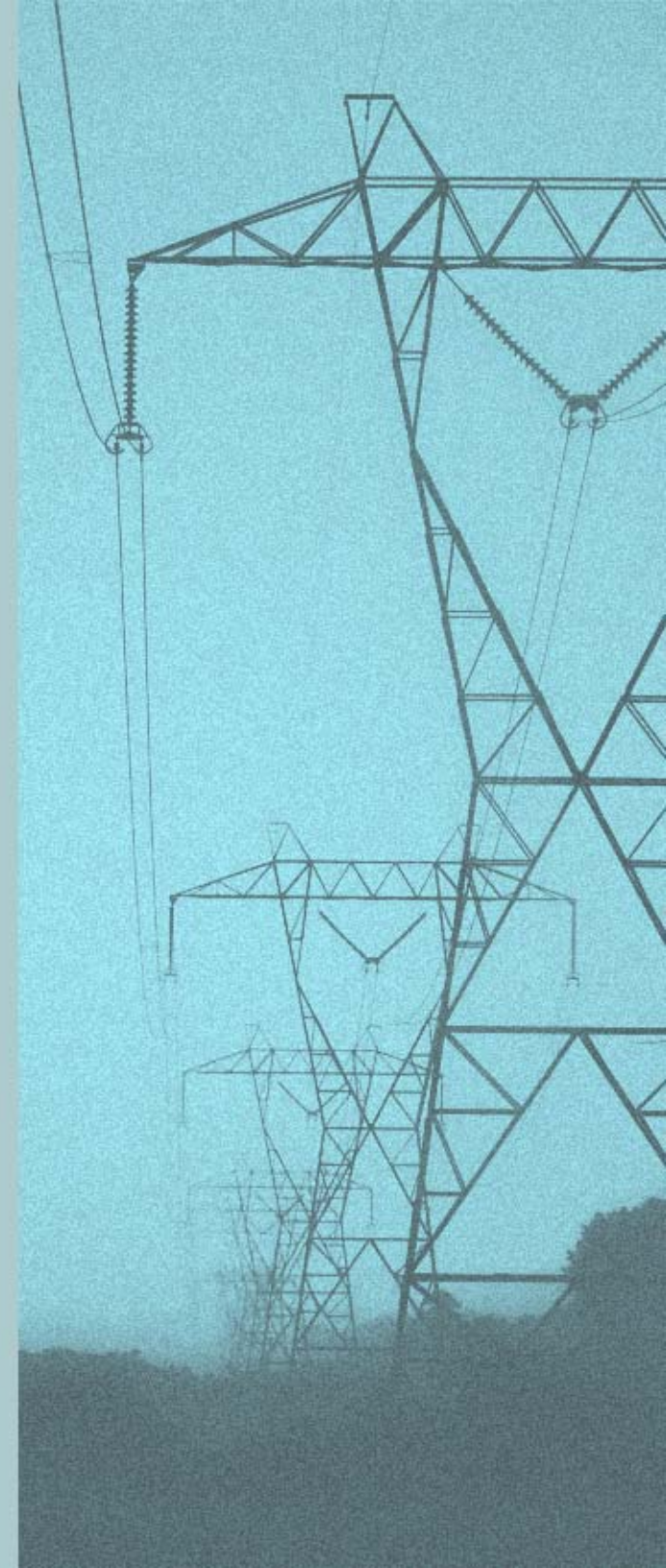




Federal Energy Regulatory Commission

Electric Quarterly Report Filing Requirements Guide

November 15, 2017



Federal Energy Regulatory Commission

Electric Quarterly Report Filing Requirements Guide (November 15, 2017)

Commission staff prepared this Electric Quarterly Report Filing Requirements Guide (Guide) to assist filers in submitting their information accurately in the Electric Quarterly Report (EQR). EQRs contain information about contractual terms and conditions and transaction information for cost-based rate sales, market-based rate sales, and transmission service. This Guide is divided into six sections: (1) EQR Overview; (2) What to Report; (3) System Requirements; (4) ID Data; (5) Contract Data; and (6) Transaction Data. A summary at the beginning of each section outlines the type of information to be found in that section.

Each item covered in this Guide has associated “Filing Guidance” as to what information is required, and how the EQR filing should be made. The “Reference Documents” section provides excerpts from relevant Commission orders, rules, and regulations related to the specific items referenced. This Guide is not intended to cover all applicable Commission requirements or Seller obligations related to filing EQRs. Embedded hyperlinks within the contents section will take the reader to a specific topic, where additional links have been provided to take the reader to the supporting reference documents. If you have any additional questions about how to file EQRs, please email Commission staff at eqr@ferc.gov and for system issues please contact ferconlinesupport@ferc.gov.

