimal requirements of browsers using FERC web pages located at www.ferc.gov.

Data security at FERC is the responsibility of FERC.

- **Testing Guidelines**

FERC will provide a facility/function that will receive an eTariff XML filing package and verify it can be opened and parsed, and, if the appropriate data is provided, it will validate data content against production data. This facility will be available for use at any time. It will not validate data content or other FERC business processing. Information on how to access and use this testing facility is available at www.ferc.gov.

~~Other testing of further system functions may be provided during the transition period when eTariff is being developed and finalized inside FERC, e.g., the type of testing that was allowed during the eTariff Field Software prototype effort. This additional testing capability would only be available for a specific, pre-defined, amount of time during FERC system development.~~

- **Maintenance**

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Errata for NAESB Wholesale Electric Quadrant Business Practice Standards Version 002.1
June 20, 2011

The eTariff XML schema and associated code definition and downloadable CSV files will be maintained on the FERC website. Significant changes to any of these items will follow normal FERC notice/comment process. This process will also indicate the effective date of the change, and whether there will be a transition period.

Revisions to the eTariff XML schema code definition files will be posted in downloadable XSD and PDF formats located at www.ferc.gov. In the event of a discrepancy between the PDF and XSD files, the XSD file shall take precedence.

Revised code definition files will be posted in downloadable CSV file and may be available in a PDF file on FERC's website located at www.ferc.gov.

FERC will not certify or will not support software that Tariff Submitters may develop or purchase. Owners of these software packages are responsible for their maintenance and ensuring that any required eTariff XML schema and/or code revisions posted by FERC are properly recognized by such software.

XML Schema Version 1

Set forth below is Version 1 of the XML Schema that must be used to submit a Tariff Filing through FERC's eFiling / eTariff Portal.

```
<?xml version="1.0" encoding="utf-8"?>
<xs:schema id="ferc_tariff_filing" targetNamespace="http://ferc.gov/etariff.xsd"
elementFormDefault="qualified" xmlns="http://ferc.gov/etariff.xsd"
xmlns:xs="http://www.w3.org/2001/XMLSchema" >
  <xs:element name="document">
    <xs:complexType>
      <xs:choice minOccurs="1" maxOccurs="1">
        <xs:element name="ferc_filing_data" minOccurs="1" maxOccurs="unbounded">
          <xs:complexType>
            <xs:sequence>
              <xs:element name="schema_version" type="xs:string" nillable="true"/>
              <xs:element name="company_id" type="xs:string" nillable="true"/>
              <xs:element name="tariff_id" type="xs:integer" nillable="true"/>
              <xs:element name="tariff_title" type="xs:string" nillable="true"/>
              <xs:element name="filing_id" type="xs:integer" nillable="true"/>
              <xs:element name="filing_title" type="xs:string" nillable="true"/>
              <xs:element name="filing_type" type="xs:integer" nillable="true"/>
              <xs:element name="associated_filing_id" type="xs:integer" nillable="true"/>
              <xs:element name="validation_email" type="xs:string" nillable="true"/>
              <xs:element name="pay_confirm_code" type="xs:string" nillable="true"/>
              <xs:element name="suspend_motion" type="xs:string" nillable="true"/>
              <xs:element name="attachment_data" minOccurs="1" maxOccurs="unbounded">
                <xs:complexType>
                  <xs:sequence>
                    <xs:element name="att_ref_code" type="xs:integer" nillable="true"/>
                    <xs:element name="att_desc" type="xs:string" nillable="true"/>
                    <xs:element name="att_waiver_request" type="xs:string" nillable="true"/>
                    <xs:element name="att_binary_data" type="xs:base64Binary" nillable="true" />
                    <xs:element name="att_filename" type="xs:string" nillable="true"/>
                    <xs:element name="att_content_type_code" type="xs:integer" nillable="true"/>
                    <xs:element name="att_security_level" type="xs:string" nillable="true"/>
                  </xs:sequence>
                </xs:complexType>
              </xs:element>
            <xs:element name="record_data" minOccurs="0" maxOccurs="unbounded">
              <xs:complexType>
                <xs:sequence>
                  <xs:element name="record_id" type="xs:integer" nillable="true"/>
                </xs:sequence>
              </xs:complexType>
            </xs:element>
          </xs:sequence>
        </xs:element>
      </xs:choice>
    </xs:complexType>
  </xs:element>
</xs:schema>
```

```
<xs:element name="option_code" type="xs:string" nillable="true"/>
<xs:element name="record_title" type="xs:string" nillable="true"/>
<xs:element name="record_content_desc" type="xs:string" nillable="true"/>
<xs:element name="record_version_num" type="xs:string" nillable="true"/>
<xs:element name="record_narrative_name" type="xs:string" nillable="true"/>
<xs:element name="collation_value" type="xs:integer" nillable="true"/>
<xs:element name="record_parent_id" type="xs:integer" nillable="true"/>
<xs:element name="proposed_effective_date" type="xs:date" nillable="true"/>
<xs:element name="priority_order" type="xs:integer" nillable="true"/>
<xs:element name="record_content_type_code" type="xs:integer" nillable="true"/>
<xs:element name="record_binary_data" type="xs:base64Binary" nillable="true"/>
<xs:element name="record_plain_text" type="xs:string" nillable="true"/>
<xs:element name="record_change_type" type="xs:string" nillable="true"/>
<xs:element name="associated_filing_id" type="xs:integer" nillable="true" />
<xs:element name="associated_record_id" type="xs:integer" nillable="true" />
<xs:element name="associated_option_code" type="xs:string" nillable="true" />
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:choice>
</xs:complexType>
</xs:element>
</xs:schema>
```

Note: The XML Schema definition language (XSD) defines four attributes for use in XML instance documents, indicated by the <http://www.w3.org/2001/XMLSchema-instance> namespace. Information regarding these four attributes is located at <http://msdn2.microsoft.com/en-us/library/ms256207.aspx> and <http://www.w3.org/TR/xmlschema-1/>. The eTariff specifications contained in this document utilize the `nil="true"` attribute to indicate an empty (null) numeric element. It has been determined that some XML software tools do not support the `nil="true"` attribute. The software developer should thoroughly investigate the capabilities of their development tool sets to ensure that they support the `nil="true"` attribute.

Appendix 2 contains **Minor Correction MC10032** Errata to NAESB WEQ Version 002.1 NAESB WEQ Business Practice Standards WEQ-000 to add defined terms ‘On-Peak’ and ‘Off-Peak’ as the terms were capitalized in NAESB WEQ Business Practice Standards WEQ-007. The appendix in this Business Practice Standard WEQ-007-A provides the clarification/definition for On-Peak and Off-Peak. Rather than trying to include large portions of the appendix in the definitions, the WEQ EC approved the definitions for these terms point to NAESB WEQ Business Practice Standard WEQ-007-A. This approach is similar to what was done for other terms such as Actual Daily Native Peak Load and Forecasted Daily Zonal Load.

**Minor Correction MC10032 as revised
 and approved by the WEQ EC on October 26, 2010**

MINOR CORRECTION REQUEST

Quadrant: Wholesale Electric Quadrant
Description: WEQ 2010 AP Item 1.a.i – Interim Solution for Parallel Flow Visualization
Submitted By: Ed Skiba, JT Wood, Narinder Saini, and Marceline Otondo
Date: August 27, 2010

During the process of making conforming changes to the NAESB Business Practices we identified definitions for the terms On-Peak and Off-Peak were not included in the NAESB Business Practices yet the terms were capitalized in NAESB Business Practice Standards WEQ-007. We also identified that the appendix in this Business Practice Standard provided the clarification/definition for On-Peak and Off-Peak. Rather than trying to include large portions of the appendix in the definitions, we recommend that the definitions for these terms point to NAESB Business Practice Standard WEQ-007-A. This approach is similar to what was done for other terms such as Actual Daily Native Peak Load and Forecasted Daily Zonal Load.

We believe these changes meets the criteria of a minor correction in that it is a clarification and correction that does not materially change the standards. When the conforming changes are made for these terms the capitalization would only occur in WEQ-007.

TERM	DEFINITION
<u>Off-Peak</u>	<u>When used relative to Inadvertent Interchange, shall have the meanings as specified in Business Practice Standards WEQ-007-A.</u>
<u>On-Peak</u>	<u>When used relative to Inadvertent Interchange, shall have the meanings as specified in Business Practice Standards WEQ-007-A.</u>

Appendix 3 – Minor Correction MC10033
Errata for NAESB Wholesale Electric Quadrant Business Practice Standards Version 002.1
June 20, 2011

Appendix 3 contains **Minor Correction MC10033** Errata to NAESB Version 002.1, NAESB WEQ Business Practice Standard WEQ-003-0 to correct a discrepancy in the definition of ANNULLED as identified in NAESB WEQ Business Practice Standards WEQ-013.

Minor Correction MC10033 as approved
by the WEQ EC on October 26, 2010

Quadrant: Wholesale Electric Quadrant
Description: Booklet 2.1, WEQ 003 Data Dictionary and WEQ 013
Implementation Guide
Submitted By: Yvonne Coleman, Bonneville Power Administration
Date: September 13, 2010

During a review of Booklet 2.1, WEQ 003 and WEQ 013, a discrepancy in the definition of ANNULLED was identified. The discrepancy stems from earlier Booklet errors; however BPA's primary concern is that the discrepancy may cause confusion in the industry over determining which standard is correct. Therefore, we request that this discrepancy be corrected in Booklet 2.1, prior to the April 1, 2011 implementation date. This discrepancy should be considered a Minor Correction, because it is a clarification and correction that does not materially change the standards.

Current text in Booklet 2.1:

WEQ 003-0 OASIS DATA DICTIONARY Version 1.5

ANNULLED – assigned by the Seller when, by mutual agreement with the Customer, a confirmed reservation is to be voided or assigned unilaterally by the Primary Provider when a confirmed reservation is to be voided. (Final state).

WEQ-013 OASIS Implementation Guide Version 1.5

ANNULLED = assigned by the Seller when, by mutual agreement with the Customer, a reservation or pre-confirmed request is to be voided, or assigned unilaterally by the Primary Provider when a resale reservation is to be voided. (Final state)

Proposed Text for Booklet 2.1:

WEQ 003-0 OASIS DATA DICTIONARY Version 1.5

ANNULLED – assigned by the Seller when, by mutual agreement with the Customer, a reservation or pre-confirmed request is to be voided, or assigned unilaterally by the Primary Provider when a resale reservation is to be voided. (Final state)

WEQ-013 OASIS Implementation Guide Version 1.5

ANNULLED = assigned by the Seller when, by mutual agreement with the Customer, a reservation or pre-confirmed request is to be voided, or assigned unilaterally by the Primary Provider when a resale reservation is to be voided. (Final state)

Thank you for your consideration.

Background:

DEFINITION OF ANNULLED - CHANGES OVER TIME

WEQ BOOKLET VERSION 000 January 15, 2005

WEQ 003-0 OASIS OASIS DATA DICTIONARY Version 1.4, pre-WEQ 013

- **Issue 1: The definition of ANNULLED was inadvertently omitted from the Data Dictionary in this version. I recall pointing this out, but due to other pressing issues, it was not added until Version 001 was published.**

WEQ 002.2.10.2 Version 1.4

ANNULLED = assigned by Provider or Seller when, by mutual agreement with the Customer, a confirmed reservation is to be voided. (Final state).

WEQ BOOKLET VERSION 001 October 31, 2007

- **Issue 2: The original definition of ANNULLED in the OASIS Data Dictionary Version 1.4, approved by FERC under Order 638 and later included in WEQ Booklet Version 000, is different from the NAESB Booklet 001, Data Dictionary Version 1.4 definition. I have not gone back to the Data Dictionary Version 1.3 for a comparison of language because of the watershed changes that came from Order 638 and the level of sophistication in the industry that was gained as a result of Order 638. This Booklet 1 is currently being implemented, under Order 676 C. I believe the additional underlined phrase at the end of this definition below was added in error, because this second phrase conflicts with the 1st phrase. It appears that the error was cut and pasted from the WEQ 003 Data Dictionary to WEQ 013 or vice versa.**
- **Issue 3: NAESB Business Practice Standards for Resales /Transfers were developed in this Booklet 1. However, the definition of ANNULLED, in either WEQ 003 or WEQ 013, was not modified to accommodate WEQ 001-11.1.2 on Resales until Booklet 2.0 was published. FERC approval of Booklet 2.0 is incorporated by reference into FERC approval of Booklet 2.1, under Order 676 E. Implementation of Booklet 2.1 is due by April 1, 2011.**

WEQ 003-0 OASIS OASIS DATA DICTIONARY Version 1.4

ANNULLED – assigned by the Seller when, by mutual agreement with the Customer, a confirmed reservation is to be voided or assigned unilaterally by the Primary Provider when a confirmed reservation is to be voided. (Final state).

WEQ-013 OASIS Implementation Guide Version 1.4

ANNULLED = assigned by the Seller when, by mutual agreement with the Transmission Customer, a confirmed reservation is to be voided, or assigned unilaterally by the Primary Provider when a confirmed reservation is to be voided. (Final state)

WEQ BOOKLET VERSION 002.0 September 30, 2008

- **Issue 4: Implementation of Resales/Transfers in Booklet 1 was delayed by FERC, under Order 676 C, until Jan 31, 2009. By then, Booklet 2.0 was published with the modified definition of ANNULLED in WEQ 013. However, the WEQ 003 Data Dictionary definition of ANNULLED was not updated to reflect the modified definition in WEQ 013. The modified definition of ANNULLED in WEQ 013 dropped the phrase, "or assigned unilaterally by the Primary Provider when a confirmed reservation is to be voided ', when the new definition was modified to accommodate pre-confirmation priority under Order 890 and the phrase, "or assigned unilaterally by the Primary Provider when a resale reservation is to be voided." was added to accommodate WEQ 001-11.1.2 on Resales.**

WEQ 003-0 OASIS OASIS DATA DICTIONARY Version 1.5

ANNULLED – assigned by the Seller when, by mutual agreement with the Customer, a confirmed reservation is to be voided or assigned unilaterally by the Primary Provider when a **confirmed** reservation is to be voided. (Final state).

WEQ-013 OASIS Implementation Guide Version 1.5

ANNULLED = assigned by the Seller when, by mutual agreement with the Customer, a reservation or pre-confirmed request is to be voided, or assigned unilaterally by the Primary Provider when a resale reservation is to be voided. (Final state)

WEQ BOOKLET VERSION 002.1 March 11, 2009

- **Issue 5: WEQ 003 Data Dictionary definition of ANNULLED was not updated to reflect the modified definition in WEQ 013.**

WEQ 003-0 OASIS DATA DICTIONARY Version 1.5

ANNULLED – assigned by the Seller when, by mutual agreement with the Customer, a confirmed reservation is to be voided or assigned unilaterally by the Primary Provider when a confirmed reservation is to be voided. (Final state).

WEQ-013 OASIS Implementation Guide Version 1.5

ANNULLED = assigned by the Seller when, by mutual agreement with the Customer, a reservation or pre-confirmed request is to be voided, or assigned unilaterally by the Primary Provider when a resale reservation is to be voided. (Final state)

Appendix 4 contains **Minor Correction MC10041**, Joint WEQ/WGQ Minor Correction to the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing to correspond to modifications made by FERC to its Implementation Guide for Electronic Filing of Parts 25, 154, 284, 300, and 241 Tariff Filings as noted in the FERC eTariff RSS Feed(s), dated October 8, 2010.

MC10041

North American Energy Standards Board

**Request for Minor Correction/Clarification of NAESB WEQ/WGQ Implementation
Guide for Electronic Tariff Filing
(NAESB Business Practice Standard WEQ-014-A and WGQ Standard No. 11.4.1)
as Approved by the WEQ and WGQ Executive Committees via Notational Ballot on 12/20/2010**

NAESB Correction/Clarification Procedure

Minor Clarifications and Corrections to Standards

Minor clarifications and corrections to existing standards include: (a) clarifications or corrections made by a regulatory agency to standards that are of a jurisdictional nature, or by the American National Standards Institute or its successor; (b) clarifications or corrections to the format, appearance, or descriptions of standards in standards documentation; (c) clarifications or corrections to add code values to tables; and (d) clarifications and corrections that do not materially change a standard. Any request for a minor clarification or correction to an existing standard should be submitted in writing to the executive director. This request shall include a description of the minor clarification or correction and the reason the clarification or correction should be implemented.

1. Processing of Requests

The executive director shall promptly notify the EC and any appropriate subcommittee(s) of the receipt of the request. The members of the applicable quadrant's EC shall promptly determine whether the request meets the definition of a minor clarification or correction. Through the decision of the vice chair of the applicable quadrant, this determination may be delegated to one of the quadrant's subcommittees, with the concurrence of the subcommittee chair, in which case the subcommittee shall make a prompt decision.

If the request is determined to meet the definition of minor clarification or correction, the applicable quadrant's EC, with input from any subcommittee(s) to which the request has been forwarded, shall act on the request within one month of its receipt. A meeting to discuss the request is not required; the decision may be made by notational vote. A simple majority of the votes received shall determine the outcome. The members of the applicable quadrant's EC shall be given at least three working days to consider and vote on the request.

2. Public Notice

The results of the vote on the request for a minor clarification or correction shall be posted on the NAESB website and the members of the applicable quadrant shall be notified of the request by e-mail. If the request has been approved by the applicable quadrant's EC, the notification shall include a brief description of the request, the contact name and number of the requester so that further information can be obtained, and the proposed effective date of the clarification or correction. The proposed effective date of the minor clarification or correction shall normally be one month from the date of the public notice. Any interested party shall have an opportunity to comment on the request, and the comments shall be posted on the NAESB website. The comment period is two weeks.

3. Final Disposition of Approved Requests

If no comments are received on an approved request, the standard shall be clarified or corrected as specified in the approved request on the effective date proposed. If comments are received, they shall be forwarded to the members of the applicable quadrant's EC for consideration. Each comment requires a public written response from the applicable quadrant's EC. The applicable quadrant's EC shall determine whether changes are necessary as a result of the comments. Members of the applicable quadrant's EC shall be given three working days to consider the comments and determine the outcome, which shall be decided by a simple majority of the votes received. A meeting to discuss the request is not required; the decision may be made by notational vote. The standard shall be clarified or

corrected in accordance with the outcome of the vote, effective with the completion of voting, and notice thereof shall be posted on the NAESB website.

Processing of Changes to the eTariff Implementation Guide as Minor Corrections for the Wholesale Electric and Wholesale Gas Quadrants, (related to NAESB WGQ Standard No. 11.4.1, WEQ Standard No. WEQ-014, and FERC Order No. 714, Rule-Making Docket No. RM01-5-000)

via posting

TO: NAESB Files

RE: Processing of Changes to the eTariff Implementation Guide as Minor Corrections for the Wholesale Electric and Wholesale Gas Quadrants, (related to NAESB WGQ Standard No. 11.4.1, WEQ Standard No. WEQ-014, and FERC Order No. 714, Rule-Making Docket No. RM01-5-000)

DATE: May 27, 2010

After discussion with the Wholesale Gas and Wholesale Electric Executive Committee leadership with FERC staff, it was determined that the change management for implementation of FERC processed changes to the NAESB eTariff Implementation Guide⁷ will continue to be processed as minor corrections.⁸ To do this expeditiously so that the NAESB documents and the FERC documents stay consistent, they will be addressed as minor corrections unless the change is substantive and EC members indicate their preference to pursue such changes through the request for modification to a standard. In doing so, a minor correction can be processed in a two week period, followed by 30 days before implementation.

The number of changes needed to guide will diminish as the system stabilizes through more companies filing electronically. As such, the use of the FERC RSS feed (<http://www.ferc.gov/xml/eTariff.xml>) to notify NAESB of changes to the guide, along with a process by which the NAESB office will prepare the minor correction for EC leadership review,⁹ after which the minor correction will be sent out for EC consideration followed by membership consideration. The EC consideration can be accomplished via notational ballot. This process is consistent with the requirements of the minor correction process.¹⁰ In this manner, the guide can be maintained and remain consistent with any changes determined appropriate by the FERC.

Should NAESB members or interested parties determine separately through the minor correction or the request process¹¹ that changes to the guide are needed; they can also be processed expeditiously with communications to FERC staff. FERC staff can participate in the EC discussions on the changes prior any votes to those changes.

⁷ Both the WEQ and WGQ implementation guides are identical. The WGQ implementation guide can be accessed from the following link from the NAESB web site: : http://naesb.org/member_login_form.asp?doc=etarf0909.pdf

⁸ The most recent minor correction to the guide can be accessed from the following link from the NAESB web site: here is the link to MC10041: http://naesb.org/pdf4/weq_wgq_mc10041.doc.

⁹ The minor correction request form that the NAESB office will use in documenting minor corrections for EC consideration can be accessed from the following link: http://naesb.org/misc/weq_wgq_minor_corrections_etariff_request_form.doc. This form will only be used for eTariff related minor corrections to ensure that the guide is consistent with FERC actions.

¹⁰ The procedure that is followed for processing minor corrections can be accessed from the following link from the NAESB web site: http://www.naesb.org/misc/mcc_procedures_061510.doc

¹¹ The forms for the request to create, modify or delete a standard and the request for a minor correction can be accessed from the following links from the NAESB web site, respectively: http://naesb.org/pdf/blank_request.doc and http://naesb.org/pdf4/wgq_minor_corrections_blank_request_form.doc.

Date of
Request: 11/30/2010

1. Submitting Entity & Address:

Entity Name: North American Energy Standards Board (NAESB)

Street Address: 801 Travis Street

Address 2: Suite 1675

City, State, Zip: Houston, Texas 77002

2. Contact Person, Phone #, Fax #, Electronic Mailing Address:

Name: Denise Rager

Title: Standards and Membership Administrator

Phone #: 713-356-0060

Fax#: 713-356-0067

E-mail: drager@naesb.org

3. Version and Standard Number(s) suggested for correction or clarifications:

Minor Correction for NAESB WEQ Business Practice Standard WEQ-014-A Version 2.1 and WGQ Standard No. 11.4.1 Version 2.0 (Implementation Guide for Electronic Tariff Filing)

4. Description of Minor Correction / Clarification including redlined standards corrections:

Corrections to the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing to correspond to modifications made by FERC to its Implementation Guide for Electronic Filing of Parts 25, 154, 284, 300, and 241 Tariff Filings as noted in the FERC eTariff RSS Feed(s), dated October 8, 2010:

<http://www.ferc.gov/docs-filing/etariff/implementation-guide.pdf> (Updated October 8, 2010)

See attached – redline changes highlighted in yellow

5. Reason for Minor Correction / Clarification:

The purpose of this request for minor correction is to make corresponding revisions to the comparable sections of the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing. The remaining portion of the NAESB WEQ/WGQ implementation guide (the Use Cases, Examples and FAQ sections) are unchanged and therefore, those pages are not included in this request.

