

# EQR Reporting System Overview

Federal Energy Regulatory Commission

Washington D.C.



**Office of Enforcement**  
**Division of Audits and Accounting**  
**December 4, 2019**



# Agenda

- General Issues
- Available Resources
- When filers have issues
- Words of advice
- Interpreting and resolving common errors



## General Filing Issues

- Account Manager/Agent/Company Registration Issues
- New filers to the market learning the EQR requirements
- Staff turnover for existing EQR filers
- Number of filers and file sizes continue to increase
  - Q3 2013 – 1,985 files, 487 MB (zip size of all files submitted)
  - Q2 2018 – 2,499 files, 2.75 GB (zip size of all files submitted)
  - Q2 2019 – 2,653 files, 3.28 GB (zip size of all files submitted)
    - There is one XML filer with over 8M transaction records
    - There is one CSV filer with 1.8M transaction records



## General Filing Issues

- The system processes a large number of files in the last week of the filing month.
  - In Q4 2018 FERC processed over 55% of the filings in the final week of the filing month.
  - In Q1 2019 almost 59% of the filings were processed in the final week of the filing month.
  - These numbers do not include refilings of prior quarters.



## Available Resources

- All of these are available via the FERC EQR Webpage at <http://www.ferc.gov/docs-filing/eqr.asp>
  - EQR Web Interface and XML Submission Guide
    - Pre-Validation Error Messages
  - Data Dictionary
  - Frequently Asked Questions
  - EQR Filing Requirements Guide
  - Validations Rules
  - Release Notes



# Good Practices for Communicating Filing Issues

- Send email to [FERCOnlineSupport@ferc.gov](mailto:FERCOnlineSupport@ferc.gov). Please do not send it to individual FERC staff.
- Cc: [EQR@ferc.gov](mailto:EQR@ferc.gov) if an EQR issue.
- Include the specific Form in the email, e.g., EQR, Form 1.
- Include your company name and Company Identifier (CID).
- If you are given a ticket number (INC#####), include it in any correspondence.
- Include the Submission ID if you can. You can find this in the 'receipt' email.
- If you are getting on-screen errors (in red text, usually) provide a screen shot of the message.
- Know who your Account Managers are. Don't wait until last minute to make changes to Agents, or other data in Company Registration.



# Notice of eRegistration Recertification Process

- Notice Issued October 4, 2019 in Docket No. RM07-16
  - Account Managers and Agents must now validate their email information annually or their account will be deactivated. This new functionality was added pursuant to the Federal Information Security Management Act, OMB Circular A-130 and NIST Special Publication 800-53.
  - If the Agent and Account Manager are the same person, and the account is deactivated, you will not be able to file the EQR until account is reactivated.
  - Individuals will be notified to by email of their need to recertify. Certification must be within 30 days; includes multiple reminders.
  - Notifications are being staggered, so don't expect all individuals to get the notifications at the same time.



# Determining if an EQR has been Accepted

- An Acceptance email indicates that your filing has been successfully submitted.
- How else can you determine if your file has been accepted?

Sellers who have delegated you to file on their behalf:

Refresh Status

<a href="#">Seller Name</a>	Last Action Date	Status	Action	Filer	Temp Data
PRODUCTION TESTCOMPANY7 (C004085) <small>valid names:</small> <input type="text" value="PRODUCTION TESTCOMPANY7"/>	<a href="#">9/26/2019 11:07:19 AM</a>	Editable	No Action	PRODUCTION TESTCOMPANY 7 (C004085)	Delete

- Use the public EQR report viewer and try to download your report. If either the XML or CSV is available, you have filed.
  - Don't expect that your report will be immediately uploaded to the database, especially close to the filing deadline.





# Make Sure your EQR was Filed

- Submission of a CSV file is a 2 step process
  - Upload
  - Submit

<a href="#">Seller Name</a>	Last Action Date	Status	Action
<a href="#">PRODUCTION TESTCOMPANY 7 (C004085)</a>			CSV New <input type="button" value="v"/>

File Upload: ( Select a Zip File that contains 1 to 4 CSV files for processing. You must select the appropriate action above for the relevant seller data you are uploading. )

C:\Users\decoe61\Desktop\201909\_PTC\_ident.zip successfully uploaded.

**Please click the highlighted Seller Name Link to continue to the submission process.**

- Start uploading: 11/18/2019 10:07:59 AM

- End uploading: 11/18/2019 10:08:12 AM

- Total time: 00:00:12.3284697



## Filing for an EQR Extension Request

- Extension requests should be filed in Docket No. ER02-2001-000 and include the following:
  - current date
  - name and CID(s) of the company requesting an extension
  - contact name, address, and telephone number of the requestor
  - reason(s) for necessitating an extension
  - proposed date that the EQR will be filed
- Extension requests should be received by the due date



## The “Test” Function is a Valuable Resource

- Use the Test function, especially near the deadline.
- Here are 2 files that were submitted on the afternoon of April 29. One was a “final” submission and one was a Test Submission.