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I. EQR OVERVIEW

This section provides an overview of the EQR, including outlining the Commission's authority and purpose for collecting this information, specifying who must file, how to file, and when to file EQRs. The EQR is the reporting mechanism the Commission has adopted for public utilities to fulfill their responsibility under section 205(c) of the Federal Power Act (FPA) to have their rates and charges on file in a convenient form and place. EQRs contain data provided by Sellers summarizing contractual terms and conditions in agreements for all jurisdictional services. EQRs include information about cost-based rate sales, market-based rate sales, and transmission service, as well as transaction information for short-term and long-term market-based power sales and cost-based power sales. Beginning in the third quarter of 2013, non-public utilities above a *de-minimis* market presence threshold are required to file EQRs under section 220 of the FPA. EQRs ensure that this information is available in a standardized and user-friendly format for the public.

	Item	Filing Guidance	Reference
1	<p>Authority to Require Public Utilities to file Electric Quarterly Reports (EQRs)</p>	<p>Section 205(c) of the Federal Power Act authorizes the Federal Energy Regulatory Commission to require public utilities to file with the Commission information about their rates for electric energy sales or transmission.</p> <p>The EQR is the Commission’s method for collecting this information.</p> <p>The EQR contains information about the contractual terms and conditions in agreements for all jurisdictional services (including market-based power sales, cost-based power sales, and transmission service) and transaction information for short-term and long-term market based power sales and cost-based power sales, as well as transmission capacity reassignments.</p>	<p>“[E]very public utility shall file with the Commission, within such time and in such form as the Commission may designate, and shall keep open in convenient form and place for public inspection schedules showing all rates and charges for any transmission or sale subject to the jurisdiction of the Commission, and the classification, practices, and regulations affecting such rates and charges.” (Source: 16 U.S.C § 824d; hereinafter, FPA section 205(c))</p> <p>“The Commission concludes that the reporting requirements adopted in this final rule are consistent with public utilities’ filing obligations under FPA section 205(c). These requirements will provide transparency of prices and other information for both market-based and cost-based transactions.” (Source: Order No. 2001, Paragraph 44)</p>
2	<p>Authority to Require Non-Public Utilities to file EQRs</p>	<p>Section 220 of the Federal Power Act directs the Federal Energy Regulatory Commission to facilitate price transparency and authorizes the collection of information in the EQR from non-public utilities.</p>	<p>“A “non-public utility” is any market participant that is exempted from the Commission’s jurisdiction under 16 U.S.C. § 824(f).” (See Order No. 768; see also 18 C.F.R. § 35.10b(a))</p> <p>FPA section 220 provides, in part: “The Commission is directed to facilitate price transparency in markets for the sale and transmission of electric energy in interstate commerce, having due regard for the public interest, the integrity</p>

	Item	Filing Guidance	Reference
			<p>of those markets, fair competition, and the protection of consumers.” (Source: 16 U.S.C. § 824t)</p> <p>FPA section 201(f) provides: “No provision in this Part shall apply to, or be deemed to include, the United States, a State or any political subdivision of a State, an electric cooperative that receives financing under the Rural Electrification Act of 1936 (7 U.S.C. 901 et seq.) or that sells less than 4,000,000 megawatt hours of electricity per year, or any agency, authority, or instrumentality of any one or more of the foregoing, or any corporation which is wholly owned, directly or indirectly, by any one or more of the foregoing, or any officer, agent, employee of any of the foregoing acting as such in the course of his official duty, unless such provision makes specific reference thereto.” (Source: 16 U.S.C. 824(f))</p> <p>“We conclude that FPA section 201(b)(2), read in conjunction with section 220, grants the Commission authority to collect information about the availability and prices of wholesale electric energy and transmission service from non-public utilities notwithstanding section 201(f) . We further conclude, for the reasons discussed in the NOPR and based on our review of the record, that it is appropriate to adopt the NOPR proposal to extend EQR filing requirements to non-public utilities above the <i>de minimis</i> threshold under FPA section 220 with the following modifications.” (Source: Order No. 768, Paragraph 19))</p>
3	Disclosure	<p>EQR data are public information and are not protected from disclosure.</p> <p>Any contract must be provided to members of the public upon request.</p> <p>Conforming service agreements</p>	<p>“FPA section 205(c) requires public utilities to disclose their rates and contracts for all transmission and sales subject to the jurisdiction of the Commission. As a result, these rate elements as well as the data public utilities currently file are not protected from disclosure under Exemption 4 of the FOIA or by the Trade Secrets Act. Although the Commission has discretion to determine the time and form for disclosure, the underlying decision to disclose rate and contract information was made by Congress.” (Source: Order No. 2001, Paragraph 92)</p>