Implementation Guide for Electronic Tariff Filing

NAESB WGQ Standard No. 11.4.1 and WEQ Business Practice Standard WEQ-014-A

April 4, 2008
Minor Correction applied October 7, 2010

Implementation Guide for Electronic Filing of Parts 35, 154, 284, 300, and 341 Tariff Filings

Version: **October 8, 2010**

Form Approved

OMB Nos. 1902-0089 (Oil program) (Expires 4/30/2012)

1902-0096 (Electric program) (Expires 7/31/2012)

1902-0154 (Gas program) (Expires 3/31/2012)

1902-0086 (NGPA 311 program) (Expires 12/31/2011)

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Executive Summary

This implementation guide is for use by entities required to submit tariffs, rate schedules, and service agreements together with supporting documentation to the Federal Energy Regulatory Commission (FERC) pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by FERC. Filings which historically were submitted in hard copy should be submitted electronically according to the guidelines contained herein. To accomplish this, the components of the previous filings will need to be separated into various pieces of identifying information as defined by the data elements contained herein. These data elements and their accompanying data, are hierarchically organized by the XML schema and when compiled constitute an XML filing package for an electronic Tariff Filing. The XML filing package is then uploaded through a web portal. The following is a guide describing the various processes/mechanisms, data tables, code values/reference tables, and technical specifications used in the submission of such Tariff Filings.

Business Process

Definitions and Standards

Definitions*

WGQ 11.2.1 (WEQ-014-0.3) Tariff Submitter is the term used to describe any entity that is required to submit a Tariff Filing.

WGQ 11.2.2 (WEQ-014-0.1) Tariff Filing is the term used to describe a compilation of all document(s), associated data and supporting documents that is required to be filed electronically by a Tariff Submitter pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by the Federal Energy Regulatory Commission.

WGQ 11.2.3 (WEQ-014-0.2) Tariff Record is the term used to describe the part of a Tariff Filing that consists of the data elements that relate to a sheet, section, or entire tariff, rate schedule, or service agreement that is required to be filed with the Federal Energy Regulatory Commission.

WGQ 11.2.4 (WEQ-014-0.4) Sheet-Based Format and Section-Based Format are the terms used to describe the subdivision into sheets or sections, respectively, of a tariff, rate schedule, or service agreement for purposes of a Tariff Filing.

WGQ 11.2.5 (WEQ-014-0.5) Whole Document Format is the term used to describe a tariff, rate schedule, or service agreement submitted as a single document within a Tariff Record for purposes of a Tariff Filing.

Standards

WGQ 11.3.1 (WEQ-014-1) A Tariff Submitter should electronically submit a Tariff Filing pursuant to the requirements as set forth in NAESB WGQ Standard No. 11.4.1 / NAESB WEQ Business Practice Standard WEQ-014.

WGQ 11.3.2 (WEQ-014-2) For the electronic submission of a Tariff Filing, a tariff, rate schedule, or service agreement, and changes thereto, should be structured using one or more of the following methods:

- iv. Sheet-Based Format,
- v. Section-Based Format, or
- vi. Whole Document Format

* The conforming changes to definitions provided in NAESB 2009 WEQ Annual Plan Item 5.b Final Action (http://www.naesb.org/member_login_form.asp?doc=fa_weq_2009_api5b.doc) have not and will not be applied to the WEQ/WGQ eTariff Related Standards and documentation. The NAESB WEQ/WGQ eTariff Related Standards are provided for use by all users of the FERC eFiling application.

NAESB WGQ Standard No. 11.4.1 and NAESB WEQ Business Practice Standard WEQ-014-A Technical Implementation of Business Processes

GENERAL PURPOSE:

The purpose of the eTariff Submission implementation guide is to define the requirements for the submission of a Tariff Filing to the Federal Energy Regulatory Commission (FERC) in an electronic format such that the information can be stored in the FERC eTariff database and in eLibrary. The eTariff Submission dataset is used by an entity (Tariff Submitter) required to electronically submit Tariff Filings to the FERC pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by FERC.

Set forth below is an explanation of how the eTariff Submission dataset works, including instructions describing the various processes / mechanisms, data tables, code values / reference tables, and technical specifications used in the submission of a Tariff Filing.

The eTariff Submission dataset is used to electronically submit a new, modify an existing, and withdraw or cancel a tariff, rate schedule, or service agreement. Within the FERC eTariff database, each Tariff Submitter will have one or more of its own database(s). A Tariff Submitter's database must contain at least one Tariff Record. A Tariff Record is a single occurrence (row) in a database (similar to a row in a spreadsheet) consisting of multiple data elements that relate to a sheet, section, or entire tariff, rate schedule, or service agreement.

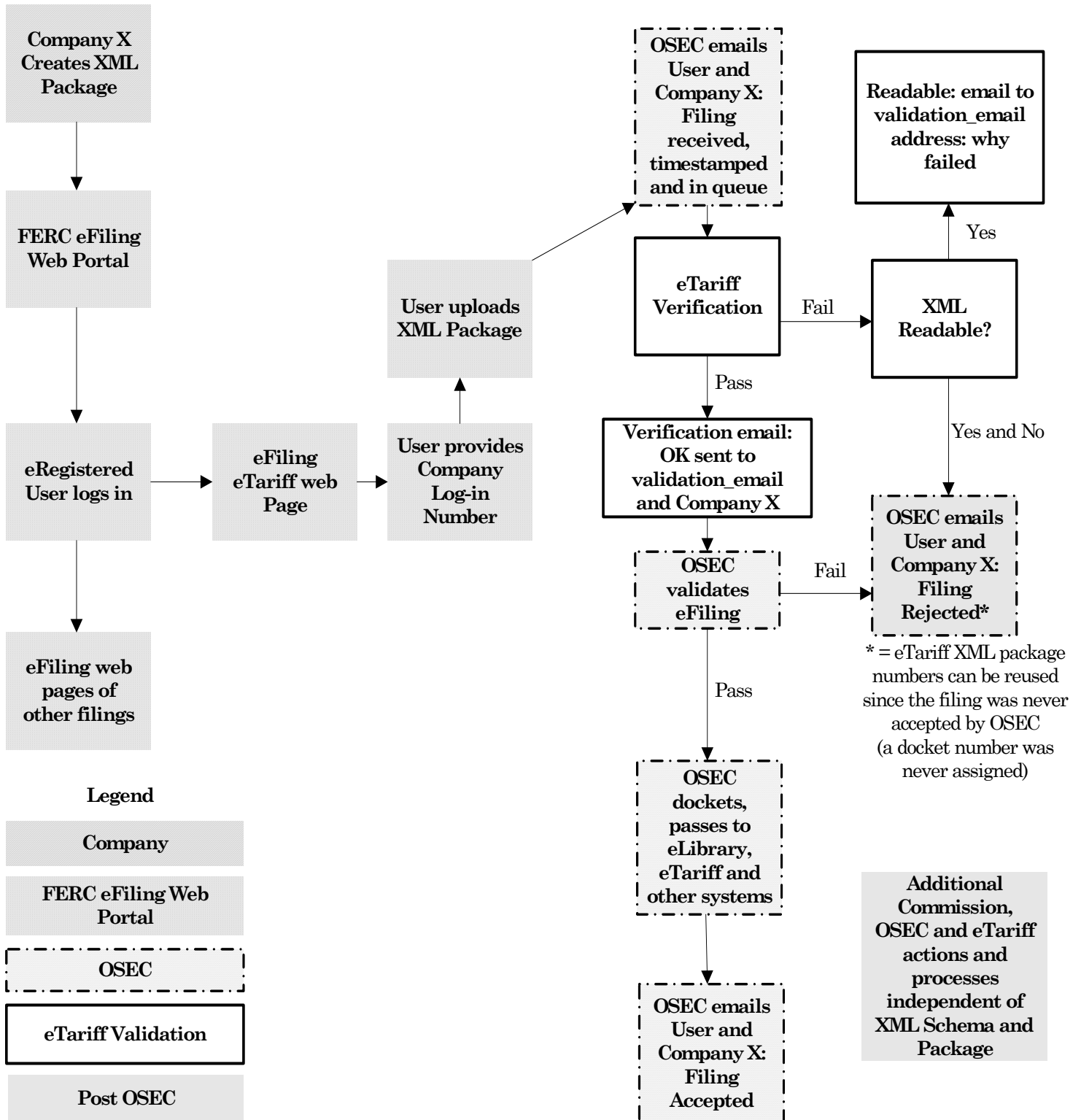
Sheet-Based Format and Section-Based Format describes the subdivision into sheets or sections, respectively, of a tariff, rate schedule, or service agreement for purposes of a Tariff Filing. Whole Document Format describes a tariff, rate schedule, or service agreement submitted as a single document within a Tariff Record for purposes of a Tariff Filing. A single database may contain one or more tariff(s), rate schedule(s), and service agreement(s) that are in different formats. For example, a tariff may be in a Sheet-Based Format or Section-Based Format, while the rate schedules may be in Whole Document Format.

The decision to use Sheet-Based Format, Section-Based Format, or Whole Document Format is left to the Tariff Submitter consistent with FERC regulations.

eTariff Filings Process Flow through the FERC eFiling Web Portal

DIAGRAM

The following is a high level diagram representing the overall process flow from the creation of an eTariff XML filing package by a Tariff Submitter through the Office of the Secretary (OSEC) acceptance or rejection of the filing. Following the diagram is a more detailed description of the submission to FERC and the processing the eTariff XML filing package.



Description of eTariff Filing Process Flow

Disclaimer:

The following summary represents FERC Staff's best understanding of how the eFiling process, including eTariff, will be designed. As of January 2008 the process has not been built, or fully designed, therefore FERC may change the process.

The FERC's eFiling *Reference Guide*, located at www.ferc.gov, provides a step-by-step set of instructions and expected results for the eFiling process.

- A User is a person authorized to submit a filing on behalf of a Tariff Submitter, as defined in NAESB WGQ Standard No. 011-2.1 and NAESB WEQ Business Practice Standard WEQ-014-0.3. The User must be an eRegistered party for eFiling.
- The User will login into the FERC eFiling portal.
- The User, upon successfully logging into the FERC eFiling portal, will be presented with the introductory screen indicating success in accessing the site, and presented with a link to the filing creation part of the site.
- Upon entering the filing creation site, the User will choose to make an eTariff filing.
- The eTariff portal will prompt the User to enter company login information (see Note 1 below). After successfully passing this step, the User will upload an eTariff XML filing package.
- Once the filing is uploaded, the eFiling web page indicates the Tariff Filing has been submitted.
- After the filing has been submitted, OSEC will send a Confirmation of Receipt e-mail to the User and to the e-mail address on file with FERC for the company that logged in. This e-mail only acknowledges the receipt of the filing through the eFiling portal, provides a timestamp, and indicates that the filing is placed in the queue to be processed.
- The eTariff XML filing package will be validated programmatically by an eTariff verification process.
 - If the XML is unreadable, an e-mail will be sent by OSEC to the User and to the e-mail address on file with FERC for the company logged-in (as a result of the XML being unreadable, the Validation e-mail address contained in the XML package cannot be obtained).
 - If the verification is completed successfully, an e-mail will be sent to the Validation e-mail address provided in the eTariff XML package and to the e-mail address associated with the Company Identifier (or multiple Company Identifiers, as applicable (see Note 2 below)) for the affected database. This does not mean that the filing has been accepted by OSEC.
 - In the event the XML filing package can be read and the Validation e-mail can be obtained, but the data does not pass verification, (an e-mail will be sent to the Validation e-mail address provided in the eTariff XML filing package. This e-mail will provide information about the problems encountered during the verification process.
- FERC's OSEC will send an e-mail to the User and the e-mail address on file with FERC for the company logged in. The e-mail will indicate that either the filing:

- Has been accepted through OSEC's process for filing and docketed (which does not guarantee that other filing deficiencies will not result in rejection later in the review processes within FERC). At this time the filing is passed on to eLibrary, eTariff and other FERC systems; or
- Has been rejected and not docketed (see Note 3 below).

Notes:

- (1) As of January 2008, the FERC staff does not know whether the company that logs-in will be required to correlate to the company identified by the Company Identifier in the XML package).
- (2) As of January 2008, the FERC Staff does not know how joint filings will be handled. A "Joint Filing" refers to a Tariff Filing made on behalf of multiple parties with an identical tariff, rate schedule, or service agreement that is part of a single XML filing package. This is different from a shared tariff, rate schedule, or service agreement that refers to any situation where multiple parties are allowed to add or change the contents of a specific tariff, rate schedule, or service agreement, which is associated with one company_id.
- (3) If the filing is rejected at any point prior to receiving a docket number, the filing can be corrected and re-submitted using the same Filing Identifier. Once it is docketed it becomes part of the public record, the Filing Identifier cannot be re-used.

eTariff Submission Dataset Overview:

The eTariff Submission dataset consists of a Data Dictionary that contains three data tables, as more fully explained below. The data tables explain the data elements used when creating a single Tariff Filing. The dataset also includes Code Value Dictionaries used for populating some data elements with standardized code values. Once the Tariff Submitter has completed all of the requirements for the various data elements, the data will need to be compiled into a single XML file pursuant to the XML schema contained in the technical section below, and then zipped for submission to FERC via the eFiling / eTariff web portal.

Data Dictionary Data Tables Overview:

The eTariff Submission Data Dictionary consists of the following three data tables, which are presented in hierarchical order:

Filing Data Table:

This table includes, but is not limited to, the data elements that identify the company making the Tariff Filing, the Type of Filing, and the name of the database that is being created, modified, or cancelled. A single Tariff Filing may only have one set of Filing Data. The data in this table is required for each Tariff Filing.

Attachment Data Table:

This table includes, but is not limited to, the data elements that describe each of the attachments (e.g., transmittal letter, redline and clean versions of a tariff, rate schedule, or service agreement or portions thereof, and supporting materials) regardless of whether they are required or optional for the given Type of Filing, as set forth in the FERC rules and regulations. Currently, all Type of Filings will have at least one attachment and thus at least one set of attachment data elements (e.g., the transmittal letter).

Tariff Record Content Data Table:

This table includes, but is not limited to, the data elements that are used to uniquely identify the individual Tariff Records being submitted, the proposed effective date, the order in which the Tariff Records should be assembled, and the binary data and plain text for each Tariff Record. A single Tariff Filing may have multiple sets of Tariff Record Content Data. Based on the Type of Filing there may or may not be any Tariff Record Content Data.

Data Element Overview:

The data elements are the individual pieces of information or data that make up the Tariff Filing. Each will have a defined format, may be required, conditional or optional and may have restricted values. A data element may contain text or an electronic file (e.g., a .PDF file) as more fully explained in this implementation guide. An explanation of the individual data elements is provided in the data table portion of this implementation guide. In such tables, for each data element, the following information is provided:

- Business Name
- Element Name (this is the corresponding technical (metadata) name used in the XML schema)
- Definition of Data Element
- Field Format (length)
- Valid Values
- Usage / Responsibility and Conditions

Details of Individual Data Elements:

The following are the individual data elements provided in the same order as they appear in the Data Tables:

Note: For additional information on each data element, e.g., formatting requirements, see the definitions and other requirements as set forth in the data tables.

Filing Data Table Data Elements:

Schema Version:

This is the version of the XML schema used to create the specific Tariff Filing. The Schema Version and the actual schema will be published on the FERC website located at www.ferc.gov. Any changes to the schema will be made through a FERC notice or order.

Company Identifier:

A FERC-designated company identifier code used to define an entity registered with FERC to make Tariff Filings. To acquire a company identifier code, a company should apply at FERC's Online Company Registration application, located at www.ferc.gov.

Tariff Identifier:

A unique identifier for a Tariff Submitter's database as it pertains to the database being modified by a Tariff Filing. A Tariff Submitter may have more than one active database. A database may contain one or more tariffs, rate schedules, or service agreements. A Tariff Identifier is supplied by the Tariff Submitter. Once a Tariff Identifier in a Tariff Filing has been accepted for filing by the Office of the Secretary (OSEC), it cannot be changed. A Tariff Identifier cannot be reused if cancelled.

Tariff Title:

The name of the database assigned by the Tariff Submitter. The name of the database may not be changed. It is suggested that the Tariff Submitter's name not be included in the Tariff Title, as the Tariff Submitter's name is captured by the Company Identifier.

Filing Identifier:

A unique number identifying the subject Tariff Filing. The Tariff Submitter assigns the value. Filing Identifiers do not have to be assigned sequentially from one filing to the next. If a Tariff Filing is rejected by OSEC prior to being docketed, the Filing Identifier may be reused.

Filing Title/Description:

The title given to the filing by the Tariff Submitter. Additional instructions may be published on the FERC website or via FERC notice or order. This data element will be used in eLibrary as part of the description of the Tariff Filing. The description may be edited by the OSEC before or after posting in eLibrary.

Type of Filing Code:

A numeric code that identifies the Type of Filing being made as defined by FERC regulation. Only one Type of Filing can be submitted in a single Tariff Filing. The Type of Filing will dictate the data requirements for the subject filing. A list of allowable codes will be published on the FERC website located at www.ferc.gov, with changes communicated via a FERC notice or order. FERC will provide this information in CSV

(comma separated value) and PDF formats which will be updated as regulations are modified. The Commission will use the Type of Filing Code together with the Tariff Record Proposed Effective Date to establish whether a filing is statutory and the applicable statutory timelines.

Associated Filing Identifier:

Identifies the previous filing, if any, to which the subject filing pertains. The value provided is the Filing Identifier for the previous filing. When Associated Filing data is required, only one Associated Filing number can be provided.

Validation e-mail:

An e-mail address provided by the Tariff Submitter for notification of the results of the technical validations from the eTariff verification process. The Validation e-mail address does not have to be eRegistered with FERC.

Payment Confirmation Code:

For certain Type of Filings, the regulations require that a fee be paid along with the Tariff Filing. The payment of such fee is made at www.pay.gov through the FERC's Online eFiling page. The Payment Confirmation Code will be the Accession Number provided on FERC's Online pay.gov confirmation screen when successful payment is made. It is suggested that the Tariff Submitter be familiar with the FERC's Online www.pay.gov procedures or pre-pay a set of fees prior to making the Tariff Filing with FERC to avoid last minute delays that may prevent a timely filing.

Suspension Motion:

As of January 2008, this data element is only applicable to certain Part 154 filings made by interstate natural gas pipelines. It is not applicable to the electric or oil industries. This data element indicates whether or not the Tariff Records should automatically go into effect at the end of the applicable suspension period. If the value provided is no ("N"), the status of the Tariff Record will remain "Suspended" until such time as the Tariff Submitter files an appropriate motion filing. If the value provided is yes ("Y"), FERC's eTariff maintenance will automatically change the status from "Suspended" to "Effective" at the end of the suspension period with no further action required of the Tariff Submitter.

Attachment Data Table Data Elements:

Attachment Reference Code:

The data code identifies the type of attachment based on the Type of Filing. A list of allowable codes will be published on the FERC website located at www.ferc.gov, with changes communicated via a FERC notice or order. FERC will provide this information in CSV and PDF formats which will be updated as regulations are modified. This data element must be completed for each required attachment, regardless of whether a waiver is requested for the subject attachment. Other attachments should use the Attachment Reference Code provided for "Other".

Attachment Description:

This is the description of the individual attachment. For attachments that are pre-defined by FERC's regulations, the description should be the FERC pre-defined description. For attachments that are added by the Tariff Submitter that are "Other", the description can be any value desired. The Attachment Description is not required if a

waiver has been requested for the subject attachment. The Attachment Descriptions provided will be displayed in eLibrary. Additional instructions regarding this data element may be published on the FERC website or via FERC notice or order.

Attachment Waiver Requested:

This data element indicates whether or not a waiver is requested. A FERC table providing rules for attachments is located at www.ferc.gov. This table indicates whether an attachment for a given Type of Filing can be waived. If an attachment is provided, the field is filled with no (“N”). If a waiver for the attachment is allowed, and the Tariff Submitter wants to request a waiver, the field is filled with a yes (“Y”). If “Y” is chosen, there is no need to attach the corresponding attachment. The Waiver Request code is solely for the purpose of passing the OSEC’s electronic filing validation checks. The actual request for waiver of the FERC’s regulations and supporting documentation must be provided in the transmittal letter.

Attachment Document File Name:

This is the actual file name for the identified attachment provided by the Tariff Submitter. The file name is the name of the individual electronic document, including the extension. The name is chosen by the Tariff Submitter, unless otherwise provided in FERC instructions. The OSEC’s file name extension rules will be enforced. The Attachment Document File Name will appear in eLibrary. The Attachment Document File Name is not required if a waiver has been requested for the subject attachment.

Attachment Document:

This is the content of the actual attached document in a base64 bit encoded binary file. This binary file is in the native format of the saved file generated from the word processing software, or other FERC approved software format(s), in which the attachment was written. Base64 bit encoding is an additional step that must be applied to the binary file, using encoding software, enabling the file to be inserted into the XML. The Attachment Document is not required if a waiver has been requested for the subject attachment.

All Tariff Filing attachments must meet the same rules and requirements applicable to any document filed with FERC through its eFiling portal. Instructions with regard to the electronic format and content of electronic documents will be published on the FERC website located at www.ferc.gov or via FERC notice or order. However, the eTariff verification process does not enforce these rules, which are subject to other FERC processes.

A clean copy of the proposed tariff, rate schedule, or service agreement for posting in eLibrary is required for all Tariff Filings. The guidelines for this document are as follows:

Guidelines for the attachment that represents the clean copy of the proposed tariff, rate schedule, or service agreement, or portion thereof, for posting in eLibrary:

1. The electronic version of the clean copy of the proposed tariff, rate schedule, or service agreement, or portion thereof, must conform with the OSEC’s guidelines for electronically filed text documents, located at www.ferc.gov.

2. No information is required in the header or footer of the clean tariff, rate schedule, or service agreement, or portion thereof, to be posted in eLibrary. At its discretion, a Tariff Submitter may include information in the header or footer.
3. When using Whole Document Format and the Record Binary Data is submitted in PDF, a title page should be included containing the following information:
 - a. Tariff Submitter
 - b. FERC Tariff Program name. The current programs are:
 - i. FERC FPA Electric Tariff
 - ii. FERC PA Electric Tariff
 - iii. FERC NGA Gas Tariff
 - iv. FERC NGPA Gas Tariff
 - v. FERC ICA Oil Tariff
 - c. Tariff Title
 - d. Tariff Record Proposed Effective Date
 - e. Tariff Record Title
 - f. Option Code
 - g. Other information as the FERC may require by notice or order
4. The attachment that is the clean copy for posting in eLibrary must be identical with that provided in the Record Binary Data with the exception of the text in the header or footer information.