Submission ID	984076	984254
Type	Final	Test
File Size	1	20450
Submitted	3:11:15 PM	4:24:03 PM
Began processing	7:02:39 PM	4:24:12 PM
Rejected	7:02:54 PM	4:25:04 PM



# The “Test” Function is a Valuable Resource

- Where can you find the “Test” function?
- After you hit the hyperlink of the Company Name, the following screen appears.

ID Data Buyers Contracts

Select an option to add contact:

Filer

Seller

<< Back to Select Filing Period page Submit

Test

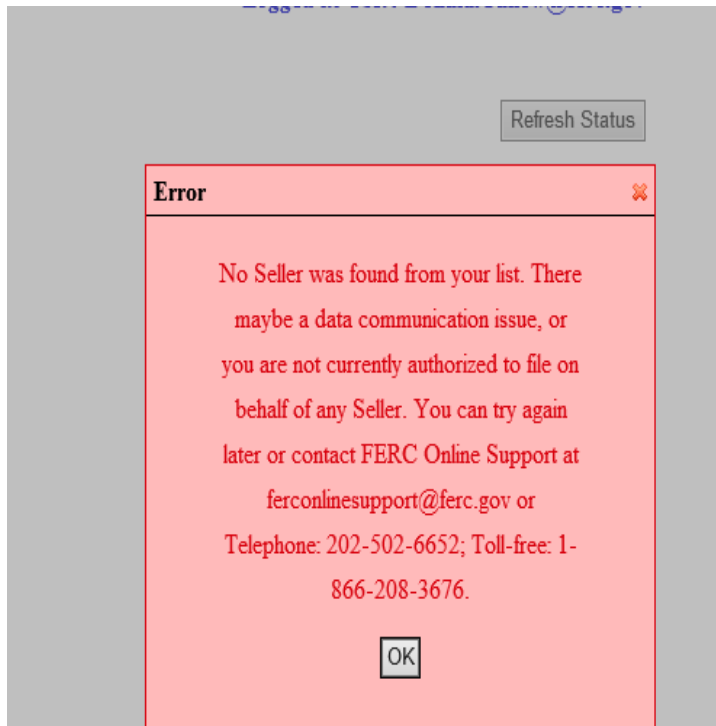


## Error Messages

- No Seller was found from your list
  - Seller does not appear in your drop-down
- Scientific notation and/or number formatting
- A transaction must have a contract - Error F.25.18
- Row Appears Empty
- Transactions that occur within the reporting quarter must be under contracts reported during the same reporting quarter (4 key fields)
- Attribute title is missing
- Missing or incorrect attributes



## Error Message – No Seller



- If you only file for one company and get this message

OR

- If you file for multiple companies and one doesn't show up on your main screen

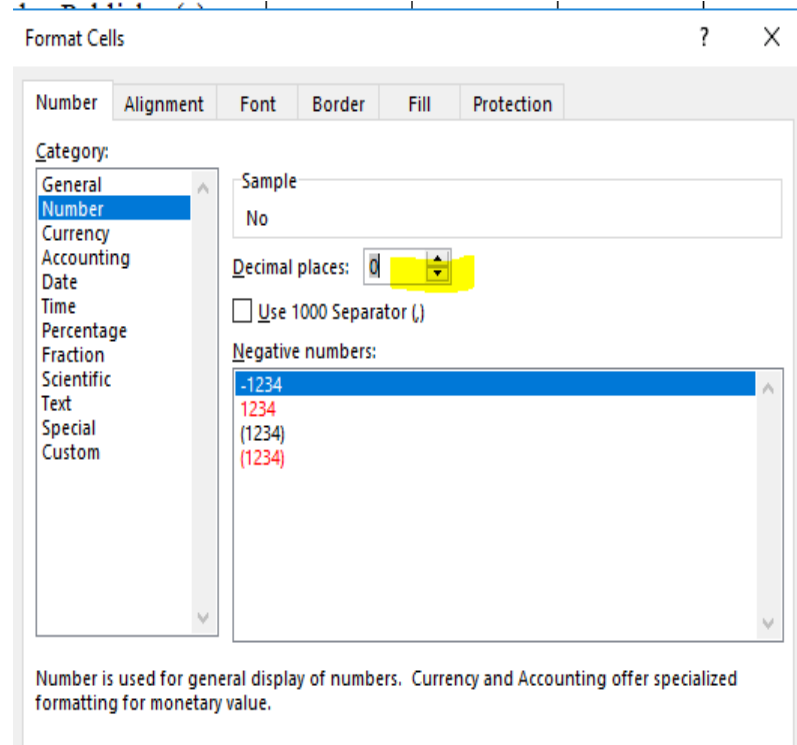
One of two thing is happening

- you are not an Agent for that specific company, or
- there is a Pending request in Company Registration



## Error Number Format - Scientific Notation

- 'Begin Date' is required to be 12 characters in length. (ContractProduct Begin Date : value = [201203281200.00] at row 2)
- The 12-digit date/time is in the format YYYYMMDDHHMM.
- Excel automatically converts this to scientific notation as X.XXXE11.





