FEDERAL ENERGY REGULATORY COMMISSION

Office of the Secretary

Implementation Guide for Electronic Filing of Parts 35, 154, 284, 300, and 341 Tariff Filings
Version: January 23, 2012

Implementation Guide for Electronic Tariff Filing

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.

Table of Contents:

GENERAL INFORMATION

I. Purpose:

Companies and entities are 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.

II. Who Must File:

The companies or entities covered are those that submit tariffs, rates, or contracts with the Commission pursuant to the Natural Gas Act (NGA), the Natural Gas Policy Act of 1978 (NGPA), the Federal Power Act (FPA), the Interstate Commerce Act (ICA), the Flood Control Act, the Bonneville Power Act, the Northwest Power Planning Act, and other relevant statutes. Included among the companies or entities covered by the requirements are: Regional Transmission Organizations (RTOs) and independent system operators (ISOs); power authorities and federal power marketing administrations which file rates, contracts, or tariffs at the Commission; intrastate natural gas pipelines that file rates and operating conditions pursuant to the NGPA; interstate natural gas pipelines subject to the NGA which serve only an industrial customer; and companies or entities that may make voluntary tariff filings, such as reciprocity filings pursuant to Order No. 888.

III. What To Submit:

Under the standards and guidelines described below, tariff filings and related supporting material made by covered filing entities must be made in conformance with the XML schema. The schema essentially is a method by which the filing entities can communicate information to the Commission. The schema proscribes the metadata elements and the textual information that must be included in the filing package. The data elements included in XML filing package are required to properly identify the nature of the tariff filing, organize the tariff database, and maintain the proper relationship of tariff provisions in relation to other provisions. The XML filing package must be zipped before filing with the Commission.   The XML schema will be maintained on the Commission website along with the required codes, descriptions, and other requirements. The Secretary of the Commission, under Order No. 703, has delegated authority to make modifications to them if necessary.[1]

Documents submitted as part of the XML filing package must conform with the Secretary of the Commission's instructions pertaining to allowable electronic file and document formats, the filing of complex documents, whether paper copes are required, and procedural guidelines for submissions via the Internet.[2]

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[1] 18 CFR 375.302(z) (2010).

[2] *Id.*

Special permission is required if a filing entity wants to covert an electronic tariff on file with the Commission from a sheet or section based approach to an entire document approach.

IV. When To Submit:

The tariff filing should be filed with the Commission at the time the filing entity proposes a change in service or rate, or as required by Commission regulation or order.

V. Where To Submit:

Submit this report to:

Office of the Secretary
Federal Energy Regulatory Commission
Washington, DC 20426

Interested persons may obtain information on the reporting requirements by contacting the following: Federal Energy Regulatory Commission, 888 First Street, N.E., Washington, D.C. 20426, [Attention: Information Clearance Officer, Office of the Executive Director, email: dataclearance@ferc.gov, phone: (202) 502-8663, fax: (202) 273-0873] Please send comments concerning the collections of information and the associated burden estimate(s), to the contact listed above and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503 [Attention: Desk Officer for the Federal Energy Regulatory Commission, phone (202) 395-7345, fax: (202) 395-7285].   Due to security concerns, comments   should   be   sent   electronically   to   the   following   e-mail   address: oira_submission@omb.eop.gov. Please reference the OMB control numbers identified above in your submission.

You shall not be penalized for failure to respond to this collection of information unless the collection of information displays a valid OMB control number.

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 Code 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 Online's eFiling page. The Payment Confirmation Code will be the Accession Number provided on FERC Online's pay.gov confirmation screen when.   a successful payment is made. It is suggested that the Tariff Submitter be familiar with the FERC Online's 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 Code. 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 <u>required</u> 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 Code 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 canceling 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

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 Code 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.
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.

Business Name (1)	Element Name (2)	Definition of Data Element (3)	Field Format (length) (4)	Valid Values (5)	Usage Responsibility Conditions (6)
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.
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 Accession Number for the associated fee that has been previously submitted via FERC Online's 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.

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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)
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 " ".
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.

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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 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.

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.

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 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 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.

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. The 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.

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: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"/>
```

```xml
                    <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: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.