Attachment Content Type Code:

This is the numeric code representing the software format of the specific attachment. A list of allowable codes will be published on the FERC website located at www.ferc.gov with changes communicated via a FERC notice or order. FERC will provide this information in CSV and PDF formats which will be updated as necessary. The Attachment Content Type Code is not required if a waiver has been requested for the subject attachment.

Attachment Security Level:

This code is used to indicate the level of security for the specific attachment. For example, the code indicates whether the attachment is Public, Privileged, or if Critical Energy Infrastructure Information (CEII) classification is being requested. Certain attachments are required to be Public; however, those attachments may be submitted in redacted form along with an un-redacted copy of the attachment. Additional instructions may be published on the FERC website located at www.ferc.gov or via FERC notice or order. The Attachment Security Level is not required if a waiver has been requested for the subject attachment. Documents provided with a public (redacted) and non-public levels of security should use the same Attachment Reference Code for each attachment.

Tariff Record Content Data Table Data Elements:

Tariff Record Identifier:

This data element is a numeric value assigned by the Tariff Submitter to uniquely identify each Tariff Record. This identifier will not change with each revision within a given Tariff Record. The Tariff Record Identifier does not have to be sequential.

Option Code:

This data element permits a Tariff Submitter to propose alternate sets of Tariff Records (Option Sets) in a single Tariff Filing, with a request that FERC determine which Option Set to accept (i.e., place into effect). For each set of Tariff Records, the Tariff Submitter proposed options must start with “A” and increment sequentially through the alphabet, i.e., the Tariff Record can not have an option designated as “A” and another option designated as “C” without having an option of “B”. If no alternative Options Sets are being proposed, the value for this data element would be an “A”. Each Option Set must contain all Tariff Records for the relevant Tariff Filing even if some of the Tariff Records are identical across the Option Sets. For Tariff Filings with multiple Option Sets, the Tariff Submitter should make Option “A” its primary proposal. If the Type of Filing Code provides for a statutory period and the Commission does not formally act, Option “A” will be deemed Accepted and all other Options deemed Rejected. If FERC accepts tariff text from various Option Sets, it will require a compliance filing.

Tariff Record Title:

The Tariff Record Title is chosen by the Tariff Submitter for the individual Tariff Record. The Tariff Record Title may be changed in a subsequent Tariff Filing. If the Whole Document Format is used, the Tariff Record Title of the tariff, rate schedule, or service agreement should reflect the existing FERC naming conventions e.g., FERC Electric Tariff Volume Number 1, Rate Schedule X-5, Service Agreement No. 4 Under Tariff Volume No. 3.

Record Content Description:

This is a textual description of the Tariff Record. When the database is assembled, this field may be used to generate the database Table of Contents. The Record Content Description may be changed in a subsequent Tariff Filing.

Record Version Number:

This is a representation of the version (designation) of the Tariff Record, in the format of x.y.z, where “x” represents revision number for the given Tariff Record, “y” delineates that it is a substitute for a previously filed Tariff Record, and “z” indicates that it is a “squeeze” Tariff Record. A “squeeze” Tariff Record occurs when a Tariff Record needs to be made effective on a date which occurs between the effective dates of two Tariff Records with the same Tariff Record Identifier already on file with FERC. Commonly, this occurs when a Tariff Record is suspended and subsequent Tariff Records need to be made effective prior to when the suspended Tariff Record becomes effective. The Tariff Submitter may choose to use only “x” for all revised, substitute, and squeezed Tariff Records. In that case, the “y” and “z” should be zero.

This information is not used to determine actual status of a Tariff Record. This field will not be checked by the eTariff verification process. FERC will not use it in any automated fashion. This field is provided for ease of business and FERC referencing and will only be used for display.

Guidelines for the Record Version Number:

1. Each version of a Tariff Record must have a unique Record Version Number.
2. The “x”, “y” and “z” components:
 - are integers

- begin with 0.0.0
 - increment separately by one
3. Record Version Numbers are not required for the following Type of Filings and Tariff Record changes:
- Withdrawal
 - Motions to place Tariff Records into effect or delay effectiveness

Record Narrative Name:

This is an optional data element that provides the Tariff Submitter the ability to include an additional narrative description of the Tariff Record. As of January 2008, FERC has not determined how this information will be utilized.

Tariff Record Collation Value:

This is a value provided by the Tariff Submitter that determines the order in which the Tariff Records are compiled. In other words, it will provide the appropriate sequencing of the Tariff Records. For each Tariff Record:

- Use a unique Tariff Record Collation Value, and
- It is recommended that in the preparation of a new database, a sufficient gap (e.g., increments of 1,000) be provided between the collation values to allow for future insertion of new Tariff Records.

A Tariff Record Collation Value may be modified as part of another Tariff Filing.

Example:

Tariff Record	Collation Value
Common Service Provisions	2000
Definitions	3000
Table of Contents	1000

The Tariff Records would be assembled in the following order:

Table of Contents
Common Service Provisions
Definitions

Tariff Record Parent Identifier:

The Tariff Record Parent Identifier provides the hierarchical structure to identify the higher-level part of the database to which the subject Tariff Record belongs.

When a database is first organized, thought should be given to how the electronic Table of Contents will appear. A Tariff Record that has no parent has a Tariff Record Parent Identifier of "0", i.e., top level record. If the value provided is not "0", it must be a valid Tariff Record Identifier of another Tariff Record. It is suggested by FERC that no more than 7 levels under a top level record be used.

A Tariff Record Parent Identifier may be modified as part of another Tariff Filing.

Tariff Record Proposed Effective Date:

This indicates the date the given Tariff Record is proposed to go into effect. It is used to determine which version of a Tariff Record change is effective in accordance with

applicable law, regulations and business practices. The data in this field is subject to FERC review and disposition, which will impact the status of a Tariff Record for any given period of time. The Commission will use the Type of Filing Code together with the Tariff Record Proposed Effective Date to establish whether a filing is statutory and the applicable statutory timelines.

If the effective date is not known at the time of the filing, such as the effective date is contingent on FERC approval, the closing of a plant sale, etc., the date of 12/31/9998 must be used. Use of this option may have regulatory consequences depending on the FERC Tariff Program.

Changing a Tariff Record Proposed Effective Date requires a Tariff Filing.

Record Effective Priority Order:

A positive integer assigned by the Tariff Submitter that indicates the order of multiple changes for a given Tariff Record (i.e., the same Tariff Record Identifier) proposed to go into effect on the same date. The Tariff Record with the highest Record Effective Priority Order will supersede any other Tariff Records with the same Tariff Record Identifier also proposed to be effective for that date. The value must be unique across Tariff Records with the same Tariff Record Identifier and Tariff Record Proposed Effective Date. It is recommended that the default Record Effective Priority Order value be set relatively high, e.g., 500, thereby allowing subsequent Tariff Filings with Record Effective Priority Orders either before or after the initial Record Effective Priority Order.

Record Content Type Code:

This is the numeric code representing the software format of the specific Record Binary Data. A list of allowable codes will be published on the FERC website located at www.ferc.gov with changes communicated via a FERC notice or order. FERC will provide this information in CSV and PDF formats which will be updated as necessary.

Record Binary Data:

This is the content of the Tariff Record in a Base64 bit encoded binary file. This binary file is in the native format of the saved file generated from the word processing software, or other FERC approved software format(s), in which the Tariff Record content was written. Base64 bit encoding is an additional step that must be applied to the binary file, using encoding software, enabling the file to be inserted into the XML.

All Record Binary Data must meet the same rules and requirements applicable to any document filed with FERC through its eFiling website. Instructions with regard to the electronic format and content of electronic documents will be published on the FERC website located at www.ferc.gov or via FERC notice or order. However, the eTariff verification process does not enforce these rules, which are subject to other FERC processes.

Record Plain Text:

This is the plain text version of the content of the Record Binary Data. Formatting and other binary values are stripped from this content. This field will be used for searching and indexing.

Record Change Type:

This data element indicates the type of change / revision / maintenance action being requested for the Tariff Record, e.g., new, change, cancel, etc. Some Type of Filings are restricted to the choice of Record Change Types.

Business descriptions of the Record Change Types are as follows:

- NEW:** To create a new Tariff Record Identifier.
- CHANGE:** To change an existing Tariff Record. Modifications to a Tariff Record that has been cancelled may be made if the Tariff Record Proposed Effective Date is prior to the cancellation date.
- CANCEL:** Used to cancel a Tariff Record Identifier. Once cancelled, the Tariff Record Identifier cannot be changed with a filing that contains a Tariff Record Proposed Effective Date that is after the accepted date of cancellation. Cancellation of a Tariff Record Identifier that is a Tariff Record Parent Identifier will automatically cancel all related child Tariff Record Identifiers.

Cancellation of a Tariff Record Identifier should not be confused with cancelling a Tariff Identifier, which requires the submission of a cancellation Type of Filing.

- WITHDRAW:** Used to withdraw a pending or suspended Tariff Record. The withdrawal of a “NEW” Tariff Record Parent Identifier will automatically cancel all “NEW” children. Withdrawal 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 will result in a verification error and OSEC rejection. Depending on the program, withdrawal’s effectiveness may be reflected automatically by FERC’s eTariff database maintenance. At a minimum, the Tariff Submitter needs to provide the following data elements:

- Tariff Record Identifier
- Option Code
- Record Change Type
- Associated Filing Identifier
- Associated Record Identifier
- Associated Option Code

- PRO FORMA:** Used to submit a Tariff Record proposal without invoking statutory processing timelines. The Tariff Submitter should include a Tariff Record Proposed Effective Date, which is used for database maintenance. Pro Forma Tariff Records cannot be converted to effective Tariff Records by FERC, and should be resubmitted as actual Tariff Records.

Associated Filing Identifier:

Used to provide the Tariff Filing Identifier associated with a previously filed Tariff Record that the subject Tariff Record replaces. This field is only populated when the Associated Filing Identifier data element (in the Filing Data Table) is populated. This

data element is used in conjunction with the Associated Record Identifier and the Associated Option Code (below). This is not applicable to all Type of Filings.

An Associated Filing Identifier for the subject Tariff Record does not have to be the same as the Associated Filing at the filing level used in this Tariff Filing.

Amendment and Compliance Type of Filings permit multiple Associated Filing Identifiers, however only one Associated Filing Identifier may be provided for each Tariff Record.

Associated Record Identifier:

This field is used in conjunction with the Associated Filing Identifier and the Associated Option Code to provide the Tariff Record Identifier of the Tariff Record which the subject Tariff Record replaces. It should refer to a Tariff Record Identifier in a previous filing, and this value should be that record's Tariff Record Identifier.

Associated Option Code:

This field is used in conjunction with the Associated Filing Identifier and the Associated Record Identifier. The value should be the correct Option Code for the Associated Record Identifier.

DATA DICTONARY

NAESB WGQ Standard No. 11.4.1 and NAESB WEQ Business Practice Standard WEQ-014

Introduction

The following three Data Tables make up the Data Dictionary for electronic Tariff Filings. Conceptually, the purpose of each table is:

- Filing Data - describes the overall filing.
- Attachment Data - supporting documents required by specific Type of Filing or additional documents supplied by the Tariff Submitter.
- Tariff Record Content Data - the actual “text” or “content” of the tariff, rate schedule, or service agreement along with its associated metadata.

The data elements contained in the three data tables are presented in the order in which they appear in the XML schema.

Filing Data

This data defines the Tariff Filing and this data will be provided with each Tariff Filing.

Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Schema Version	schema_version	The version of the XML schema used to create the specific Tariff Filing.	Numeric (10)	Any number between 1 and 2,147,483,648	Required.
Company Identifier	company_id	A FERC-designated Company Identifier code used to identify an entity required to submit Tariff Filings to FERC pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by FERC.	Alphanumeric (10)	Free form text	Required. Assigned by FERC and provided in the Tariff Filing by the Tariff Submitter.
Tariff Identifier	tariff_id	A unique identifier for the Tariff Submitter's database assigned by the Tariff Submitter as it pertains to the database being modified by the Tariff Filing. This can be any value in the allowable range of numbers, but it must be unique for each Tariff Submitter's database. A Tariff Submitter may have more than one active database.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned and provided by the Tariff Submitter. The Tariff Identifier of the database cannot change.
Tariff Title	tariff_title	The name of the database assigned by the Tariff Submitter.	Alphanumeric (100)	Free form text.	Required only when creating a new database. After the initial submission, the Tariff Identifier is used, and this data element may be left blank. Assigned and provided by the Tariff Submitter. The Tariff Title of the database cannot change.

Appendix 4 – Minor Correction MC10041
Errata for NAESB Wholesale Electric Quadrant Business Practice Standards Version 002.1
June 20, 2011

Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Filing Identifier	filing_id	A unique identifier for the subject Tariff Filing for the Tariff Submitter.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned and provided by the Tariff Submitter. This can be any value in the valid range of numbers, but it must be unique across all Tariff Filings for a specific Tariff Submitter.
Filing Title / Description	filing_title	The title given to the Tariff Filing by the Tariff Submitter.	Alphanumeric (80)	Free form text.	Required. Assigned and provided by the Tariff Submitter. This will not be used in FERC's eTariff system and will be used in eLibrary.
Type of Filing Code	filing_type	A code that identifies the specific FERC defined type of Tariff Filing as set forth in Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by the Commission (e.g., initial, compliance, surcharge, etc.). The Type of Filing will dictate the data requirements for the subject filing	Numeric (10)	See list of codes posted @ www.ferc.gov	Required.
Associated Filing Identifier	associated_filing_id	The Filing Identifier for the previous Tariff Filing to which the subject filing pertains (i.e., associated).	Numeric (10)	Any number between 1 and 2,147,483,648	Conditional. Assigned and provided by the Tariff Submitter. This is not applicable to all Type of Filings. Where it is used, it must refer to a previous Tariff Filing, and the value should be that previous Tariff Filing's "filing_id" value. An example might be the subject Tariff Filing is a compliance (or withdrawal) filing and the previous, applicable Tariff Filing to which it pertains must be identified in this field.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Validation e-mail	validation_email	The e-mail address provided by the Tariff Submitter for notification of whether the Tariff Filing meets the technical requirements such that it can be passed on to the OSEC for further processing.	Alphanumeric (100)	Free form text	Required.
Payment Confirmation Code	pay_confirm_code	The confirmation Accession Number for the associated fee that has been previously submitted via FERC's Online www.pay.gov, as applicable.	Alphanumeric (15)	FERC Accession Number in nnnnnnnn-nnnn format	Conditional based on the Type of Filing. Required if payment is required by the regulations. Provided by the Tariff Submitter.
Suspension Motion	suspend_motion	An indication of whether or not the Tariff Records should automatically go into effect at the end of the applicable suspension period.	Character (1)	"Y" or "N"	Conditional based off of Type of Filing. Provided by the Tariff Submitter.

Attachment Data

This defines data for each supporting / attached document that is either (1) being provided with the Tariff Filing or (2) for which a waiver is requested.

Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Attachment Reference Code	att_ref_code	The FERC assigned reference code for each attachment type.	Numeric (10)	See list of codes posted @ www.ferc.gov	Required. Provided by the Tariff Submitter. If the attachment pertains to a specific document defined for the Type of Filing, the appropriate document reference code must be used. Note: The code may be different for each Type of Filing.
Attachment Description	att_desc	The title given to the attachment submitted by the Tariff Submitter.	Alphanumeric (80)	Free form text.	Required. For attachments that are pre-defined by FERC's regulations, the description will be the FERC pre-defined description. For other attachments that are added by the Tariff Submitter, the description can be any value desired. These descriptions will be displayed in eLibrary as assigned and provided by the Tariff Submitter.
Attachment Waiver Requested	att_waiver_request	An indication of whether or not the Tariff Submitter is requesting a waiver for submission of the attachment specified as required by the Attachment Reference Code.	Character (1)	"Y" - waiver is requested "N" or " " - waiver not requested	Conditional on the Type of Filing – required for those attachments that are required by regulations. Assigned and provided by the Tariff Submitter. For each document that is requested to be waived, the Attachment Reference Code (above) is provided, and a value of "Y" is entered here. If an actual document is being provided, this value should be "N" or " ".

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Attachment Document	att_binary_data	This is the actual document content.	Binary (50 MB)	Binary Base64 bit encoded file content	Conditional on the Type of Filings. Required if Attachment Document is required by regulation and waiver of such is not requested in the field "Attachment Waiver Requested." Provided by the Tariff Submitter.
Attachment Document File Name	att_filename	The complete file name, including the extension, assigned by the Tariff Submitter of the Attachment Document being attached.	Alphanumeric (60)	Free form text. Must not include ? / * \ " ' > or <.	If the Attachment Waiver Requested is "Y", Attachment Document File Name is not required. Assigned and provided by the Tariff Submitter if not otherwise pre-defined by FERC's regulations or instructions. This file name will be used to identify the document and the extension will be used for retrieval purposes. Valid file names cannot include special characters such as: ? / * \ " ' > <
Attachment Content Type Code	att_content_type_code	The numeric code representing the software format of the specific Attachment Document.	Numeric (10)	See list of codes posted @ www.ferc.gov	Conditional, required when the Attachment Document is provided.
Attachment Security Level	att_security_level	The level of security requested for the specific attached document corresponding to the applicable Attachment Document.	Character (1)	"P" - Public "M" - Privileged "X" - Critical Energy Infrastructure Information See list of codes posted @ www.ferc.gov	Conditional based on Type of Filing. Required when the Attachment Document is provided. Certain Attachment Documents are required to be Public. Assigned and provided by the Tariff Submitter.

Tariff Record Content Data

This provides the data for each Tariff Record.

Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Tariff Record Identifier	record_id	An identifier for the Tariff Record within a given database that will not change as a result of revisions to the content of the Tariff Record (with same or different effective dates). No two different Tariff Records in the same database may have the same Tariff Record Identifier.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned by the Tariff Submitter. Each Tariff Record in the database has an associated Tariff Record Identifier number that does not change with each revision within a given database. The Tariff Record Identifier is not used for collation and does not have to be assigned sequentially.
Option Code	option_code	An identifier that designates the alternative Tariff Record option being submitted. An identifier that designates the primary Tariff Record as "A" and designates all alternative Tariff Record options being submitted, if any, sequentially in alphabetic order.	Character (1)	"A" thru "Z" allowed.	Required. Provided by the Tariff Submitter. Default (no more than one option is provided) is "A".
Tariff Record Title	record_title	The name of the Tariff Record contents.	Alphanumeric (60)	Free form text.	Required, if Tariff Record is a first-level Parent or in a Whole Document Format. Optional in other cases. Assigned by the Tariff Submitter. This field may be used in a database generated Table of Contents.
Record Content Description	record_content_desc	Textual description of the Tariff Record.	Alphanumeric (25)	Free form text.	Required. Assigned by the Tariff Submitter. This field may be used in a database generated Table of Contents.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Record Version Number	record_version_number	A representation of the version (designation) of the Tariff Record.	Alphanumeric (10)	x.y.z x = revision number y = substitute number z = "squeezed" number	Conditional based on Type of Filing. This information is not used to determine actual status of a Tariff Record. It is not used in any automated fashion other than display (possibly in the table of contents). This data is provided for ease of business and FERC referencing only.
Record Narrative Name	record_narrative_name	An additional narrative description of the Tariff Record.	Alphanumeric (254)	Free form text	Optional.
Tariff Record Collation Value	collation_value	A value that will determine the sort order in which the Tariff Records are merged.	Numeric (25)	Any number between 1 and 2,147,483,648	Required. Assigned by the Tariff Submitter.
Tariff Record Parent Identifier	record_parent_id	Provides the hierarchical structure to identify the higher-level part of the database to which this Tariff Record belongs.	Numeric (10)	Any number between 0 and 2,147,483,648	Required. Assigned by the Tariff Submitter. If the Tariff Submitter chooses not to use the functionality of this field, they must still populate the field with "0". Otherwise, the value must be a valid Tariff Record Identifier.
Tariff Record Proposed Effective Date	proposed_effective_date	The proposed effective date for the specified Tariff Record.	Date (10)	YYYY-MM-DD	Required. Assigned by the Tariff Submitter.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Record Effective Priority Order	priority_order	A positive integer that directs which of multiple changes of a given Tariff Record (the same Tariff Record Identifier) proposed to go into effect on the same day, will take precedence, i.e., the Tariff Record with the highest numeric value will supersede any other Tariff Records with the same Record Identifier also proposed to be effective for that day.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned by the Tariff Submitter. Default value should allow for priority values below and above the Tariff Record of a specific Tariff Record Proposed Effective Date initial value (for example: 500). The value must be unique for a specific Tariff Record for a specific Tariff Record Proposed Effective Date. When the current database is assembled for a particular effective date and there are multiple Tariff Records with the same Record Identifier and the same effective date, the approved Tariff Record for that effective date with the highest Record Effective Priority Order number will be the effective Tariff Record.
Record Content Type Code	record_content_type_code	The version of the software used to create the specific Tariff Record.	Numeric (10)	See list of codes posted @ www.ferc.gov	Conditional based on Type of Filing and/or structure of database. Provided by the Tariff Submitter.
Record Binary Data	record_binary_data	The actual Tariff Record content.	Binary (10 MB)	Binary Base64 bit encoded file content	Conditional based on Type of Filing and/or structure of database. Provided by the Tariff Submitter.
Record Plain Text	record_plain_text	The plain text version of the content of the Record Binary Data. Formatting and other binary values are stripped from this content.	Alphanumeric (10 MB)	Free form text	Conditional based on Type of Filing and/or structure of database. Provided by the Tariff Submitter.
Record Change Type	record_change_type	A description of the type of change being requested.	Alphanumeric (15)	See Code Values Dictionary	Required. Assigned by the Tariff Submitter. Used to identify the appropriate Tariff Record maintenance action. Some Type of Filings restrict the choice of Record Change Types.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Associated Filing Identifier	associated_filing_id	<p>The Tariff Filing Identifier associated with a previously filed Tariff Record which the subject Tariff Record replaces.</p> <p>Note: This is used in conjunction with the Associated Record Identifier and the Associated Option Code (below).</p>	Numeric (10)	Number between 1 and 2,147,483,648 used by the Tariff Submitter in a previous Tariff Filing	<p>Conditional.</p> <p>Assigned by the Tariff Submitter.</p> <p>This is not applicable to all Type of Filings. Where the Type of Filings permits or requires its use, it must refer to a previous Tariff Filing, and the value should be that previous Tariff Filing's Filing Identifier.</p>
Associated Record Identifier	associated_record_id	<p>This is used to associate the specific content with a previously filed Tariff Record. For example, withdrawal Tariff Filings must identify the content being requested to be withdrawn.</p> <p>Note: This is used in conjunction with the Associated Filing Identifier (above) and the Associated Option Code (below).</p>	Numeric (10)	Number between 1 and 2,147,483,648 used by the Tariff Submitter for the targeted Tariff Record Identifier	<p>Conditional.</p> <p>Assigned by the Tariff Submitter.</p> <p>This is not applicable to all Type of Filings. Where it is used, it must refer to a Tariff Record Identifier in the associated filing.</p>
Associated Option Code	associated_option_code	<p>An identifier that designates the alternative associated record option of a previously filed Tariff Record.</p> <p>Note: This is used in conjunction with the Associated Filing Identifier and the Associated Record Identifier (above).</p>	Character (1)	"A" thru "Z" used by the Tariff Submitter for the targeted Tariff Record Identifier	<p>Conditional.</p> <p>Assigned by the Tariff Submitter.</p> <p>Where it is used, the value should be the applicable Option Code value for the Associated Record Identifier.</p>

Code Values Dictionaries and FERC Reference Tables

Certain data elements need to be populated with standardized responses (code values). Some of these data elements lend themselves to simple code value tables as provided below. For others, FERC will provide reference tables in a downloadable CSV file. After the following data element code values tables is an extensive explanation of the FERC reference tables.