## Error - F.25.18 Every Transaction Must Have a Contract

Transaction(3438); Message: F.25.18 Every transaction must have a corresponding contract. The Transaction Product (Field 63) must match a corresponding Contract Product Name (Field 31). The Transaction Product specified does not have a corresponding Contract for the same product and customer. If Field 63 is Booked Out Power, Field 31 must be ENERGY or CAPACITY.

- First, look at the offending transaction. In this case, T3438.
- Check Field 63 (Transaction Product Name)
- Find the corresponding contract for this transaction
- Make sure that this contract has the same allowable product in Field 31 (Contract Product Name)







## Error – Transactions must be Under Contract in the Quarter

- Pre-Validation CSV/Zip Upload Errors:
- Transactions that occur within the reporting quarter must be under contracts reported during the same reporting quarter; The Seller Company Name (Data Dictionary Field 16), Customer Company Name (Data Dictionary Field 17), Contract Service Agreement ID (Data Dictionary Field 20), and FERC Tariff Reference (Data Dictionary Field 19) must be identical for the transaction to be matched to a contract.



## Error – Transactions must be Under Contract in the Quarter

- 4 key fields in the EQR define a contract.
  - Seller Company Name (Fields 16 and 46)
  - Customer Company Name (Fields 17 and 47)
  - FERC Tariff Reference (Fields 19 and 48)
  - Contract Service Agreement ID (Fields 20 and 49)
- These fields must match exactly in the contracts and transactions files.
- You must compare these fields in both files. It is not enough to look at the transactions file alone.
- If you can't find any differences, open the file in Notepad.



## Error – Title is Missing



- Either (or both) the Agent or the Seller does not have a title in their eRegistered profile.
- You must edit your profile ([ferconline.ferc.gov](http://ferconline.ferc.gov)) to add a title.
  - This is related to your personal registration, not the Company Registration.



# Error – Title is Missing

**FERC Online** - Web Applications of the Federal Energy Regulatory Commission



- FERC Online Home
- About FERC Online
- Log Out
- Edit Registration**
- Company Registration
- eFiling
- eSubscription

**Title:**

\* Street Address:

\* City:

\* State:  ▼

\* Zip Code:

\* Country:  ▼

\* Phone Number:  i.e. 555-555-5555 or 011-52-1234-123456

Fax Number:



## Error – Required Attribute Missing

“The following errors were encountered while validating the filing : The required attribute 'IncrementPeaking' is missing.. This error is repeated 1 times”

- Note the check mark. Increment Peaking Name is a required field.

Field	Required
Increment Peaking Name	✓
Increment Peaking Name	✓
Increment Peaking Name	✓
Increment Peaking Name	✓
Increment Peaking Name	✓



## Error – Invalid Attribute

- The 'RateUnits' attribute is invalid - The value 'Barrels/MMBTU' is invalid according to its datatype 'urn:www.ferc.gov:forms.eqr:RateUnit' - The Enumeration constraint failed.
- If the message indicates invalid entry, look to the appendices in the data dictionary, or the list of Hubs/BAAs on the EQR website.
- There is a difference between Appendix E (Units) and Appendix F Rate Units).

Appendix F. Rate Units

Rate Units	Definition
\$/KV	dollars per kilovolt
\$/KVA	dollars per kilovolt amperes
\$/KVR	dollars per kilovar
\$/KW	dollars per kilowatt
\$/KWH	dollars per kilowatt hour
\$/KW-DAY	dollars per kilowatt day
\$/KW-MO	dollars per kilowatt month
\$/KW-WK	dollars per kilowatt week
\$/KW-YR	dollars per kilowatt year
\$/MW	dollars per megawatt
\$/MWH	dollars per megawatt hour
\$/MW-DAY	dollars per megawatt day
\$/MW-MO	dollars per megawatt month
\$/MW-WK	dollars per megawatt week
\$/MW-YR	dollars per megawatt year
\$/MVAR-YR	dollars per megavar year
\$/RKVA	dollars per reactive kilovar amperes
CENTS	cents