Data Element: Attachment Waiver Requested

Code Value	Code Value Description
N	No, a waiver of the attachment is not being requested.
Y	Yes, a waiver of the attachment is being requested.

Data Element: Option Code

Code Value	Code Value Description
A	Default for the primary Tariff Record.
B, C, through Z	Subsequent codes used for alternatives and must be provided in alphabetical order.

Data Element: Record Change Type - (code values is case sensitive)

Code Value	Code Value Description
CANCEL	Used to cancel a Tariff Record Identifier.
CHANGE	Used to change an existing Tariff Record.
NEW	Used to create a new Tariff Record Identifier.
PRO FORMA	Used to submit a Tariff Record proposal without invoking statutory processing timelines.
WITHDRAW	Used to withdraw a pending or suspended Tariff Record.

Data Element: Suspension Motion

Code Value	Code Value Description
N	No, the filing should not become effective without a separate filing to request such.
Y	Yes, the Tariff Record(s) should go into effect at the end of the suspension period.

FERC Reference Tables Provided in Downloadable Files

FERC will provide reference tables in downloadable files for the remaining data elements which have standardized code values, as well as to provide information to assist in the development of a Tariff Submitter's document management system and the creation of a Tariff Filing. The downloadable files will contain the appropriate codes to be used to populate the identified XML data elements (schema) and/or contain data that can be used to assist in error processing, provide FERC validation information and/or FERC business rules used to process the Tariff Filing.

This section is composed of three parts:

- (1) A list of the FERC File Downloads and their contents;
- (2) The Format of the FERC File Download Files; and
- (3) A description of the data elements contained in the FERC File Downloads

(1) List of FERC File Downloads

The following is a list of the downloadable files that FERC will post on its website, located at www.ferc.gov. The files listed will be available in CSV and may be provided in PDF formats.

- Type of Filing (`filing_type`) – code values and rules of use
- Attachment Reference Code (`att_ref_code`) – code values and rules of use
- Attachment Content Type Code (`att_content_type_code`) – code values
- Attachment Security Level (`att_security_level`) – code values
- Record Content Type Code (`record_content_type_code`) – code values
- Validation error codes provided by FERC.

(2) Format of the FERC File Downloads

The downloadable files posted on the FERC website will be formatted in CSV. The first row of the 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 the 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 will be enclosed by double-quotes.
- When numeric data contains decimal precision, the decimal point will be included within the field.
- When a field contains no data, the empty field will contain two delimiters next to each other. Note that there will be no blank spaces between the delimiters.

(3) Description of the Data Elements contained in the FERC File Downloads

FERC's Tariff Filing requirements are the function of many statutory, regulatory and business processes. A Tariff Filing must satisfy many rules simply to be considered a filing acceptable for processing by the FERC. How FERC maintains the contents of Tariff Filings 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). FERC has created software for internal purposes of automating the Tariff Filing review process and much of the eTariff maintenance process. It is in the interest of the FERC that Tariff Submitters create electronic Tariff Filings that are compatible with FERC's automated Tariff Filing and eTariff 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 Submitter's document management system to add functionality to the processes and to improve accuracy of the Tariff Filings. FERC will not review or certify any Tariff Submitter's document management system.

Following is a description of each of the downloadable files and the data contained in such files (both eTariff XML data elements and non-eTariff data elements used by FERC). The names of the columns that will be contained in the downloadable files are reflected below and are either shown in **bold** text (XML schema data elements) or in *italics* (non-XML schema data elements).

- **Type of Filing** (*filing_type*) - This file contains thirteen columns:
 1. **filing_type** – The values are used to populate the *filing_type* XML data element for the subject Tariff Filing. The statutes, regulations and business rules provide for many different filing types. Every Type of Filing has a unique code that is randomly generated by FERC. It is used to direct the software to a set of data elements that describe that filing type.
 2. *description* – Description of the *filing_type*. In this column FERC will provide its description for each Type of Filing code.
 3. *prog_code*: The “program code” refers to the different FERC Tariff Programs. As of January 2008, FERC has divided the various Type of Filings into five programs which are reflected by the six values below. FERC will allow the Tariff Submitter to determine which Type of Filing codes are relevant based on its FERC Tariff Programs. Within the five programs are dozens of different Type of Filings. The values in this column are defined below:
 - E = Federal Power Act Electric (Traditional Cost of Service and Market Based Rates) Public Utilities
 - F = Power Administrations
 - G = NGA Gas Pipelines
 - K = NGPA 311 Gas Pipelines
 - M = Federal Power Act Electric (Market Based Rate) Public Utilities
 - O= Oil Pipelines

FERC assigns one of the above program codes to a Tariff Submitter at the time the Tariff Submitter registers with FERC as part of the company registration process. The Tariff Submitter can only make Tariff Filings with one of the Type of Filing codes that are under the same program code as the Tariff Submitter.

Note: The program code of “M” is a subset of the “E” program code unique for FPA Tariff Submitters that only sell power at Market Based Rates. 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.

4. *new_type* – This column will indicate either yes (Y) or no (N). This reflects a type of Baseline category Type of Filing that requires both the creation of a new Company Identifier and a new Tariff Identifier. **Such filings follow the business process rules of Normal/Statutory type of filing category.** A more detailed explanation of the broad category of Baseline is provided below.
5. *refiled_type* – This column will indicate either yes (Y) or no (N). This reflects a type of Baseline category Type of Filing wherein the Tariff Submitter already has a pre-existing database or collection of paper tariffs, rate schedules, or service agreements and is requesting a new Tariff Identifier. **Such filings follow the business process rules of Compliance type of filing category.** A more detailed explanation of the broad category of Baseline is provided below.
6. *compliance_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Compliance type.
7. *amendment_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Amendment type.
8. *motion_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Motion type.
9. *withdraw_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Withdraw type.
10. *report_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Report type.
11. *cancellation_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Cancellation type.
12. *suspend_motion_response* – This column will indicate either yes (Y) or no (N). FERC may suspend certain Type of Filings. For some programs, the Tariff Submitter is required to inform FERC whether or not it is submitting a motion to

place suspended Tariff Records into effect at the end of the suspension period. The download file will indicate the Type of Filings requiring such a data element be populated by the Tariff Submitter.

13. *status_change_timeout* – Many Type of Filings must be acted upon by FERC by a certain number of days from the date of the Tariff Filing. This data element shows the number of days from the date of the filing before the FERC internal system will automatically change the status in the absence of a FERC order.
14. *fee_required* – this column will indicate either yes (Y) or no (N). if yes(Y), then this Type of Filing requires a filing fee be made with the Commission.
15. *active_date* – This column will indicate the effective date of the other data elements on the row.
16. *inactive_date* – This column will indicate the retirement date of the other data elements on the row. If there is no known retirement date, the date of 12/31/9998 will appear.

Explanation of Type of Filing Categories:

Different Type of Filings have different business processes as required by statute, regulation or business practice. FERC breaks down the dozens of different Type of Filings into eight broad categories that have similar business processes. The eight broad categories are explained below however, not all of them have individual columns in the download file.

The eight broad categories of Type of Filings are defined by FERC as:

- **Baseline** - This category is used for a Type of Filing that requires a new Tariff Identifier. Every Tariff Submitter establishing a new Tariff Identifier must start with a Baseline filing. However, the automated processing is different depending on whether the requested action is "New" or "Refiled" as more fully explained in the description above for the columns "*new_type*" and "*refiled_type*":
- **Normal/Statutory** - This category is used for a Type of Filing wherein the Tariff Submitter is the proponent of the change(s) in a tariff, rate schedule, or service agreement. This business process rule will be the most commonly used by Tariff Submitters. FERC has rules for some programs, such as when a Type of Filing is appropriate relative to various indices, such as the status of a Tariff Filing or Tariff Identifier. Statutory, regulatory and business rules apply to the status of a proposed change(s) in a tariff, rate schedule, or service agreement. Many of these rules are automated to change the status conditions in the appropriate circumstances. A Type of Filing is a "normal" type if the data in the columns on the download file for all category types (*motion_type*, *report_type*, *amendment_type*, etc.) are set to "N".
- **Compliance** - This category is used for a Type of Filing wherein the

Tariff Submitter proposes to comply with a FERC order. There is no automated rule to change the status of the Tariff Filing. These status changes will require FERC action.

- Amendment - This category is used for Type of Filings wherein the Tariff Submitter proposes to change a pending Tariff Filing prior to FERC or business process rule action on a Normal/Statutory Type of Filing. A Tariff Submitter cannot amend a filing that FERC 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/Statutory or Amendment Type of Filing. Amendments can be infinitely associated with each other with the same result of modifying the timing of automated action on the associated Normal/Statutory Type of Filing and subordinates it to the Amendment Type of Filing.
- Motion - This category of Type of Filing can only be associated with Tariff Records whose status condition in the FERC eTariff database is “suspended”. The only action that a filing in this category can do is to change the Proposed Effective Date of the Tariff Record that is “suspended”. Any change in the tariff, rate schedule, or service agreement is ignored. If a Tariff Submitter wishes to change both the status of suspended Tariff Record and tariff, rate schedule, or service agreement, it must file a “Compliance” Type of Filing.
- Withdraw - This category of Type of Filing can only be associated with Tariff Records that are (depending on the program) in the FERC eTariff database in a “pending”, “conditional” or “suspended” status condition. Any change in the tariff, rate schedule, or service agreement is ignored. This business process rule may (depending on the program) automatically withdraw the targeted Tariff Record and change the formerly “superseded” Tariff Records to “effective.” Therefore, no additional Tariff Filing or Tariff Records are required to reinstate the superseded Tariff Record.

Note: The Withdraw category of Type of Filing should not be confused with the Record Change Type of WITHDRAW. The Withdraw category of Type of Filing acts upon the associated filing as a whole, whereas the WITHDRAW Record Change Type acts upon the associated tariff record.

- Report - This category of Type of Filing contains no Tariff Record information. It can only be used to supplement the record of the proceeding. Basically, the Report Type of Filing is meant to provide Tariff Submitters a means to make complex filings with FERC in an established proceeding as an alternative to FERC’s eFiling website portal for non-Tariff Filings.
- Cancellation - This category of Type of Filing is used by the Tariff Submitter to terminate a Tariff Identifier. Once a Tariff Identifier is

cancelled, only Compliance Type of Filings with a Proposed Effective Date before the effective date of the cancelled Tariff Record may be filed using the cancelled Tariff Identifier.

- **Attachment Reference Code** (att_ref_code) - This file contains seven columns:
 1. **filing_type** – This column relates the Type of Filing with the available selection of attachments.
 2. **att_ref_code** – This column is used to populate the att_ref_code XML data element field for each attachment.
 3. **att_desc** – This column is used to populate the att_desc XML data element field for each attachment.
 4. *citations* – This column provides the corresponding Citation to FERC regulation. This is simply a text field that provides the reader with additional information as to the source of the requirement.
 5. *is_required* – This column will indicate either yes (Y) or no (N). Certain documents are required by either regulation or business rule for the Tariff Filing to be considered complete enough for the OSEC 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 OSEC as a minimal condition is provided.
 6. *can_waive* - This column will indicate either yes (Y) or no (N). Some attachments may be required, but FERC may permit the Tariff Submitter to request that the requirement be waived. FERC will post whether a required attachment may be waived.
 7. *req_access_lvl* – This column indicates the required security level on a file as indicated in the att_security_level download file. A blank indicates no required security level. The values are defined below:
 - P = Public
 - M = Privileged
 - X = Critical Energy Infrastructure Information

- **Attachment Content Type Code** (att_content_type_code) - This file contains two columns:
 1. **att_content_type_code** - The values are used to populate the att_content_type_code XML data element for each attachment.
 2. *description* – The description of the electronic format represented by the code.
 3. *file_extension* – This column contains the electronic format extensions.

4. *active_date* – This column will indicate the effective date of the other data elements on the row.
 5. *inactive_date* – This column will indicate the retirement date of the other data elements on the row. If there is no known retirement date, the date of 12/31/9998 will appear.
- **Attachment Security Level** (*att_security_level*) - This file contains two columns:
 1. **att_security_level** – The values are used to populate the *att_security_level* field for each attachment.
 2. *description* - Description of the FERC security level associated with the *att_security_level*. Note that every attached document must have a populated *att_security_level*. FERC will not presume any default document security level.

 - **Record Content Type Code** (*record_content_type_code*) - This file contains two columns:
 1. **record_content_type_code** – The values are used to populate the *record_content_type_code* field for each record.
 2. *description* - Describes the *record_content_type_code*.
 3. *active_date* – This column will indicate the effective date of the other data elements on the row.
 4. *inactive_date* – This column will indicate the retirement date of the other data elements on the row. If there is no known retirement date, the date of 12/31/9998 will appear.

 - **Validation Error Codes** (*validation_error_code.csv*) - This file contains two columns:
 1. *error_code* – The values for the identified error.
 2. *description* - Describes the error.

Technical Specifications

Electronic Delivery Specifications

- **High-level Summary**

The following section defines the technical details and processes for computer-to-computer exchange of an XML file between a Tariff Submitter and FERC for electronic-Tariff Filings. It also defines eFiling authentication, eTariff portal security, and information on error / messages, security and maintenance. It does not provide information related to developing a Tariff Submitter's document management system as FERC is not providing a system to manage the Tariff Submitter's tariffs, rate schedules, or service agreements. The Tariff Submitter can either purchase a third party software system, or design and develop its own system (manual or automated) to maintain its tariffs, rate schedules, or service agreements. The Tariff Submitter will provide an XML formatted eTariff filing in accordance with the eTariff standards and other FERC requirements.

The Tariff Submitter will not have direct access to the FERC eTariff database to add, change or delete records. The Tariff Submitter will only be able to maintain its data in the FERC eTariff database via data sent through the eTariff filing process.

The following process describes the electronic Tariff Filings that **must** be filed through the FERC's eFiling web page located at www.ferc.gov.

- **Format of Upload Data**

The eFiling portal for eTariff filing packages assumes the Tariff Submitter has already produced an XML file that contains both data tags and embedded data per the business specifications provided and has been packaged as a zip file. There are no restrictions on the file name other than "normal" file naming conventions (i.e., a file name should contain no periods except the period preceding the file extension and no backslashes), the total character length must be 64 characters or less, and must have a ".ZIP" extension.

- **Login/authentication Requirements**

eRegistration:

In order to submit a Tariff Filing through the eTariff portal, the User must be eRegistered with FERC. The eRegistration process will allow the User to login to FERC's eFiling portal. The instructions on how a User may become eRegistered are located at www.ferc.gov.

eFiling Requirements:

The FERC's eFiling *Reference Guide* located at www.ferc.gov provides a step-by-step set of instructions and expected results for the eFiling process.

Company Registration Requirements:

To log into FERC's eTariff portal, the User will be required to have a Company Identifier and password. This Company Identifier is unique for each company filing tariffs, rate schedules, or service agreements with FERC. All Users will enter the same Company Identifier for a given company. This Company Identifier's password is company proprietary and should be treated as such. Instructions on how to obtain a Company Identifier and password are located at FERC's Online Company Registration application, located at www.ferc.gov. Note: The eTariff Company Identifier should not be confused with the data element Company Identifier contained in the data dictionary.

- **Minimum Technical Capabilities of Browser Clients**

FERC's eFiling portal is compatible with most common internet browsers, but is optimized for use with Microsoft® Internet Explorer 7.0.

- **Error Codes and Handling**

Error codes that can occur during the upload of the eTariff package on the FERC eFiling portal will be provided as described in the eFiling documentation, located at www.ferc.gov.

The e-mail that results from the eTariff verification process will use specific error codes/descriptions. The error codes provided within the e-mail can be decoded with the FERC-published code table located at www.ferc.gov. This table can be downloaded in CSV format and may be available in PDF format.

If the XML file is malformed and cannot be read, to the extent OSEC is able to identify the resulting error messages, the error messages will be provided to the Tariff Submitter as part of the OSEC Rejection e-mail. The Tariff Submitter is responsible for researching the nature of the XML error messages at locations such as www.w3.org (i.e.: <http://validator.w3.org/docs/errors.html>).

- **Security Specifications**

Tariff Submitters are responsible for security of the Company Identifier's password and all data contained in their filing that resides on their internal systems. The Company Identifier is public information.

Electronic transfer of the ZIP file is via the FERC eFiling portal using secure login (from eRegistration) and HTTPS for User interaction, and data transfer using a web browser. Refer to FERC eFiling specifications for minimal requirements of browsers using FERC web pages located at www.ferc.gov.

Data security at FERC is the responsibility of FERC.

- **Testing Guidelines**

FERC will provide a facility/function that will receive an eTariff XML filing package and verify it can be opened and parsed, and, if the appropriate data is provided, it will validate data content against production data. This facility will be available for use at any time. Information on how to access and use this testing facility is available at www.ferc.gov.

- **Maintenance**

The eTariff XML schema and associated code definition and downloadable CSV files will be maintained on the FERC website. Significant changes to any of these items will follow normal FERC notice/comment process. This process will also indicate the effective date of the change, and whether there will be a transition period.

Appendix 4 – Minor Correction MC10041
Errata for NAESB Wholesale Electric Quadrant Business Practice Standards Version 002.1
June 20, 2011

Revisions to the eTariff XML schema code definition files will be posted in downloadable XSD and PDF formats located at www.ferc.gov. In the event of a discrepancy between the PDF and XSD files, the XSD file shall take precedence.

Revised code definition files will be posted in downloadable CSV file and may be available in a PDF file on FERC's website located at www.ferc.gov.

FERC will not certify or will not support software that Tariff Submitters may develop or purchase. Owners of these software packages are responsible for their maintenance and ensuring that any required eTariff XML schema and/or code revisions posted by FERC are properly recognized by such software.

XML Schema Version 1

Set forth below is Version 1 of the XML Schema that must be used to submit a Tariff Filing through FERC's eFiling / eTariff Portal.

```
<?xml version="1.0" encoding="utf-8"?>
<xs:schema id="ferc_tariff_filing" targetNamespace="http://ferc.gov/etariff.xsd"
elementFormDefault="qualified" xmlns="http://ferc.gov/etariff.xsd"
xmlns:xs="http://www.w3.org/2001/XMLSchema" >
  <xs:element name="document">
    <xs:complexType>
      <xs:choice minOccurs="1" maxOccurs="1">
        <xs:element name="ferc_filing_data" minOccurs="1" maxOccurs="unbounded">
          <xs:complexType>
            <xs:sequence>
              <xs:element name="schema_version" type="xs:string" nillable="true"/>
              <xs:element name="company_id" type="xs:string" nillable="true"/>
              <xs:element name="tariff_id" type="xs:integer" nillable="true"/>
              <xs:element name="tariff_title" type="xs:string" nillable="true"/>
              <xs:element name="filing_id" type="xs:integer" nillable="true"/>
              <xs:element name="filing_title" type="xs:string" nillable="true"/>
              <xs:element name="filing_type" type="xs:integer" nillable="true"/>
              <xs:element name="associated_filing_id" type="xs:integer" nillable="true"/>
              <xs:element name="validation_email" type="xs:string" nillable="true"/>
              <xs:element name="pay_confirm_code" type="xs:string" nillable="true"/>
              <xs:element name="suspend_motion" type="xs:string" nillable="true"/>
              <xs:element name="attachment_data" minOccurs="1" maxOccurs="unbounded">
                <xs:complexType>
                  <xs:sequence>
                    <xs:element name="att_ref_code" type="xs:integer" nillable="true"/>
                    <xs:element name="att_desc" type="xs:string" nillable="true"/>
                    <xs:element name="att_waiver_request" type="xs:string" nillable="true"/>
                    <xs:element name="att_binary_data" type="xs:base64Binary" nillable="true" />
                    <xs:element name="att_filename" type="xs:string" nillable="true"/>
                    <xs:element name="att_content_type_code" type="xs:integer" nillable="true"/>
                    <xs:element name="att_security_level" type="xs:string" nillable="true"/>
                  </xs:sequence>
                </xs:complexType>
              </xs:element>
            <xs:element name="record_data" minOccurs="0" maxOccurs="unbounded">
              <xs:complexType>
                <xs:sequence>
                  <xs:element name="record_id" type="xs:integer" nillable="true"/>
                </xs:sequence>
              </xs:complexType>
            </xs:element>
          </xs:sequence>
        </xs:element>
      </xs:choice>
    </xs:complexType>
  </xs:element>
</xs:schema>
```

```
<xs:element name="option_code" type="xs:string" nillable="true"/>
<xs:element name="record_title" type="xs:string" nillable="true"/>
<xs:element name="record_content_desc" type="xs:string" nillable="true"/>
<xs:element name="record_version_num" type="xs:string" nillable="true"/>
<xs:element name="record_narrative_name" type="xs:string" nillable="true"/>
<xs:element name="collation_value" type="xs:integer" nillable="true"/>
<xs:element name="record_parent_id" type="xs:integer" nillable="true"/>
<xs:element name="proposed_effective_date" type="xs:date" nillable="true"/>
<xs:element name="priority_order" type="xs:integer" nillable="true"/>
<xs:element name="record_content_type_code" type="xs:integer" nillable="true"/>
<xs:element name="record_binary_data" type="xs:base64Binary" nillable="true"/>
<xs:element name="record_plain_text" type="xs:string" nillable="true"/>
<xs:element name="record_change_type" type="xs:string" nillable="true"/>
<xs:element name="associated_filing_id" type="xs:integer" nillable="true" />
<xs:element name="associated_record_id" type="xs:integer" nillable="true" />
<xs:element name="associated_option_code" type="xs:string" nillable="true" />
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:choice>
</xs:complexType>
</xs:element>
</xs:schema>
```

Note: The XML Schema definition language (XSD) defines four attributes for use in XML instance documents, indicated by the <http://www.w3.org/2001/XMLSchema-instance> namespace. Information regarding these four attributes is located at <http://msdn2.microsoft.com/en-us/library/ms256207.aspx> and <http://www.w3.org/TR/xmlschema-1/>. The eTariff specifications contained in this document utilize the `nil="true"` attribute to indicate an empty (null) numeric element. It has been determined that some XML software tools do not support the `nil="true"` attribute. The software developer should thoroughly investigate the capabilities of their development tool sets to ensure that they support the `nil="true"` attribute.

Appendix 5 contains **Minor Correction MC11011** to NAESB WEQ Version 002.1, NAESB WEQ Business Practice Standards WEQ-006 (Manual Time Error Correction) to suspend the NAESB WEQ Business Practice Standards for WEQ-006-1 through WEQ-006-12 based on the motion approved by the NERC Operating Committee at their March 9, 2011 meeting. The motion stated:

The Operating committee adopts the Time Error Correction Field Trial as outlined by the Resources Subcommittee predicated on the following:

- *NERC develops correspondence from either the general counsel or the president, informing the FERC that the field trial is expected to be implemented on June 11,2011 and continue until either a.) the test is halted, or b.) modifications to the appropriate standards are made, up to and including retirement of standards. The correspondence should further explain that, during the field trial, compliance with associated NERC standards need to be waived. NERC and its stakeholders will work with NAESB to determine what actions, if any, may need to occur relative to NAESB standards.*
- *NERC complete the Time Correction field trial communications outreach program.*
- *During the field trial, time error will continue to be monitored but all manual time corrections will cease.*

MC11011

Approved by the WEQ Executive Committee via notational ballot on April 8, 2011.

Minor Correction Request

Quadrant: Wholesale Electric Quadrant (WEQ)
Business Practice: Manual Time Error Correction (WEQ-006)
Submitted By: Kathy York, Jim Castle, and Ed Skiba
Date: March 24, 2011

We are submitting a minor correction to suspend the NAESB Business Practice Standards for WEQ 006-1 through WEQ 006-12 based on the motion approved by the NERC Operating Committee at their March 9, 2011 meeting. The motion stated:

The Operating committee adopts the Time Error Correction Field Trial as outlined by the Resources Subcommittee predicated on the following:

- *NERC develops correspondence from either the general counsel or the president, informing the FERC that the field trial is expected to be implemented on June 11, 2011 and continue until either a.) the test is halted, or b.) modifications to the appropriate standards are made, up to and including retirement of standards. The correspondence should further explain that, during the field trial, compliance with associated NERC standards need to be waived. NERC and its stakeholders will work with NAESB to determine what actions, if any, may need to occur relative to NAESB standards.*
- *NERC complete the Time Correction field trial communications outreach program.*
- *During the field trial, time error will continue to be monitored but all manual time corrections will cease.*

According to the NASB Operating Practices Minor Corrections include:

- (a) clarifications or corrections made by a regulatory agency to standards that are of a jurisdictional nature, or by the American National Standards Institute or its successor;*
- (b) clarifications or corrections to the format, appearance, or descriptions of standards in standards documentation;*
- (c) clarifications or corrections to add code values to tables; and*
- (d) clarifications and corrections that do not materially change a standard.*

Since the Operating Committee is under NERC and NERC has been designated as the ERO per federal statute, we believe that this request to suspend the business practices standards meet the guidelines for a minor correction under item (a) of the minor correction criteria. We are requesting that the suspension of these Business Practice Standards follows the same timeline as the Operating Committee suspension of the NERC Standards until either a) the test is halted, or b) modifications to the appropriate standards are made, up to and including the retirement of the corresponding Standards.

Manual Time Error Correction

The following standards are suspended from the start the NERC Time Error Correction Field Trial until either a) the test is halted, or b) modifications to the appropriate standards are made, up to and including the retirement of the corresponding Standards.

Introduction

Interconnection frequency is normally scheduled at 60.00 Hz and controlled to that value. The control is imperfect and over time the frequency will average slightly above or below 60.00 Hz resulting in mechanical electric clocks developing an error relative to true time. This Standard specifies the procedure to be used for reducing the error to within acceptable limits of true time.

Applicability

Balancing Authorities, Interconnection Time Monitor

Business Practice Requirements

006-1 Each Balancing Authority shall participate in Time Error Correction unless it is operating asynchronously to its Interconnection.

006-1.1 Balancing Authorities operating asynchronously who establish their own time error control bands, shall notify the Interconnection Time Monitor of the bands being utilized, and shall also provide notification if they are changed.

006-2 An Interconnection Time Monitor shall exist for each Interconnection.

006-3 The Interconnection Time Monitor shall calibrate its time error device at least annually against the National Institute of Standards and Technology Time.

006-4 **TIME ERROR INITIATION**

Time error corrections should start and end on the hour or half-hour, and notice should be given at least one hour before the time error correction is to start or stop. Time Error corrections shall last at least one hour, unless terminated by a Reliability Coordinator. Time Error corrections for fast time shall not be initiated between 0400-1100 Central Time except for in the Western Interconnection. All Balancing Authorities within an Interconnection shall make all Time Error corrections directed by the Interconnection Time Monitor for its Interconnection. All Balancing Authorities within an Interconnection shall make Time Error Corrections at the same rate.

006-5 **INTERCONNECTION TIME MONITORING**

Each Interconnection Time Monitor shall monitor time error and make a reasonable effort to initiate or terminate corrective action orders according to the following table:

Time (seconds)	<i>Initiation</i>		<i>Termination</i>	
	East	West	East	West
Slow	-10	-5	-6	±0.5

Fast	+10	+5	+6	±0.5

006-6 **TIME ERROR CORRECTION LABELING**

Time error correction notifications shall be labeled alphabetically on a monthly basis (A-Z, AA-AZ, BA-BZ,...).

006-7 **TIME CORRECTION OFFSET**

Each Balancing Authority, when requested, shall participate in a Time Error Correction by one of the following two methods:

006-7.1 **FREQUENCY OFFSET**

The Balancing Authority may offset its frequency schedule in accordance to the directives of the Interconnection Time Monitor, leaving the Frequency Bias Setting normal,

006-7.2 **SCHEDULE OFFSET**

If the frequency schedule cannot be offset as directed by the Interconnection Time Monitor, the Balancing Authority may offset its net Interchange Schedule (MW) by an amount equal to the computed bias contribution during an equivalent frequency deviation`.

006-8 **INTERCONNECTION TIME ERROR NOTIFICATION**

On the first day of each month, the Interconnection Time Monitor shall issue a notification of time error accurate to within 0.01 second to all Reliability Coordinators within the Interconnection to assure uniform calibration of time standards.

006-9 **WESTERN INTERCONNECTION TIME ERROR NOTIFICATION**

Within the Western Interconnection, the Interconnection Time Monitor shall provide the accumulated time error (accurate to within 0.001 second) to all Balancing Authorities on a daily basis at 1400 PDT/PST using the WECCNet. The alphabetic designator shall accompany time error notification if a time error correction is in progress.

006-10 After the premature termination of a manual time correction, a slow time correction can be reinstated after the frequency has returned to 60.00 Hz or above for a period of ten minutes. A fast time correction can be reinitiated after the frequency has returned to 60.00 Hz or lower for a period of ten minutes. At least one hour shall elapse between the termination and re-initiation notices.

006-11 **TIME CORRECTION ON RECONNECTION**

When one or more Balancing Authorities have been separated from the Interconnection, upon reconnection, they shall adjust their time error devices to coincide with the time error of the Interconnection Time Monitor. The Balancing Authorities shall notify the Interconnection Time Monitor they are ready to receive the necessary adjustment to time error as soon as possible after reconnection.

006-12

LEAP SECONDS

Balancing Authorities using time error devices that are not capable of automatically adjusting for Leap Seconds shall arrange to receive advance notice of the Leap Second and make the necessary manual adjustment in a manner that will not introduce an improper Interchange Schedule into their control system.

Appendix 6 contains **Minor Correction MC11016**, Joint WEQ/WGQ Minor Correction to the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing to correspond to modifications made by FERC to its Implementation Guide for Electronic Filing of Parts 25, 154, 284, 300, and 241 Tariff Filings as noted in the FERC eTariff RSS Feed(s), dated April 18, 2011.

MC11016

Approved by the WEQ Executive Committee via Notational Ballot on May 20, 2011
North American Energy Standards Board

**Request for Minor Correction/Clarification of NAESB WEQ/WGQ Implementation
Guide for Electronic Tariff Filing
(NAESB Business Practice Standard WEQ-014-A and WGQ Standard No. 11.4.1)**

NAESB Correction/Clarification Procedure

Minor Clarifications and Corrections to Standards

Minor clarifications and corrections to existing standards include: (a) clarifications or corrections made by a regulatory agency to standards that are of a jurisdictional nature, or by the American National Standards Institute or its successor; (b) clarifications or corrections to the format, appearance, or descriptions of standards in standards documentation; (c) clarifications or corrections to add code values to tables; and (d) clarifications and corrections that do not materially change a standard. Any request for a minor clarification or correction to an existing standard should be submitted in writing to the executive director. This request shall include a description of the minor clarification or correction and the reason the clarification or correction should be implemented.

1. Processing of Requests

The executive director shall promptly notify the EC and any appropriate subcommittee(s) of the receipt of the request. The members of the applicable quadrant's EC shall promptly determine whether the request meets the definition of a minor clarification or correction. Through the decision of the vice chair of the applicable quadrant, this determination may be delegated to one of the quadrant's subcommittees, with the concurrence of the subcommittee chair, in which case the subcommittee shall make a prompt decision.

If the request is determined to meet the definition of minor clarification or correction, the applicable quadrant's EC, with input from any subcommittee(s) to which the request has been forwarded, shall act on the request within one month of its receipt. A meeting to discuss the request is not required; the decision may be made by notational vote. A simple majority of the votes received shall determine the outcome. The members of the applicable quadrant's EC shall be given at least three working days to consider and vote on the request.

2. Public Notice

The results of the vote on the request for a minor clarification or correction shall be posted on the NAESB website and the members of the applicable quadrant shall be notified of the request by e-mail. If the request has been approved by the applicable quadrant's EC, the notification shall include a brief description of the request, the contact name and number of the requester so that further information can be obtained, and the proposed effective date of the clarification or correction. The proposed effective date of the minor clarification or correction shall normally be one month from the date of the public notice. Any interested party shall have an opportunity to comment on the request, and the comments shall be posted on the NAESB website. The comment period is two weeks.

3. Final Disposition of Approved Requests

If no comments are received on an approved request, the standard shall be clarified or corrected as specified in the approved request on the effective date proposed. If comments are received, they shall be forwarded to the members of the applicable quadrant's EC for consideration. Each comment requires a public written response from the applicable quadrant's EC. The applicable quadrant's EC shall determine whether changes are necessary as a result of the comments. Members of the applicable quadrant's EC shall be given three working days to consider the comments and determine the outcome, which shall be decided by a simple majority of the votes received. A meeting to discuss the request is not required; the decision may be made by notational vote. The standard shall be clarified or corrected in accordance with the outcome of the vote, effective with the completion of voting, and notice thereof shall be posted on the NAESB website.

Processing of Changes to the eTariff Implementation Guide as Minor Corrections for the Wholesale Electric and Wholesale Gas Quadrants, (related to NAESB WGQ Standard No. 11.4.1, WEQ Standard No. WEQ-014, and FERC Order No. 714, Rule-Making Docket No. RM01-5-000)

via posting

TO: NAESB Files

RE: Processing of Changes to the eTariff Implementation Guide as Minor Corrections for the Wholesale Electric and Wholesale Gas Quadrants, (related to NAESB WGQ Standard No. 11.4.1, WEQ Standard No. WEQ-014, and FERC Order No. 714, Rule-Making Docket No. RM01-5-000)

DATE: May 27, 2010

After discussion with the Wholesale Gas and Wholesale Electric Executive Committee leadership with FERC staff, it was determined that the change management for implementation of FERC processed changes to the NAESB eTariff Implementation Guide¹² will continue to be processed as minor corrections.¹³ To do this expeditiously so that the NAESB documents and the FERC documents stay consistent, they will be addressed as minor corrections unless the change is substantive and EC members indicate their preference to pursue such changes through the request for modification to a standard. In doing so, a minor correction can be processed in a two week period, followed by 30 days before implementation.

The number of changes needed to guide will diminish as the system stabilizes through more companies filing electronically. As such, the use of the FERC RSS feed (<http://www.ferc.gov/xml/eTariff.xml>) to notify NAESB of changes to the guide, along with a process by which the NAESB office will prepare the minor correction for EC leadership review,¹⁴ after which the minor correction will be sent out for EC consideration followed by membership consideration. The EC consideration can be accomplished via notational ballot. This process is consistent with the requirements of the minor correction process.¹⁵ In this manner, the guide can be maintained and remain consistent with any changes determined appropriate by the FERC.

Should NAESB members or interested parties determine separately through the minor correction or the request process¹⁶ that changes to the guide are needed; they can also be processed expeditiously with communications to FERC staff. FERC staff can participate in the EC discussions on the changes prior any votes to those changes.

¹² Both the WEQ and WGQ implementation guides are identical.

¹³ The most recent minor correction to the guide can be accessed from the NAESB WEQ Minor Corrections web page at http://www.naesb.org/WEQ/weg_reqcom.asp and WGQ Minor Corrections web page http://www.naesb.org/WGQ/wgq_clarifications.asp.

¹⁴ The minor correction request form that the NAESB office will use in documenting minor corrections for EC consideration can be accessed from the following link: http://naesb.org/misc/weg_wgq_minor_corrections_etariff_request_form.doc. This form will only be used for eTariff related minor corrections to ensure that the guide is consistent with FERC actions.

¹⁵ The procedure that is followed for processing minor corrections can be accessed from the following link from the NAESB web site: http://www.naesb.org/misc/mcc_procedures_061510.doc

¹⁶ The forms for the request to create, modify or delete a standard and the request for a minor correction can be accessed from the following links from the NAESB web site, respectively: http://naesb.org/pdf/blank_request.doc and http://naesb.org/pdf4/wgq_minor_corrections_blank_request_form.doc.

Appendix 6 – Minor Correction MC11016
Errata for NAESB Wholesale Electric Quadrant Business Practice Standards Version 002.1
June 20, 2011

Date of Request: 04/25/2011

1. Submitting Entity & Address:

Entity Name: North American Energy Standards Board (NAESB)

Street Address: 801 Travis Street

Address 2: Suite 1675

City, State, Zip: Houston, Texas 77002

2. Contact Person, Phone #, Fax #, Electronic Mailing Address:

Name: Denise Rager

Title: Standards and Membership Administrator

Phone #: 713-356-0060

Fax#: 713-356-0067

E-mail: drager@naesb.org

3. Version and Standard Number(s) suggested for correction or clarifications:

Minor Correction for NAESB WEQ Business Practice Standard WEQ-014-A Version 2.1 and WGQ Standard No. 11.4.1 Version 2.0 (Implementation Guide for Electronic Tariff Filing)

4. Description of Minor Correction / Clarification including redlined standards corrections:

Corrections to the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing to correspond to modifications made by FERC to its Implementation Guide for Electronic Filing of Parts 25, 154, 284, 300, and 241 Tariff Filings as noted in the following FERC eTariff RSS Feed(s):

http://www.naesb.org/misc/etariff_implementation-guide_ferc_update041811.pdf (Updated April 18, 2011)

See attached – redline changes highlighted in yellow

5. Reason for Minor Correction / Clarification:

The purpose of this request for minor correction is to make corresponding revisions to the comparable sections of the NAESB WEQ/WGQ Implementation Guide for Electronic Tariff Filing. The remaining portion of the NAESB WEQ/WGQ implementation guide (the Use Cases, Examples and FAQ sections) are unchanged and therefore, those pages are not included in this request.

Implementation Guide for Electronic Tariff Filing

NAESB WGQ Standard No. 11.4.1 and WEQ Business Practice Standard WEQ-014-A

April 4, 2008

Minor Corrections applied October 7, 2010 and February 3, 2011

Implementation Guide for Electronic Filing of Parts 35, 154, 284, 300, and 341 Tariff Filings

Version: **April 18, 2011**

Form Approved

OMB **Control** Nos. 1902-0089 (Oil program) (Expires 4/30/2012)
1902-0096 (Electric program) (Expires **2/28/2014**)
1902-0154 (Gas program) (Expires **8/31/2012**)
1902-0086 (NGPA 311 program) (Expires 12/31/2011)

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Executive Summary

This implementation guide is for use by entities required to submit tariffs, rate schedules, and service agreements together with supporting documentation to the Federal Energy Regulatory Commission (FERC) pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by FERC. Filings which historically were submitted in hard copy should be submitted electronically according to the guidelines contained herein. To accomplish this, the components of the previous filings will need to be separated into various pieces of identifying information as defined by the data elements contained herein. These data elements and their accompanying data, are hierarchically organized by the XML schema and when compiled constitute an XML filing package for an electronic Tariff Filing. The XML filing package is then uploaded through a web portal. The following is a guide describing the various processes/mechanisms, data tables, code values/reference tables, and technical specifications used in the submission of such Tariff Filings.

Business Process

Definitions and Standards

Definitions*

WGQ 11.2.1 (WEQ-014-0.3) Tariff Submitter is the term used to describe any entity that is required to submit a Tariff Filing.

WGQ 11.2.2 (WEQ-014-0.1) Tariff Filing is the term used to describe a compilation of all document(s), associated data and supporting documents that is required to be filed electronically by a Tariff Submitter pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by the Federal Energy Regulatory Commission.

WGQ 11.2.3 (WEQ-014-0.2) Tariff Record is the term used to describe the part of a Tariff Filing that consists of the data elements that relate to a sheet, section, or entire tariff, rate schedule, or service agreement that is required to be filed with the Federal Energy Regulatory Commission.

WGQ 11.2.4 (WEQ-014-0.4) Sheet-Based Format and Section-Based Format are the terms used to describe the subdivision into sheets or sections, respectively, of a tariff, rate schedule, or service agreement for purposes of a Tariff Filing.

WGQ 11.2.5 (WEQ-014-0.5) Whole Document Format is the term used to describe a tariff, rate schedule, or service agreement submitted as a single document within a Tariff Record for purposes of a Tariff Filing.

Standards

WGQ 11.3.1 (WEQ-014-1) A Tariff Submitter should electronically submit a Tariff Filing pursuant to the requirements as set forth in NAESB WGQ Standard No. 11.4.1 / NAESB WEQ Business Practice Standard WEQ-014.

WGQ 11.3.2 (WEQ-014-2) For the electronic submission of a Tariff Filing, a tariff, rate schedule, or service agreement, and changes thereto, should be structured using one or more of the following methods:

- vii. Sheet-Based Format,
- viii. Section-Based Format, or
- ix. Whole Document Format

* The conforming changes to definitions provided in NAESB 2009 WEQ Annual Plan Item 5.b Final Action (http://www.naesb.org/member_login_form.asp?doc=fa_weg_2009_api5b.doc) have not and will not be applied to the WEQ/WGQ eTariff Related Standards and documentation. The NAESB WEQ/WGQ eTariff Related Standards are provided for use by all users of the FERC eFiling application.

NAESB WGQ Standard No. 11.4.1 and NAESB WEQ Business Practice Standard WEQ-014-A Technical Implementation of Business Processes

GENERAL PURPOSE:

The purpose of the eTariff Submission implementation guide is to define the requirements for the submission of a Tariff Filing to the Federal Energy Regulatory Commission (FERC) in an electronic format such that the information can be stored in the FERC eTariff database and in eLibrary. The eTariff Submission dataset is used by an entity (Tariff Submitter) required to electronically submit Tariff Filings to the FERC pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by FERC.

Set forth below is an explanation of how the eTariff Submission dataset works, including instructions describing the various processes / mechanisms, data tables, code values / reference tables, and technical specifications used in the submission of a Tariff Filing.

The eTariff Submission dataset is used to electronically submit a new, modify an existing, and withdraw or cancel a tariff, rate schedule, or service agreement. Within the FERC eTariff database, each Tariff Submitter will have one or more of its own database(s). A Tariff Submitter's database must contain at least one Tariff Record. A Tariff Record is a single occurrence (row) in a database (similar to a row in a spreadsheet) consisting of multiple data elements that relate to a sheet, section, or entire tariff, rate schedule, or service agreement.

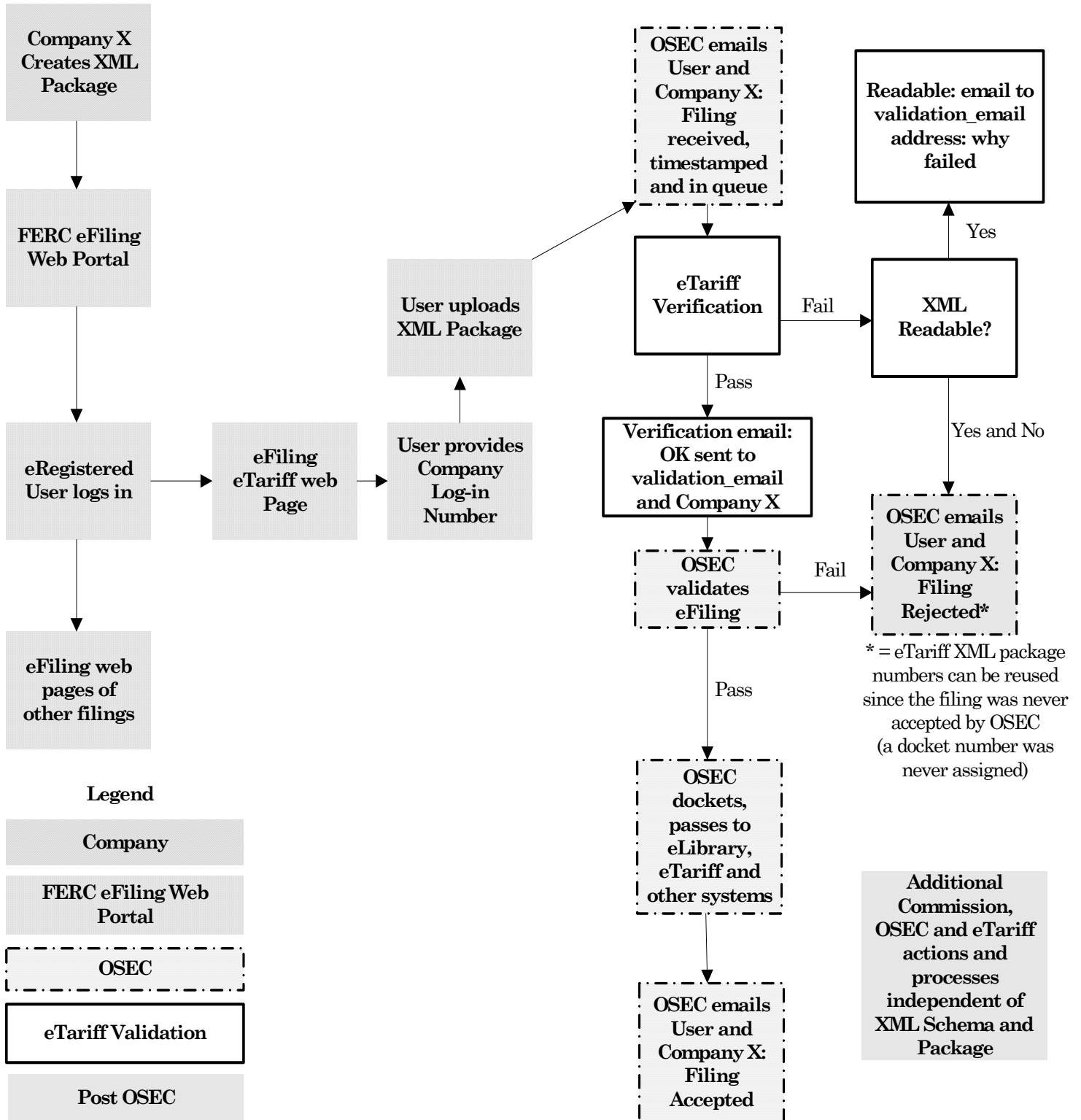
Sheet-Based Format and Section-Based Format describes the subdivision into sheets or sections, respectively, of a tariff, rate schedule, or service agreement for purposes of a Tariff Filing. Whole Document Format describes a tariff, rate schedule, or service agreement submitted as a single document within a Tariff Record for purposes of a Tariff Filing. A single database may contain one or more tariff(s), rate schedule(s), and service agreement(s) that are in different formats. For example, a tariff may be in a Sheet-Based Format or Section-Based Format, while the rate schedules may be in Whole Document Format.

The decision to use Sheet-Based Format, Section-Based Format, or Whole Document Format is left to the Tariff Submitter consistent with FERC regulations.

eTariff Filings Process Flow through the FERC eFiling Web Portal

DIAGRAM

The following is a high level diagram representing the overall process flow from the creation of an eTariff XML filing package by a Tariff Submitter through the Office of the Secretary (OSEC) acceptance or rejection of the filing. Following the diagram is a more detailed description of the submission to FERC and the processing the eTariff XML filing package.



Description of eTariff Filing Process Flow

Disclaimer:

The following summary represents FERC Staff's best understanding of how the eFiling process, including eTariff, will be designed. As of January 2008 the process has not been built, or fully designed, therefore FERC may change the process.

The FERC's eFiling *Reference Guide*, located at www.ferc.gov, provides a step-by-step set of instructions and expected results for the eFiling process.

- A User is a person authorized to submit a filing on behalf of a Tariff Submitter, as defined in NAESB WGQ Standard No. 011-2.1 and NAESB WEQ Business Practice Standard WEQ-014-0.3. The User must be an eRegistered party for eFiling.
- The User will login into the FERC eFiling portal.
- The User, upon successfully logging into the FERC eFiling portal, will be presented with the introductory screen indicating success in accessing the site, and presented with a link to the filing creation part of the site.
- Upon entering the filing creation site, the User will choose to make an eTariff filing.
- The eTariff portal will prompt the User to enter company login information (see Note 1 below). After successfully passing this step, the User will upload an eTariff XML filing package.
- Once the filing is uploaded, the eFiling web page indicates the Tariff Filing has been submitted.
- After the filing has been submitted, OSEC will send a Confirmation of Receipt e-mail to the User and to the e-mail address on file with FERC for the company that logged in. This e-mail only acknowledges the receipt of the filing through the eFiling portal, provides a timestamp, and indicates that the filing is placed in the queue to be processed.
- The eTariff XML filing package will be validated programmatically by an eTariff verification process.
 - If the XML is unreadable, an e-mail will be sent by OSEC to the User and to the e-mail address on file with FERC for the company logged-in (as a result of the XML being unreadable, the Validation e-mail address contained in the XML package cannot be obtained).
 - If the verification is completed successfully, an e-mail will be sent to the Validation e-mail address provided in the eTariff XML package and to the e-mail address associated with the Company Identifier (or multiple Company Identifiers, as applicable (see Note 2 below)) for the affected database. This does not mean that the filing has been accepted by OSEC.
 - In the event the XML filing package can be read and the Validation e-mail can be obtained, but the data does not pass verification, (an e-mail will be sent to the Validation e-mail address provided in the eTariff XML filing package. This e-mail will provide information about the problems encountered during the verification process.
- FERC's OSEC will send an e-mail to the User and the e-mail address on file with FERC for the company logged in. The e-mail will indicate that either the filing:

- Has been accepted through OSEC's process for filing and docketed (which does not guarantee that other filing deficiencies will not result in rejection later in the review processes within FERC). At this time the filing is passed on to eLibrary, eTariff and other FERC systems; or
- Has been rejected and not docketed (see Note 3 below).

Notes:

- (1) As of January 2008, the FERC staff does not know whether the company that logs-in will be required to correlate to the company identified by the Company Identifier in the XML package).
- (2) As of January 2008, the FERC Staff does not know how joint filings will be handled. A "Joint Filing" refers to a Tariff Filing made on behalf of multiple parties with an identical tariff, rate schedule, or service agreement that is part of a single XML filing package. This is different from a shared tariff, rate schedule, or service agreement that refers to any situation where multiple parties are allowed to add or change the contents of a specific tariff, rate schedule, or service agreement, which is associated with one company_id.
- (3) If the filing is rejected at any point prior to receiving a docket number, the filing can be corrected and re-submitted using the same Filing Identifier. Once it is docketed it becomes part of the public record, the Filing Identifier cannot be re-used.

eTariff Submission Dataset Overview:

The eTariff Submission dataset consists of a Data Dictionary that contains three data tables, as more fully explained below. The data tables explain the data elements used when creating a single Tariff Filing. The dataset also includes Code Value Dictionaries used for populating some data elements with standardized code values. Once the Tariff Submitter has completed all of the requirements for the various data elements, the data will need to be compiled into a single XML file pursuant to the XML schema contained in the technical section below, and then zipped for submission to FERC via the eFiling / eTariff web portal.

Data Dictionary Data Tables Overview:

The eTariff Submission Data Dictionary consists of the following three data tables, which are presented in hierarchical order:

Filing Data Table:

This table includes, but is not limited to, the data elements that identify the company making the Tariff Filing, the Type of Filing, and the name of the database that is being created, modified, or cancelled. A single Tariff Filing may only have one set of Filing Data. The data in this table is required for each Tariff Filing.

Attachment Data Table:

This table includes, but is not limited to, the data elements that describe each of the attachments (e.g., transmittal letter, redline and clean versions of a tariff, rate schedule, or service agreement or portions thereof, and supporting materials) regardless of whether they are required or optional for the given Type of Filing, as set forth in the FERC rules and regulations. Currently, all Type of Filings will have at least one attachment and thus at least one set of attachment data elements (e.g., the transmittal letter).

Tariff Record Content Data Table:

This table includes, but is not limited to, the data elements that are used to uniquely identify the individual Tariff Records being submitted, the proposed effective date, the order in which the Tariff Records should be assembled, and the binary data and plain text for each Tariff Record. A single Tariff Filing may have multiple sets of Tariff Record Content Data. Based on the Type of Filing there may or may not be any Tariff Record Content Data.

Data Element Overview:

The data elements are the individual pieces of information or data that make up the Tariff Filing. Each will have a defined format, may be required, conditional or optional and may have restricted values. A data element may contain text or an electronic file (e.g., a .PDF file) as more fully explained in this implementation guide. An explanation of the individual data elements is provided in the data table portion of this implementation guide. In such tables, for each data element, the following information is provided:

- Business Name
- Element Name (this is the corresponding technical (metadata) name used in the XML schema)
- Definition of Data Element
- Field Format (length)
- Valid Values
- Usage / Responsibility and Conditions

Details of Individual Data Elements:

The following are the individual data elements provided in the same order as they appear in the Data Tables:

Note: For additional information on each data element, e.g., formatting requirements, see the definitions and other requirements as set forth in the data tables.

Filing Data Table Data Elements:

Schema Version:

This is the version of the XML schema used to create the specific Tariff Filing. The Schema Version and the actual schema will be published on the FERC website located at www.ferc.gov. Any changes to the schema will be made through a FERC notice or order.

Company Identifier:

A FERC-designated company identifier code used to define an entity registered with FERC to make Tariff Filings. To acquire a company identifier code, a company should apply at FERC's Online Company Registration application, located at www.ferc.gov.

Tariff Identifier:

A unique identifier for a Tariff Submitter's database as it pertains to the database being modified by a Tariff Filing. A Tariff Submitter may have more than one active database. A database may contain one or more tariffs, rate schedules, or service agreements. A Tariff Identifier is supplied by the Tariff Submitter. Once a Tariff Identifier in a Tariff Filing has been accepted for filing by the Office of the Secretary (OSEC), it cannot be changed. A Tariff Identifier cannot be reused if cancelled.

Tariff Title:

The name of the database assigned by the Tariff Submitter. The name of the database may not be changed. It is suggested that the Tariff Submitter's name not be included in the Tariff Title, as the Tariff Submitter's name is captured by the Company Identifier.

Filing Identifier:

A unique number identifying the subject Tariff Filing. The Tariff Submitter assigns the value. Filing Identifiers do not have to be assigned sequentially from one filing to the next. If a Tariff Filing is rejected by OSEC prior to being docketed, the Filing Identifier may be reused.

Filing Title/Description:

The title given to the filing by the Tariff Submitter. Additional instructions may be published on the FERC website or via FERC notice or order. This data element will be used in eLibrary as part of the description of the Tariff Filing. The description may be edited by the OSEC before or after posting in eLibrary.

Type of Filing Code:

A numeric code that identifies the Type of Filing being made as defined by FERC regulation. Only one Type of Filing can be submitted in a single Tariff Filing. The Type of Filing will dictate the data requirements for the subject filing. A list of allowable codes will be published on the FERC website located at www.ferc.gov, with changes communicated via a FERC notice or order. FERC will provide this information in CSV

(comma separated value) and PDF formats which will be updated as regulations are modified. The Commission will use the Type of Filing Code together with the Tariff Record Proposed Effective Date to establish whether a filing is statutory and the applicable statutory timelines.

Associated Filing Identifier:

Identifies the previous filing, if any, to which the subject filing pertains. The value provided is the Filing Identifier for the previous filing. When Associated Filing data is required, only one Associated Filing number can be provided.

Validation e-mail:

An e-mail address provided by the Tariff Submitter for notification of the results of the technical validations from the eTariff verification process. The Validation e-mail address does not have to be eRegistered with FERC.

Payment Confirmation Code:

For certain Type of Filings, the regulations require that a fee be paid along with the Tariff Filing. The payment of such fee is made at www.pay.gov through the FERC's Online eFiling page. The Payment Confirmation Code will be the Accession Number provided on FERC's Online pay.gov confirmation screen when successful payment is made. It is suggested that the Tariff Submitter be familiar with the FERC's Online www.pay.gov procedures or pre-pay a set of fees prior to making the Tariff Filing with FERC to avoid last minute delays that may prevent a timely filing.

Suspension Motion:

As of January 2008, this data element is only applicable to certain Part 154 filings made by interstate natural gas pipelines. It is not applicable to the electric or oil industries. This data element indicates whether or not the Tariff Records should automatically go into effect at the end of the applicable suspension period. If the value provided is no ("N"), the status of the Tariff Record will remain "Suspended" until such time as the Tariff Submitter files an appropriate motion filing. If the value provided is yes ("Y"), FERC's eTariff maintenance will automatically change the status from "Suspended" to "Effective" at the end of the suspension period with no further action required of the Tariff Submitter.

Attachment Data Table Data Elements:

Attachment Reference Code:

The data code identifies the type of attachment based on the Type of Filing. A list of allowable codes will be published on the FERC website located at www.ferc.gov, with changes communicated via a FERC notice or order. FERC will provide this information in CSV and PDF formats which will be updated as regulations are modified. This data element must be completed for each required attachment, regardless of whether a waiver is requested for the subject attachment. Other attachments should use the Attachment Reference Code provided for "Other".

Attachment Description:

This is the description of the individual attachment. For attachments that are pre-defined by FERC's regulations, the description should be the FERC pre-defined description. For attachments that are added by the Tariff Submitter that are "Other", the description can be any value desired. The Attachment Description is not required if a

waiver has been requested for the subject attachment. The Attachment Descriptions provided will be displayed in eLibrary. Additional instructions regarding this data element may be published on the FERC website or via FERC notice or order.

Attachment Waiver Requested:

This data element indicates whether or not a waiver is requested. A FERC table providing rules for attachments is located at www.ferc.gov. This table indicates whether an attachment for a given Type of Filing can be waived. If an attachment is provided, the field is filled with no (“N”). If a waiver for the attachment is allowed, and the Tariff Submitter wants to request a waiver, the field is filled with a yes (“Y”). If “Y” is chosen, there is no need to attach the corresponding attachment. The Waiver Request code is solely for the purpose of passing the OSEC’s electronic filing validation checks. The actual request for waiver of the FERC’s regulations and supporting documentation must be provided in the transmittal letter.

Attachment Document File Name:

This is the actual file name for the identified attachment provided by the Tariff Submitter. The file name is the name of the individual electronic document, including the extension. The name is chosen by the Tariff Submitter, unless otherwise provided in FERC instructions. The OSEC’s file name extension rules will be enforced. The Attachment Document File Name will appear in eLibrary. The Attachment Document File Name is not required if a waiver has been requested for the subject attachment.

Attachment Document:

This is the content of the actual attached document in a base64 bit encoded binary file. This binary file is in the native format of the saved file generated from the word processing software, or other FERC approved software format(s), in which the attachment was written. Base64 bit encoding is an additional step that must be applied to the binary file, using encoding software, enabling the file to be inserted into the XML. The Attachment Document is not required if a waiver has been requested for the subject attachment.

All Tariff Filing attachments must meet the same rules and requirements applicable to any document filed with FERC through its eFiling portal. Instructions with regard to the electronic format and content of electronic documents will be published on the FERC website located at www.ferc.gov or via FERC notice or order. However, the eTariff verification process does not enforce these rules, which are subject to other FERC processes.

A clean copy of the proposed tariff, rate schedule, or service agreement for posting in eLibrary is required for all Tariff Filings. The guidelines for this document are as follows:

Guidelines for the attachment that represents the clean copy of the proposed tariff, rate schedule, or service agreement, or portion thereof, for posting in eLibrary:

1. The electronic version of the clean copy of the proposed tariff, rate schedule, or service agreement, or portion thereof, must conform with the OSEC’s guidelines for electronically filed text documents, located at www.ferc.gov.

2. No information is required in the header or footer of the clean tariff, rate schedule, or service agreement, or portion thereof, to be posted in eLibrary. At its discretion, a Tariff Submitter may include information in the header or footer.
3. When using Whole Document Format and the Record Binary Data is submitted in PDF, a title page should be included containing the following information:
 - a. Tariff Submitter
 - b. FERC Tariff Program name. The current programs are:
 - i. FERC FPA Electric Tariff
 - ii. FERC PA Electric Tariff
 - iii. FERC NGA Gas Tariff
 - iv. FERC NGPA Gas Tariff
 - v. FERC ICA Oil Tariff
 - c. Tariff Title
 - d. Tariff Record Proposed Effective Date
 - e. Tariff Record Title
 - f. Option Code
 - g. Other information as the FERC may require by notice or order
4. The attachment that is the clean copy for posting in eLibrary must be identical with that provided in the Record Binary Data with the exception of the text in the header or footer information.

Attachment Content Type Code:

This is the numeric code representing the software format of the specific attachment. A list of allowable codes will be published on the FERC website located at www.ferc.gov with changes communicated via a FERC notice or order. FERC will provide this information in CSV and PDF formats which will be updated as necessary. The Attachment Content Type Code is not required if a waiver has been requested for the subject attachment.

Attachment Security Level:

This code is used to indicate the level of security for the specific attachment. For example, the code indicates whether the attachment is Public, Privileged, or if Critical Energy Infrastructure Information (CEII) classification is being requested. Certain attachments are required to be Public; however, those attachments may be submitted in redacted form along with an un-redacted copy of the attachment. Additional instructions may be published on the FERC website located at www.ferc.gov or via FERC notice or order. The Attachment Security Level is not required if a waiver has been requested for the subject attachment. Documents provided with a public (redacted) and non-public levels of security should use the same Attachment Reference Code for each attachment.

Tariff Record Content Data Table Data Elements:

Tariff Record Identifier:

This data element is a numeric value assigned by the Tariff Submitter to uniquely identify each Tariff Record. This identifier will not change with each revision within a given Tariff Record. The Tariff Record Identifier does not have to be sequential.

Option Code:

This data element permits a Tariff Submitter to propose alternate sets of Tariff Records (Option Sets) in a single Tariff Filing, with a request that FERC determine which Option Set to accept (i.e., place into effect). For each set of Tariff Records, the Tariff Submitter proposed options must start with “A” and increment sequentially through the alphabet, i.e., the Tariff Record can not have an option designated as “A” and another option designated as “C” without having an option of “B”. If no alternative Options Sets are being proposed, the value for this data element would be an “A”. Each Option Set must contain all Tariff Records for the relevant Tariff Filing even if some of the Tariff Records are identical across the Option Sets. For Tariff Filings with multiple Option Sets, the Tariff Submitter should make Option “A” its primary proposal. If the Type of Filing Code provides for a statutory period and the Commission does not formally act, Option “A” will be deemed Accepted and all other Options deemed Rejected. If FERC accepts tariff text from various Option Sets, it will require a compliance filing.

Tariff Record Title:

The Tariff Record Title is chosen by the Tariff Submitter for the individual Tariff Record. The Tariff Record Title may be changed in a subsequent Tariff Filing. If the Whole Document Format is used, the Tariff Record Title of the tariff, rate schedule, or service agreement should reflect the existing FERC naming conventions e.g., FERC Electric Tariff Volume Number 1, Rate Schedule X-5, Service Agreement No. 4 Under Tariff Volume No. 3.

Record Content Description:

This is a textual description of the Tariff Record. When the database is assembled, this field may be used to generate the database Table of Contents. The Record Content Description may be changed in a subsequent Tariff Filing.

Record Version Number:

This is a representation of the version (designation) of the Tariff Record, in the format of x.y.z, where “x” represents revision number for the given Tariff Record, “y” delineates that it is a substitute for a previously filed Tariff Record, and “z” indicates that it is a “squeeze” Tariff Record. A “squeeze” Tariff Record occurs when a Tariff Record needs to be made effective on a date which occurs between the effective dates of two Tariff Records with the same Tariff Record Identifier already on file with FERC. Commonly, this occurs when a Tariff Record is suspended and subsequent Tariff Records need to be made effective prior to when the suspended Tariff Record becomes effective. The Tariff Submitter may choose to use only “x” for all revised, substitute, and squeezed Tariff Records. In that case, the “y” and “z” should be zero.

This information is not used to determine actual status of a Tariff Record. This field will not be checked by the eTariff verification process. FERC will not use it in any automated fashion. This field is provided for ease of business and FERC referencing and will only be used for display.

Guidelines for the Record Version Number:

1. Each version of a Tariff Record must have a unique Record Version Number.
2. The “x”, “y” and “z” components:
 - are integers

- begin with 0.0.0
 - increment separately by one
3. Record Version Numbers are not required for the following Type of Filings and Tariff Record changes:
- Withdrawal
 - Motions to place Tariff Records into effect or delay effectiveness

Record Narrative Name:

This is an optional data element that provides the Tariff Submitter the ability to include an additional narrative description of the Tariff Record. As of January 2008, FERC has not determined how this information will be utilized.

Tariff Record Collation Value:

This is a value provided by the Tariff Submitter that determines the order in which the Tariff Records are compiled. In other words, it will provide the appropriate sequencing of the Tariff Records. For each Tariff Record:

- Use a unique Tariff Record Collation Value, and
- It is recommended that in the preparation of a new database, a sufficient gap (e.g., increments of 1,000) be provided between the collation values to allow for future insertion of new Tariff Records.

A Tariff Record Collation Value may be modified as part of another Tariff Filing.

Example:

Tariff Record	Collation Value
Common Service Provisions	2000
Definitions	3000
Table of Contents	1000

The Tariff Records would be assembled in the following order:

Table of Contents
Common Service Provisions
Definitions

Tariff Record Parent Identifier:

The Tariff Record Parent Identifier provides the hierarchical structure to identify the higher-level part of the database to which the subject Tariff Record belongs.

When a database is first organized, thought should be given to how the electronic Table of Contents will appear. A Tariff Record that has no parent has a Tariff Record Parent Identifier of "0", i.e., top level record. If the value provided is not "0", it must be a valid Tariff Record Identifier of another Tariff Record. It is suggested by FERC that no more than 7 levels under a top level record be used.

A Tariff Record Parent Identifier may be modified as part of another Tariff Filing.

Tariff Record Proposed Effective Date:

This indicates the date the given Tariff Record is proposed to go into effect. It is used to determine which version of a Tariff Record change is effective in accordance with

applicable law, regulations and business practices. The data in this field is subject to FERC review and disposition, which will impact the status of a Tariff Record for any given period of time. The Commission will use the Type of Filing Code together with the Tariff Record Proposed Effective Date to establish whether a filing is statutory and the applicable statutory timelines.

If the effective date is not known at the time of the filing, such as the effective date is contingent on FERC approval, the closing of a plant sale, etc., the date of 12/31/9998 must be used. Use of this option may have regulatory consequences depending on the FERC Tariff Program.

Changing a Tariff Record Proposed Effective Date requires a Tariff Filing.

Record Effective Priority Order:

A positive integer assigned by the Tariff Submitter that indicates the order of multiple changes for a given Tariff Record (i.e., the same Tariff Record Identifier) proposed to go into effect on the same date. The Tariff Record with the highest Record Effective Priority Order will supersede any other Tariff Records with the same Tariff Record Identifier also proposed to be effective for that date. The value must be unique across Tariff Records with the same Tariff Record Identifier and Tariff Record Proposed Effective Date. It is recommended that the default Record Effective Priority Order value be set relatively high, e.g., 500, thereby allowing subsequent Tariff Filings with Record Effective Priority Orders either before or after the initial Record Effective Priority Order.

Record Content Type Code:

This is the numeric code representing the software format of the specific Record Binary Data. A list of allowable codes will be published on the FERC website located at www.ferc.gov with changes communicated via a FERC notice or order. FERC will provide this information in CSV and PDF formats which will be updated as necessary.

Record Binary Data:

This is the content of the Tariff Record in a Base64 bit encoded binary file. This binary file is in the native format of the saved file generated from the word processing software, or other FERC approved software format(s), in which the Tariff Record content was written. Base64 bit encoding is an additional step that must be applied to the binary file, using encoding software, enabling the file to be inserted into the XML.

All Record Binary Data must meet the same rules and requirements applicable to any document filed with FERC through its eFiling website. Instructions with regard to the electronic format and content of electronic documents will be published on the FERC website located at www.ferc.gov or via FERC notice or order. However, the eTariff verification process does not enforce these rules, which are subject to other FERC processes.

Record Plain Text:

This is the plain text version of the content of the Record Binary Data. Formatting and other binary values are stripped from this content. This field will be used for searching and indexing.

Record Change Type:

This data element indicates the type of change / revision / maintenance action being requested for the Tariff Record, e.g., new, change, cancel, etc. Some Type of Filings are restricted to the choice of Record Change Types.

Business descriptions of the Record Change Types are as follows:

- NEW:** To create a new Tariff Record Identifier.
- CHANGE:** To change an existing Tariff Record. Modifications to a Tariff Record that has been cancelled may be made if the Tariff Record Proposed Effective Date is prior to the cancellation date.
- CANCEL:** Used to cancel a Tariff Record Identifier. Once cancelled, the Tariff Record Identifier cannot be changed with a filing that contains a Tariff Record Proposed Effective Date that is after the accepted date of cancellation. Cancellation of a Tariff Record Identifier that is a Tariff Record Parent Identifier will automatically cancel all related child Tariff Record Identifiers.

Cancellation of a Tariff Record Identifier should not be confused with cancelling a Tariff Identifier, which requires the submission of a cancellation Type of Filing.

- WITHDRAW:** Used to withdraw a pending or suspended Tariff Record. The withdrawal of a “NEW” Tariff Record Parent Identifier will automatically cancel all “NEW” children. Withdrawal 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 will result in a verification error and OSEC rejection. Depending on the program, withdrawal’s effectiveness may be reflected automatically by FERC’s eTariff database maintenance. At a minimum, the Tariff Submitter needs to provide the following data elements:

- Tariff Record Identifier
- Option Code
- Record Change Type
- Associated Filing Identifier
- Associated Record Identifier
- Associated Option Code

- PRO FORMA:** Used to submit a Tariff Record proposal without invoking statutory processing timelines. The Tariff Submitter should include a Tariff Record Proposed Effective Date, which is used for database maintenance. Pro Forma Tariff Records cannot be converted to effective Tariff Records by FERC, and should be resubmitted as actual Tariff Records.

Associated Filing Identifier:

Used to provide the Tariff Filing Identifier associated with a previously filed Tariff Record that the subject Tariff Record replaces. This field is only populated when the Associated Filing Identifier data element (in the Filing Data Table) is populated. This

data element is used in conjunction with the Associated Record Identifier and the Associated Option Code (below). This is not applicable to all Type of Filings.

An Associated Filing Identifier for the subject Tariff Record does not have to be the same as the Associated Filing at the filing level used in this Tariff Filing.

Amendment and Compliance Type of Filings permit multiple Associated Filing Identifiers, however only one Associated Filing Identifier may be provided for each Tariff Record.

Associated Record Identifier:

This field is used in conjunction with the Associated Filing Identifier and the Associated Option Code to provide the Tariff Record Identifier of the Tariff Record which the subject Tariff Record replaces. It should refer to a Tariff Record Identifier in a previous filing, and this value should be that record's Tariff Record Identifier.

Associated Option Code:

This field is used in conjunction with the Associated Filing Identifier and the Associated Record Identifier. The value should be the correct Option Code for the Associated Record Identifier.

DATA DICTIONARY

NAESB WGQ Standard No. 11.4.1 and NAESB WEQ Business Practice Standard WEQ-014

Introduction

The following three Data Tables make up the Data Dictionary for electronic Tariff Filings. Conceptually, the purpose of each table is:

- Filing Data - describes the overall filing.
- Attachment Data - supporting documents required by specific Type of Filing or additional documents supplied by the Tariff Submitter.
- Tariff Record Content Data - the actual “text” or “content” of the tariff, rate schedule, or service agreement along with its associated metadata.

The data elements contained in the three data tables are presented in the order in which they appear in the XML schema.

Filing Data

This data defines the Tariff Filing and this data will be provided with each Tariff Filing.

Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Schema Version	schema_version	The version of the XML schema used to create the specific Tariff Filing.	Numeric (10)	Any number between 1 and 2,147,483,648	Required.
Company Identifier	company_id	A FERC-designated Company Identifier code used to identify an entity required to submit Tariff Filings to FERC pursuant to Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by FERC.	Alphanumeric (10)	Free form text	Required. Assigned by FERC and provided in the Tariff Filing by the Tariff Submitter.
Tariff Identifier	tariff_id	A unique identifier for the Tariff Submitter's database assigned by the Tariff Submitter as it pertains to the database being modified by the Tariff Filing. This can be any value in the allowable range of numbers, but it must be unique for each Tariff Submitter's database. A Tariff Submitter may have more than one active database.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned and provided by the Tariff Submitter. The Tariff Identifier of the database cannot change.
Tariff Title	tariff_title	The name of the database assigned by the Tariff Submitter.	Alphanumeric (100)	Free form text.	Required only when creating a new database. After the initial submission, the Tariff Identifier is used, and this data element may be left blank. Assigned and provided by the Tariff Submitter. The Tariff Title of the database cannot change.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Filing Identifier	filing_id	A unique identifier for the subject Tariff Filing for the Tariff Submitter.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned and provided by the Tariff Submitter. This can be any value in the valid range of numbers, but it must be unique across all Tariff Filings for a specific Tariff Submitter.
Filing Title / Description	filing_title	The title given to the Tariff Filing by the Tariff Submitter.	Alphanumeric (80)	Free form text.	Required. Assigned and provided by the Tariff Submitter. This will not be used in FERC's eTariff system and will be used in eLibrary.
Type of Filing Code	filing_type	A code that identifies the specific FERC defined type of Tariff Filing as set forth in Title 18 Code of Federal Regulations Parts 35, 154, 284, 300, 341 or other Parts as required by the Commission (e.g., initial, compliance, surcharge, etc.). The Type of Filing will dictate the data requirements for the subject filing	Numeric (10)	See list of codes posted @ www.ferc.gov	Required.
Associated Filing Identifier	associated_filing_id	The Filing Identifier for the previous Tariff Filing to which the subject filing pertains (i.e., associated).	Numeric (10)	Any number between 1 and 2,147,483,648	Conditional. Assigned and provided by the Tariff Submitter. This is not applicable to all Type of Filings. Where it is used, it must refer to a previous Tariff Filing, and the value should be that previous Tariff Filing's "filing_id" value. An example might be the subject Tariff Filing is a compliance (or withdrawal) filing and the previous, applicable Tariff Filing to which it pertains must be identified in this field.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Validation e-mail	validation_email	The e-mail address provided by the Tariff Submitter for notification of whether the Tariff Filing meets the technical requirements such that it can be passed on to the OSEC for further processing.	Alphanumeric (100)	Free form text	Required.
Payment Confirmation Code	pay_confirm_code	The confirmation Accession Number for the associated fee that has been previously submitted via FERC's Online www.pay.gov, as applicable.	Alphanumeric (15)	FERC Accession Number in nnnnnnnn-nnnn format	Conditional based on the Type of Filing. Required if payment is required by the regulations. Provided by the Tariff Submitter.
Suspension Motion	suspend_motion	An indication of whether or not the Tariff Records should automatically go into effect at the end of the applicable suspension period.	Character (1)	"Y" or "N"	Conditional based off of Type of Filing. Provided by the Tariff Submitter.

Attachment Data

This defines data for each supporting / attached document that is either (1) being provided with the Tariff Filing or (2) for which a waiver is requested.

Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Attachment Reference Code	att_ref_code	The FERC assigned reference code for each attachment type.	Numeric (10)	See list of codes posted @ www.ferc.gov	Required. Provided by the Tariff Submitter. If the attachment pertains to a specific document defined for the Type of Filing, the appropriate document reference code must be used. Note: The code may be different for each Type of Filing.
Attachment Description	att_desc	The title given to the attachment submitted by the Tariff Submitter.	Alphanumeric (80)	Free form text.	Required. For attachments that are pre-defined by FERC's regulations, the description will be the FERC pre-defined description. For other attachments that are added by the Tariff Submitter, the description can be any value desired. These descriptions will be displayed in eLibrary as assigned and provided by the Tariff Submitter.
Attachment Waiver Requested	att_waiver_request	An indication of whether or not the Tariff Submitter is requesting a waiver for submission of the attachment specified as required by the Attachment Reference Code.	Character (1)	"Y" - waiver is requested "N" or " " - waiver not requested	Conditional on the Type of Filing – required for those attachments that are required by regulations. Assigned and provided by the Tariff Submitter. For each document that is requested to be waived, the Attachment Reference Code (above) is provided, and a value of "Y" is entered here. If an actual document is being provided, this value should be "N" or " ".

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Attachment Document	att_binary_data	This is the actual document content.	Binary (50 MB)	Binary Base64 bit encoded file content	Conditional on the Type of Filings. Required if Attachment Document is required by regulation and waiver of such is not requested in the field "Attachment Waiver Requested." Provided by the Tariff Submitter.
Attachment Document File Name	att_filename	The complete file name, including the extension, assigned by the Tariff Submitter of the Attachment Document being attached.	Alphanumeric (60)	Free form text. Must not include ? / * \ " ' > or <.	If the Attachment Waiver Requested is "Y", Attachment Document File Name is not required. Assigned and provided by the Tariff Submitter if not otherwise pre-defined by FERC's regulations or instructions. This file name will be used to identify the document and the extension will be used for retrieval purposes. Valid file names cannot include special characters such as: ? / * \ " ' > <
Attachment Content Type Code	att_content_type_code	The numeric code representing the software format of the specific Attachment Document.	Numeric (10)	See list of codes posted @ www.ferc.gov	Conditional, required when the Attachment Document is provided.
Attachment Security Level	att_security_level	The level of security requested for the specific attached document corresponding to the applicable Attachment Document.	Character (1)	"P" - Public "M" - Privileged "X" - Critical Energy Infrastructure Information See list of codes posted @ www.ferc.gov	Conditional based on Type of Filing. Required when the Attachment Document is provided. Certain Attachment Documents are required to be Public. Assigned and provided by the Tariff Submitter.

Tariff Record Content Data

This provides the data for each Tariff Record.

Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Tariff Record Identifier	record_id	An identifier for the Tariff Record within a given database that will not change as a result of revisions to the content of the Tariff Record (with same or different effective dates). No two different Tariff Records in the same database may have the same Tariff Record Identifier.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned by the Tariff Submitter. Each Tariff Record in the database has an associated Tariff Record Identifier number that does not change with each revision within a given database. The Tariff Record Identifier is not used for collation and does not have to be assigned sequentially.
Option Code	option_code	An identifier that designates the alternative Tariff Record option being submitted. An identifier that designates the primary Tariff Record as "A" and designates all alternative Tariff Record options being submitted, if any, sequentially in alphabetic order.	Character (1)	"A" thru "Z" allowed.	Required. Provided by the Tariff Submitter. Default (no more than one option is provided) is "A".
Tariff Record Title	record_title	The name of the Tariff Record contents.	Alphanumeric (60)	Free form text.	Required, if Tariff Record is a first-level Parent or in a Whole Document Format. Optional in other cases. Assigned by the Tariff Submitter. This field may be used in a database generated Table of Contents.
Record Content Description	record_content_desc	Textual description of the Tariff Record.	Alphanumeric (25)	Free form text.	Required. Assigned by the Tariff Submitter. This field may be used in a database generated Table of Contents.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Record Version Number	record_version_num	A representation of the version (designation) of the Tariff Record.	Alphanumeric (10)	x.y.z x = revision number y = substitute number z = "squeezed" number	Conditional based on Type of Filing. This information is not used to determine actual status of a Tariff Record. It is not used in any automated fashion other than display (possibly in the table of contents). This data is provided for ease of business and FERC referencing only.
Record Narrative Name	record_narrative_name	An additional narrative description of the Tariff Record.	Alphanumeric (254)	Free form text	Optional.
Tariff Record Collation Value	collation_value	A value that will determine the sort order in which the Tariff Records are merged.	Numeric (25)	Any number between 1 and 2,147,483,648	Required. Assigned by the Tariff Submitter.
Tariff Record Parent Identifier	record_parent_id	Provides the hierarchical structure to identify the higher-level part of the database to which this Tariff Record belongs.	Numeric (10)	Any number between 0 and 2,147,483,648	Required. Assigned by the Tariff Submitter. If the Tariff Submitter chooses not to use the functionality of this field, they must still populate the field with "0". Otherwise, the value must be a valid Tariff Record Identifier.
Tariff Record Proposed Effective Date	proposed_effective_date	The proposed effective date for the specified Tariff Record.	Date (10)	YYYY-MM-DD	Required. Assigned by the Tariff Submitter.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Record Effective Priority Order	priority_order	A positive integer that directs which of multiple changes of a given Tariff Record (the same Tariff Record Identifier) proposed to go into effect on the same day, will take precedence, i.e., the Tariff Record with the highest numeric value will supersede any other Tariff Records with the same Record Identifier also proposed to be effective for that day.	Numeric (10)	Any number between 1 and 2,147,483,648	Required. Assigned by the Tariff Submitter. Default value should allow for priority values below and above the Tariff Record of a specific Tariff Record Proposed Effective Date initial value (for example: 500). The value must be unique for a specific Tariff Record for a specific Tariff Record Proposed Effective Date. When the current database is assembled for a particular effective date and there are multiple Tariff Records with the same Record Identifier and the same effective date, the approved Tariff Record for that effective date with the highest Record Effective Priority Order number will be the effective Tariff Record.
Record Content Type Code	record_content_type_code	The version of the software used to create the specific Tariff Record.	Numeric (10)	See list of codes posted @ www.ferc.gov	Conditional based on Type of Filing and/or structure of database. Provided by the Tariff Submitter.
Record Binary Data	record_binary_data	The actual Tariff Record content.	Binary (10 MB)	Binary Base64 bit encoded file content	Conditional based on Type of Filing and/or structure of database. Provided by the Tariff Submitter.
Record Plain Text	record_plain_text	The plain text version of the content of the Record Binary Data. Formatting and other binary values are stripped from this content.	Alphanumeric (10 MB)	Free form text	Conditional based on Type of Filing and/or structure of database. Provided by the Tariff Submitter.
Record Change Type	record_change_type	A description of the type of change being requested.	Alphanumeric (15)	See Code Values Dictionary	Required. Assigned by the Tariff Submitter. Used to identify the appropriate Tariff Record maintenance action. Some Type of Filings restrict the choice of Record Change Types.

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Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
Associated Filing Identifier	associated_filing_id	<p>The Tariff Filing Identifier associated with a previously filed Tariff Record which the subject Tariff Record replaces.</p> <p>Note: This is used in conjunction with the Associated Record Identifier and the Associated Option Code (below).</p>	Numeric (10)	Number between 1 and 2,147,483,648 used by the Tariff Submitter in a previous Tariff Filing	<p>Conditional.</p> <p>Assigned by the Tariff Submitter.</p> <p>This is not applicable to all Type of Filings. Where the Type of Filings permits or requires its use, it must refer to a previous Tariff Filing, and the value should be that previous Tariff Filing's Filing Identifier.</p>
Associated Record Identifier	associated_record_id	<p>This is used to associate the specific content with a previously filed Tariff Record. For example, withdrawal Tariff Filings must identify the content being requested to be withdrawn.</p> <p>Note: This is used in conjunction with the Associated Filing Identifier (above) and the Associated Option Code (below).</p>	Numeric (10)	Number between 1 and 2,147,483,648 used by the Tariff Submitter for the targeted Tariff Record Identifier	<p>Conditional.</p> <p>Assigned by the Tariff Submitter.</p> <p>This is not applicable to all Type of Filings. Where it is used, it must refer to a Tariff Record Identifier in the associated filing.</p>
Associated Option Code	associated_option_code	<p>An identifier that designates the alternative associated record option of a previously filed Tariff Record.</p> <p>Note: This is used in conjunction with the Associated Filing Identifier and the Associated Record Identifier (above).</p>	Character (1)	"A" thru "Z" used by the Tariff Submitter for the targeted Tariff Record Identifier	<p>Conditional.</p> <p>Assigned by the Tariff Submitter.</p> <p>Where it is used, the value should be the applicable Option Code value for the Associated Record Identifier.</p>

Code Values Dictionaries and FERC Reference Tables

Certain data elements need to be populated with standardized responses (code values). Some of these data elements lend themselves to simple code value tables as provided below. For others, FERC will provide reference tables in a downloadable CSV file. After the following data element code values tables is an extensive explanation of the FERC reference tables.

Data Element: Attachment Waiver Requested

Code Value	Code Value Description
N	No, a waiver of the attachment is not being requested.
Y	Yes, a waiver of the attachment is being requested.

Data Element: Option Code

Code Value	Code Value Description
A	Default for the primary Tariff Record.
B, C, through Z	Subsequent codes used for alternatives and must be provided in alphabetical order.

Data Element: Record Change Type - (code values is case sensitive)

Code Value	Code Value Description
CANCEL	Used to cancel a Tariff Record Identifier.
CHANGE	Used to change an existing Tariff Record.
NEW	Used to create a new Tariff Record Identifier.
PRO FORMA	Used to submit a Tariff Record proposal without invoking statutory processing timelines.
WITHDRAW	Used to withdraw a pending or suspended Tariff Record.

Data Element: Suspension Motion

Code Value	Code Value Description
N	No, the filing should not become effective without a separate filing to request such.
Y	Yes, the Tariff Record(s) should go into effect at the end of the suspension period.

FERC Reference Tables Provided in Downloadable Files

FERC will provide reference tables in downloadable files for the remaining data elements which have standardized code values, as well as to provide information to assist in the development of a Tariff Submitter's document management system and the creation of a Tariff Filing. The downloadable files will contain the appropriate codes to be used to populate the identified XML data elements (schema) and/or contain data that can be used to assist in error processing, provide FERC validation information and/or FERC business rules used to process the Tariff Filing.

This section is composed of three parts:

- (1) A list of the FERC File Downloads and their contents;
- (2) The Format of the FERC File Download Files; and
- (3) A description of the data elements contained in the FERC File Downloads

(1) List of FERC File Downloads

The following is a list of the downloadable files that FERC will post on its website, located at www.ferc.gov. The files listed will be available in CSV and may be provided in PDF formats.

- Type of Filing (`filing_type`) – code values and rules of use
- Attachment Reference Code (`att_ref_code`) – code values and rules of use
- Attachment Content Type Code (`att_content_type_code`) – code values
- Attachment Security Level (`att_security_level`) – code values
- Record Content Type Code (`record_content_type_code`) – code values
- Validation error codes provided by FERC.

(2) Format of the FERC File Downloads

The downloadable files posted on the FERC website will be formatted in CSV. The first row of the 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 the 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 will be enclosed by double-quotes.
- When numeric data contains decimal precision, the decimal point will be included within the field.
- When a field contains no data, the empty field will contain two delimiters next to each other. Note that there will be no blank spaces between the delimiters.

(3) Description of the Data Elements contained in the FERC File Downloads

FERC's Tariff Filing requirements are the function of many statutory, regulatory and business processes. A Tariff Filing must satisfy many rules simply to be considered a filing acceptable for processing by the FERC. How FERC maintains the contents of Tariff Filings 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). FERC has created software for internal purposes of automating the Tariff Filing review process and much of the eTariff maintenance process. It is in the interest of the FERC that Tariff Submitters create electronic Tariff Filings that are compatible with FERC's automated Tariff Filing and eTariff 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 Submitter's document management system to add functionality to the processes and to improve accuracy of the Tariff Filings. FERC will not review or certify any Tariff Submitter's document management system.

Following is a description of each of the downloadable files and the data contained in such files (both eTariff XML data elements and non-eTariff data elements used by FERC). The names of the columns that will be contained in the downloadable files are reflected below and are either shown in **bold** text (XML schema data elements) or in *italics* (non-XML schema data elements).

- **Type of Filing** (*filing_type*) - This file contains **seventeen** columns:
 1. **filing_type** – The values are used to populate the *filing_type* XML data element for the subject Tariff Filing. The statutes, regulations and business rules provide for many different filing types. Every Type of Filing has a unique code that is randomly generated by FERC. It is used to direct the software to a set of data elements that describe that filing type.
 2. *description* – Description of the *filing_type*. In this column FERC will provide its description for each Type of Filing code.
 3. *prog_code*: The “program code” refers to the different FERC Tariff Programs. As of January 2008, FERC has divided the various Type of Filings into five programs which are reflected by the six values below. FERC will allow the Tariff Submitter to determine which Type of Filing codes are relevant based on its FERC Tariff Programs. Within the five programs are dozens of different Type of Filings. The values in this column are defined below:
 - E = Federal Power Act Electric (Traditional Cost of Service and Market Based Rates) Public Utilities
 - F = Power Administrations
 - G = NGA Gas Pipelines
 - K = NGPA 311 Gas Pipelines
 - M = Federal Power Act Electric (Market Based Rate) Public Utilities
 - O= Oil Pipelines

FERC assigns one of the above program codes to a Tariff Submitter at the time the Tariff Submitter registers with FERC as part of the company registration process. The Tariff Submitter can only make Tariff Filings with one of the Type of Filing codes that are under the same program code as the Tariff Submitter.

Note: The program code of “M” is a subset of the “E” program code unique for FPA Tariff Submitters that only sell power at Market Based Rates. 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.

4. *new_type* – This column will indicate either yes (Y) or no (N). This reflects a type of Baseline category Type of Filing that requires both the creation of a new Company Identifier and a new Tariff Identifier. Such filings follow the business process rules of Normal/Statutory type of filing category. A more detailed explanation of the broad category of Baseline is provided below.
5. *refiled_type* – This column will indicate either yes (Y) or no (N). This reflects a type of Baseline category Type of Filing wherein the Tariff Submitter already has a pre-existing database or collection of paper tariffs, rate schedules, or service agreements and is requesting a new Tariff Identifier. Such filings follow the business process rules of Compliance type of filing category. A more detailed explanation of the broad category of Baseline is provided below.
6. *compliance_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Compliance type.
7. *amendment_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Amendment type.
8. *motion_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Motion type.
9. *withdraw_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Withdraw type.
10. *report_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Report type.
11. *cancellation_type* – This column will indicate either yes (Y) or no (N). This reflects a Type of Filing more fully explained below for the broad category of Cancellation type.
12. *suspend_motion_response* – This column will indicate either yes (Y) or no (N). FERC may suspend certain Type of Filings. For some programs, the Tariff Submitter is required to inform FERC whether or not it is submitting a motion to

place suspended Tariff Records into effect at the end of the suspension period. The download file will indicate the Type of Filings requiring such a data element be populated by the Tariff Submitter.

13. *status_change_timeout* – Many Type of Filings must be acted upon by FERC by a certain number of days from the date of the Tariff Filing. This data element shows the number of days from the date of the filing before the FERC internal system will automatically change the status in the absence of a FERC order.
14. *fee_required* – this column will indicate either yes (Y) or no (N). if yes(Y), then this Type of Filing requires a filing fee be made with the Commission.
15. *active_date* – This column will indicate the effective date of the other data elements on the row.
16. *inactive_date* – This column will indicate the retirement date of the other data elements on the row. If there is no known retirement date, the date of 12/31/9998 will appear.
17. *citation* – This column provides the corresponding Citation to FERC regulation. This is a text field that provides the reader with additional information as to the source of the requirement.

Explanation of Type of Filing Categories:

Different Type of Filings have different business processes as required by statute, regulation or business practice. FERC breaks down the dozens of different Type of Filings into eight broad categories that have similar business processes. The eight broad categories are explained below however, not all of them have individual columns in the download file.

The eight broad categories of Type of Filings are defined by FERC as:

- **Baseline** - This category is used for a Type of Filing that requires a new Tariff Identifier. Every Tariff Submitter establishing a new Tariff Identifier must start with a Baseline filing. However, the automated processing is different depending on whether the requested action is “New” or “Refiled” as more fully explained in the description above for the columns “*new_type*” and “*refiled_type*”:
- **Normal/Statutory** - This category is used for a Type of Filing wherein the Tariff Submitter is the proponent of the change(s) in a tariff, rate schedule, or service agreement. This business process rule will be the most commonly used by Tariff Submitters. FERC has rules for some programs, such as when a Type of Filing is appropriate relative to various indices, such as the status of a Tariff Filing or Tariff Identifier. Statutory, regulatory and business rules apply to the status of a proposed change(s) in a tariff, rate schedule, or service agreement. Many of these rules are automated to change the status conditions in the appropriate circumstances. A Type of Filing is a "normal" type if the data in the columns on the download

file for all category types (motion_type, report_type, amendment_type, etc.) are set to "N".

- Compliance - This category is used for a Type of Filing wherein the Tariff Submitter proposes to comply with a FERC order. There is no automated rule to change the status of the Tariff Filing. These status changes will require FERC action.
- Amendment - This category is used for Type of Filings wherein the Tariff Submitter proposes to change a pending Tariff Filing prior to FERC or business process rule action on a Normal/Statutory Type of Filing. A Tariff Submitter cannot amend a filing that FERC 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/Statutory or Amendment Type of Filing. Amendments can be infinitely associated with each other with the same result of modifying the timing of automated action on the associated Normal/Statutory Type of Filing and subordinates it to the Amendment Type of Filing.
- Motion - This category of Type of Filing can only be associated with Tariff Records whose status condition in the FERC eTariff database is "suspended". The only action that a filing in this category can do is to change the Proposed Effective Date of the Tariff Record that is "suspended". Any change in the tariff, rate schedule, or service agreement is ignored. If a Tariff Submitter wishes to change both the status of suspended Tariff Record and tariff, rate schedule, or service agreement, it must file a "Compliance" Type of Filing.
- Withdraw - This category of Type of Filing can only be associated with Tariff Records that are (depending on the program) in the FERC eTariff database in a "pending", "conditional" or "suspended" status condition. Any change in the tariff, rate schedule, or service agreement is ignored. This business process rule may (depending on the program) automatically withdraw the targeted Tariff Record and change the formerly "superseded" Tariff Records to "effective." Therefore, no additional Tariff Filing or Tariff Records are required to reinstate the superseded Tariff Record.

Note: The Withdraw category of Type of Filing should not be confused with the Record Change Type of WITHDRAW. The Withdraw category of Type of Filing acts upon the associated filing as a whole, whereas the WITHDRAW Record Change Type acts upon the associated tariff record.

- Report - This category of Type of Filing contains no Tariff Record information. It can only be used to supplement the record of the proceeding. Basically, the Report Type of Filing is meant to provide Tariff Submitters a means to make complex filings with FERC in an established proceeding as an alternative to FERC's eFiling website

portal for non-Tariff Filings.

- Cancellation - This category of Type of Filing is used by the Tariff Submitter to terminate a Tariff Identifier. Once a Tariff Identifier is cancelled, only Compliance Type of Filings with a Proposed Effective Date before the effective date of the cancelled Tariff Record may be filed using the cancelled Tariff Identifier.

- **Attachment Reference Code** (att_ref_code) - This file contains seven columns:
 1. **filing_type** – This column relates the Type of Filing with the available selection of attachments.
 2. **att_ref_code** – This column is used to populate the att_ref_code XML data element field for each attachment.
 3. **att_desc** – This column is used to populate the att_desc XML data element field for each attachment.
 4. *citations* – This column provides the corresponding Citation to FERC regulation. This is simply a text field that provides the reader with additional information as to the source of the requirement.
 5. *is_required* – This column will indicate either yes (Y) or no (N). Certain documents are required by either regulation or business rule for the Tariff Filing to be considered complete enough for the OSEC 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 OSEC as a minimal condition is provided.
 6. *can_waive* - This column will indicate either yes (Y) or no (N). Some attachments may be required, but FERC may permit the Tariff Submitter to request that the requirement be waived. FERC will post whether a required attachment may be waived.
 7. *req_access_lvl* – This column indicates the required security level on a file as indicated in the att_security_level download file. A blank indicates no required security level. The values are defined below:
 - P = Public
 - M = Privileged
 - X = Critical Energy Infrastructure Information

- **Attachment Content Type Code** (att_content_type_code) - This file contains **five** columns:
 1. **att_content_type_code** - The values are used to populate the att_content_type_code XML data element for each attachment.

2. *description* – The description of the electronic format represented by the code.
 3. *file_extension* – This column contains the electronic format extensions.
 4. *active_date* – This column will indicate the effective date of the other data elements on the row.
 5. *inactive_date* – This column will indicate the retirement date of the other data elements on the row. If there is no known retirement date, the date of 12/31/9998 will appear.
- **Attachment Security Level** (*att_security_level*) - This file contains **four** columns:
 1. **att_security_level** – The values are used to populate the *att_security_level* field for each attachment.
 2. *description* - Description of the FERC security level associated with the *att_security_level*. Note that every attached document must have a populated *att_security_level*. FERC will not presume any default document security level.
 3. *active_date* – This column will indicate the effective date of the other data elements on the row.
 4. *inactive_date* – This column will indicate the retirement date of the other data elements on the row. If there is no know retirement date, the date of 12/31/9998 will appear.
 - **Record Content Type Code** (*record_content_type_code*) - This file contains two columns:
 1. **record_content_type_code** – The values are used to populate the *record_content_type_code* field for each record.
 2. *description* - Describes the *record_content_type_code*.
 - **Validation Error Codes** (*validation_error_code.csv*) - This file contains two columns:
 1. *error_code* – The values for the identified error.
 2. *description* - Describes the error.

Technical Specifications

Electronic Delivery Specifications

- **High-level Summary**

The following section defines the technical details and processes for computer-to-computer exchange of an XML file between a Tariff Submitter and FERC for electronic-Tariff Filings. It also defines eFiling authentication, eTariff portal security, and information on error / messages, security and maintenance. It does not provide information related to developing a Tariff Submitter's document management system as FERC is not providing a system to manage the Tariff Submitter's tariffs, rate schedules, or service agreements. The Tariff Submitter can either purchase a third party software system, or design and develop its own system (manual or automated) to maintain its tariffs, rate schedules, or service agreements. The Tariff Submitter will provide an XML formatted eTariff filing in accordance with the eTariff standards and other FERC requirements.

The Tariff Submitter will not have direct access to the FERC eTariff database to add, change or delete records. The Tariff Submitter will only be able to maintain its data in the FERC eTariff database via data sent through the eTariff filing process.

The following process describes the electronic Tariff Filings that **must** be filed through the FERC's eFiling web page located at www.ferc.gov.

- **Format of Upload Data**

The eFiling portal for eTariff filing packages assumes the Tariff Submitter has already produced an XML file that contains both data tags and embedded data per the business specifications provided and has been packaged as a zip file. There are no restrictions on the file name other than "normal" file naming conventions (i.e., a file name should contain no periods except the period preceding the file extension and no backslashes), the total character length must be 64 characters or less, and must have a ".ZIP" extension.

- **Login/authentication Requirements**

eRegistration:

In order to submit a Tariff Filing through the eTariff portal, the User must be eRegistered with FERC. The eRegistration process will allow the User to login to FERC's eFiling portal. The instructions on how a User may become eRegistered are located at www.ferc.gov.

eFiling Requirements:

The FERC's eFiling *Reference Guide* located at www.ferc.gov provides a step-by-step set of instructions and expected results for the eFiling process.

Company Registration Requirements:

To log into FERC's eTariff portal, the User will be required to have a Company Identifier and password. This Company Identifier is unique for each company filing tariffs, rate schedules, or service agreements with FERC. All Users will enter the same Company Identifier for a given company. This Company Identifier's password is company proprietary and should be treated as such. Instructions on how to obtain a Company Identifier and password are located at FERC's Online Company Registration application, located at www.ferc.gov. Note: The eTariff Company Identifier should not be confused with the data element Company Identifier contained in the data dictionary.

- **Minimum Technical Capabilities of Browser Clients**

FERC's eFiling portal is compatible with most common internet browsers, but is optimized for use with Microsoft® Internet Explorer 7.0.

- **Error Codes and Handling**

Error codes that can occur during the upload of the eTariff package on the FERC eFiling portal will be provided as described in the eFiling documentation, located at www.ferc.gov.

The e-mail that results from the eTariff verification process will use specific error codes/descriptions. The error codes provided within the e-mail can be decoded with the FERC-published code table located at www.ferc.gov. This table can be downloaded in CSV format and may be available in PDF format.

If the XML file is malformed and cannot be read, to the extent OSEC is able to identify the resulting error messages, the error messages will be provided to the Tariff Submitter as part of the OSEC Rejection e-mail. The Tariff Submitter is responsible for researching the nature of the XML error messages at locations such as www.w3.org (i.e.: <http://validator.w3.org/docs/errors.html>).

- **Security Specifications**

Tariff Submitters are responsible for security of the Company Identifier's password and all data contained in their filing that resides on their internal systems. The Company Identifier is public information.

Electronic transfer of the ZIP file is via the FERC eFiling portal using secure login (from eRegistration) and HTTPS for User interaction, and data transfer using a web browser. Refer to FERC eFiling specifications for minimal requirements of browsers using FERC web pages located at www.ferc.gov.

Data security at FERC is the responsibility of FERC.

- **Testing Guidelines**

FERC will provide a facility/function that will receive an eTariff XML filing package and verify it can be opened and parsed, and, if the appropriate data is provided, it will validate data content against production data. This facility will be available for use at any time. Information on how to access and use this testing facility is available at www.ferc.gov.

- **Maintenance**

The eTariff XML schema and associated code definition and downloadable CSV files will be maintained on the FERC website. Significant changes to any of these items will follow normal FERC notice/comment process. This process will also indicate the effective date of the change, and whether there will be a transition period.

Appendix 6 – Minor Correction MC11016
Errata for NAESB Wholesale Electric Quadrant Business Practice Standards Version 002.1
June 20, 2011

Revisions to the eTariff XML schema code definition files will be posted in downloadable XSD and PDF formats located at www.ferc.gov. In the event of a discrepancy between the PDF and XSD files, the XSD file shall take precedence.

Revised code definition files will be posted in downloadable CSV file and may be available in a PDF file on FERC's website located at www.ferc.gov.

FERC will not certify or will not support software that Tariff Submitters may develop or purchase. Owners of these software packages are responsible for their maintenance and ensuring that any required eTariff XML schema and/or code revisions posted by FERC are properly recognized by such software.

XML Schema Version 1

Set forth below is Version 1 of the XML Schema that must be used to submit a Tariff Filing through FERC's eFiling / eTariff Portal.

```
<?xml version="1.0" encoding="utf-8"?>
<xs:schema id="ferc_tariff_filing" targetNamespace="http://ferc.gov/etariff.xsd"
elementFormDefault="qualified" xmlns="http://ferc.gov/etariff.xsd"
xmlns:xs="http://www.w3.org/2001/XMLSchema" >
  <xs:element name="document">
    <xs:complexType>
      <xs:choice minOccurs="1" maxOccurs="1">
        <xs:element name="ferc_filing_data" minOccurs="1" maxOccurs="unbounded">
          <xs:complexType>
            <xs:sequence>
              <xs:element name="schema_version" type="xs:string" nillable="true"/>
              <xs:element name="company_id" type="xs:string" nillable="true"/>
              <xs:element name="tariff_id" type="xs:integer" nillable="true"/>
              <xs:element name="tariff_title" type="xs:string" nillable="true"/>
              <xs:element name="filing_id" type="xs:integer" nillable="true"/>
              <xs:element name="filing_title" type="xs:string" nillable="true"/>
              <xs:element name="filing_type" type="xs:integer" nillable="true"/>
              <xs:element name="associated_filing_id" type="xs:integer" nillable="true"/>
              <xs:element name="validation_email" type="xs:string" nillable="true"/>
              <xs:element name="pay_confirm_code" type="xs:string" nillable="true"/>
              <xs:element name="suspend_motion" type="xs:string" nillable="true"/>
              <xs:element name="attachment_data" minOccurs="1" maxOccurs="unbounded">
                <xs:complexType>
                  <xs:sequence>
                    <xs:element name="att_ref_code" type="xs:integer" nillable="true"/>
                    <xs:element name="att_desc" type="xs:string" nillable="true"/>
                    <xs:element name="att_waiver_request" type="xs:string" nillable="true"/>
                    <xs:element name="att_binary_data" type="xs:base64Binary" nillable="true" />
                    <xs:element name="att_filename" type="xs:string" nillable="true"/>
                    <xs:element name="att_content_type_code" type="xs:integer" nillable="true"/>
                    <xs:element name="att_security_level" type="xs:string" nillable="true"/>
                  </xs:sequence>
                </xs:complexType>
              </xs:element>
            <xs:element name="record_data" minOccurs="0" maxOccurs="unbounded">
              <xs:complexType>
                <xs:sequence>
                  <xs:element name="record_id" type="xs:integer" nillable="true"/>
                </xs:sequence>
              </xs:complexType>
            </xs:element>
          </xs:sequence>
        </xs:choice>
      </xs:complexType>
    </xs:element>
  </xs:schema>
```

```
<xs:element name="option_code" type="xs:string" nillable="true"/>
<xs:element name="record_title" type="xs:string" nillable="true"/>
<xs:element name="record_content_desc" type="xs:string" nillable="true"/>
<xs:element name="record_version_num" type="xs:string" nillable="true"/>
<xs:element name="record_narrative_name" type="xs:string" nillable="true"/>
<xs:element name="collation_value" type="xs:integer" nillable="true"/>
<xs:element name="record_parent_id" type="xs:integer" nillable="true"/>
<xs:element name="proposed_effective_date" type="xs:date" nillable="true"/>
<xs:element name="priority_order" type="xs:integer" nillable="true"/>
<xs:element name="record_content_type_code" type="xs:integer" nillable="true"/>
<xs:element name="record_binary_data" type="xs:base64Binary" nillable="true"/>
<xs:element name="record_plain_text" type="xs:string" nillable="true"/>
<xs:element name="record_change_type" type="xs:string" nillable="true"/>
<xs:element name="associated_filing_id" type="xs:integer" nillable="true" />
<xs:element name="associated_record_id" type="xs:integer" nillable="true" />
<xs:element name="associated_option_code" type="xs:string" nillable="true" />
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:choice>
</xs:complexType>
</xs:element>
</xs:schema>
```

Note: The XML Schema definition language (XSD) defines four attributes for use in XML instance documents, indicated by the <http://www.w3.org/2001/XMLSchema-instance> namespace. Information regarding these four attributes is located at <http://msdn2.microsoft.com/en-us/library/ms256207.aspx> and <http://www.w3.org/TR/xmlschema-1/>. The eTariff specifications contained in this document utilize the `nil="true"` attribute to indicate an empty (null) numeric element. It has been determined that some XML software tools do not support the `nil="true"` attribute. The software developer should thoroughly investigate the capabilities of their development tool sets to ensure that they support the `nil="true"` attribute.

**Appendix 7 – NAESB WEQ Executive Committee Meeting Minutes/Notational Ballot Results
Approving NAESB Wholesale Gas Quadrant Minor Corrections
June 20, 2011**

Appendix 7 contains the meeting minutes and notational ballot results of the NAESB Wholesale Electric Quadrant Executive Committee and the action taken by the Wholesale Electric Quadrant Executive Committee to approve the following minor corrections:

Appendices	Meeting Minutes/Notational Ballot Results
Appendix 1	MC10019 as approved by the WEQ Executive Committee on August 17, 2010. Meeting minutes: http://www.naesb.org/pdf4/weq_ec081710fm.doc
Appendix 2	MC10032 as approved by the WEQ Executive Committee on October 26, 2010. Meeting minutes: http://www.naesb.org/pdf4/weq_ec102610fm.doc
Appendix 3	MC10033 as approved by the WEQ Executive Committee on October 26, 2010. Meeting minutes: http://www.naesb.org/pdf4/weq_ec102610fm.doc
Appendix 4	MC10041 as approved by the WEQ Executive Committee via notational ballot on December 20, 2010. Notational ballot results: http://www.naesb.org/pdf4/weq_wgq_ec120610ballot_results.doc
Appendix 5	MC11011 as approved by the WEQ Executive Committee via notational ballot on April 8, 2011. Notational ballot results: http://www.naesb.org/pdf4/weq_ec032511ballot_results.doc
Appendix 6	MC11016 as approved by the WEQ Executive Committee via notational ballot on May 20, 2011. Notational ballot results: http://www.naesb.org/pdf4/weq_ec052011ballot_results.doc

Appendix 8 – Notice to WEQ Members of Executive Committee Adoption of Minor Corrections
June 20, 2011

Appendix 8 contains the correspondence sent to all Wholesale Electric Quadrant members notifying them of the Executive Committee action taken on the minor corrections, requesting comments that opposed the minor correction, and informing them of future actions and timelines related to the minor corrections.

- Appendix 1 MC10019 – Request for Comments due September 7, 2010:
http://www.naesb.org/pdf4/weq_mc082410reqcom.doc
Comments Submitted by E. Skiba, Midwest ISO:
http://www.naesb.org/pdf4/wgq_mc081110_miso.doc
Comments Submitted by the NAESB WEQ Standards Review Subcommittee:
http://www.naesb.org/pdf4/weq_mc082410_weq_srs_comments.doc
Redline Attachment to Comments Submitted by the NAESB WEQ Standards Review Subcommittee: http://www.naesb.org/pdf4/weq_mc082410_weq_srs_attachment.doc
Comments Submitted by R. Pysh, The United Illuminating Company:
http://www.naesb.org/pdf4/weq_mc082410_weq_united_illuminating_company_comments.doc
- Appendix 2 MC10032 – Request for Comments due December 3, 2010:
http://www.naesb.org/pdf4/weq_mc111810reqcom.doc
Comments Submitted by E. Davis, Entergy:
http://www.naesb.org/pdf4/weq_mc10032_comments_entergy.doc
- Appendix 3 MC10033 – Request for Comments due December 3, 2010:
http://www.naesb.org/pdf4/weq_mc111810reqcom.doc
No comments received
- Appendix 4 MC10041 – Request for Comments due January 4, 2011:
http://www.naesb.org/pdf4/weq_wgq_mc122110reqcom.doc
No comments received
- Appendix 5 MC11011 – Request for Comments due April 28, 2011:
http://www.naesb.org/pdf4/weq_mc041411reqcom.doc
No comments received
- Appendix 6 MC11016 – Request for Comments due April 28, 2011:
http://www.naesb.org/pdf4/weq_mc052311reqcom.doc
No comments received

Appendix 9 contains the excerpt from the NAESB Operating Procedures detailing the procedures to be followed for minor clarifications and corrections to existing NAESB WEQ Business Practice Standards.

Procedures for Minor Corrections as excerpted from the NAESB Operating Procedures

D. Minor Clarifications and Corrections to Standards

Minor clarifications and corrections to existing standards include: (a) clarifications or corrections made by a regulatory agency to standards that are of a jurisdictional nature, or by the American National Standards Institute or its successor; (b) clarifications or corrections to the format, appearance, or descriptions of standards in standards documentation; (c) clarifications or corrections to add code values to tables; and (d) clarifications and corrections that do not materially change a standard.

Any request for a minor clarification or correction to an existing standard should be submitted in writing to the executive director. This request shall include a description of the minor clarification or correction and the reason the clarification or correction should be implemented.

1. Processing of Requests

The executive director shall promptly notify the EC and any appropriate subcommittee(s) of the receipt of the request. The members of the applicable quadrant's EC shall promptly determine whether the request meets the definition of a minor clarification or correction. Through the decision of the vice chair of the applicable quadrant, this determination may be delegated to one of the quadrant's subcommittees, with the concurrence of the subcommittee chair, in which case the subcommittee shall make a prompt decision.

If the request is determined to meet the definition of minor clarification or correction, the applicable quadrant's EC, with input from any subcommittee(s) to which the request has been forwarded, shall act on the request within one month of its receipt. A meeting to discuss the request is not required; the decision may be made by notational vote. A simple majority of the votes received shall determine the outcome. The members of the applicable quadrant's EC shall be given at least three working days to consider and vote on the request.

2. Public Notice

The results of the vote on the request for a minor clarification or correction shall be posted on the NAESB website and the members of the applicable quadrant shall be notified of the request by e-mail. If the request has been approved by the applicable quadrant's EC, the notification shall include a brief description of the request, the contact name and number of the requester so that further information can be obtained, and the proposed effective date of the clarification or correction. The proposed effective date of the minor clarification or correction shall normally be one month from the date of the public notice.

Any interested party shall have an opportunity to comment on the request, and the comments shall be posted on the NAESB website. The comment period is two weeks.

3. Final Disposition of Approved Requests

If no comments are received on an approved request, the standard shall be clarified or corrected as specified in the approved request on the effective date proposed. If comments are received, they shall be forwarded to the members of the applicable quadrant's EC for consideration. Each comment requires a public written response from the applicable quadrant's EC. The applicable quadrant's EC shall determine whether changes are necessary as a result of the comments.

Members of the applicable quadrant's EC shall be given three working days to consider the comments and determine the outcome, which shall be decided by a simple majority of the votes received. A meeting to discuss the request is not required; the decision may be made by notational vote. The standard shall be clarified or corrected in accordance with the outcome of the vote, effective with the completion of voting, and notice thereof shall be posted on the NAESB website.