	Item	Filing Guidance	Reference
		<p>must be filed in EQR, but do not need to be filed with the Commission.</p>	<p>“Our decision to disclose rate information is consistent with judicial directives to focus on the needs of the overall market, rather than focusing on protecting the interests of individual competitors within the market.” (Source: Order No. 2001, Paragraph 96)</p> <p>“The FPA section 205(c) requirement that pertinent information on rates and contracts must be made publicly available does not exclude long-term market-based rate contracts or spot market sales.” (Source: Order No. 2001-A, Paragraph 14)</p> <p>“[A]ny service agreement that conforms to the form of service agreement that is part of the public utility's approved tariff pursuant to Sec. 35.10a of this chapter and any market- based rate service agreement pursuant to a tariff shall not be filed with the Commission. All agreements must, however, be retained and be made available for public inspection and copying at the public utility's business office during regular business hours and provided to the Commission or members of the public upon request.” (Source: 18 C.F.R. § 35.1(g))</p>
4	Who must file – Public Utilities	<p>Public utilities as defined in section 201(e) of the Federal Power Act, 16 U.S.C. 824 (e) must file the EQR. If you have a Commission-jurisdictional contract, tariff or rate schedule, you must file the EQR.</p> <p>All public utilities, including power marketers, are required to file EQRs.</p>	<p>“[T]here should be consistent reporting requirements for both power marketers and traditional utilities. We will apply equal filing requirements for both traditional utilities and power marketers. These filing requirements will provide information consistent with the requirements of FPA section 205(c) The public interest in the disclosure of the information to be reported is the same regardless of whether the agreements and power sales at issue are made by power marketers or traditional utilities.” (Source: Order No. 2001, Paragraph 134)</p> <p>“Every utility with a tariff on file with the Commission pursuant to Part 35 of the Commission's regulations must file the Electric Quarterly Report, even if there are no contracts under any of a utility's tariffs or rate schedules, or no sales were made during the quarter.” (Source: Revised Public Utility Filing Requirements, 101 FERC ¶ 61,067 (2002), Paragraph 3)</p>

	Item	Filing Guidance	Reference
5	Who must file - Non-Public Utilities	<p>For EQR purposes, market participants that are not public utilities under section 201(f) of the FPA are referred to as “non-public utilities” (NPU).</p> <p>Non-public utilities must file the EQR if they make wholesale sales above the <i>de minimis</i> market presence threshold. However, certain sales made by non-public utilities above this threshold are not required to be reported in the EQR.</p>	<p>FPA section 201(f) provides: “No provision in this Part shall apply to, or be deemed to include, the United States, a State or any political subdivision of a State, an electric cooperative that receives financing under the Rural Electrification Act of 1936 (7 U.S.C. 901 et seq.) or that sells less than 4,000,000 megawatt hours of electricity per year, or any agency, authority, or instrumentality of any one or more of the foregoing, or any corporation which is wholly owned, directly or indirectly, by any one or more of the foregoing, or any officer, agent, employee of any of the foregoing acting as such in the course of his official duty, unless such provision makes specific reference thereto.” (Source: 16 U.S.C. 824(f))</p> <p>“[t]he term ‘<i>de minimis</i> market presence’ means any non-public utility that makes 4,000,000 megawatt hours or less of annual wholesale sales, based on the average annual sales for resale over the preceding three years as published by the Energy Information Administration’s Form 861.” (Source: 18 C.F.R. 35.10b(b); see also Order No. 768)</p> <p>“[t]he following wholesale sales made by a non-public utility with more than a <i>de minimis</i> market presence are excluded from the EQR filing requirement: (1) Sales by a non-public utility, such as a cooperative or joint action agency, to its members; and (2) Sales by a non-public utility under a long-term, cost-based agreement requirement to be made to certain customers under Federal or state statute.” (Source: 18 C.F.R. § 35.10b(c); see also Order No. 768)</p> <p>“The Commission finds that information about a non-public utility’s sales to its members, or by a non-public utility under a long-term, cost-based agreement required to be made to certain customers under statute, will not materially contribute to additional price transparency. These types of sales do not significantly impact wholesale price formation in electric markets because these sales generally take place between a non-public utility and a pre-determined customer without arm’s-length negotiations.” (Source: Order No. 768, Paragraph 22)</p>

	Item	Filing Guidance	Reference
6	Who must file – Qualifying Facilities	<p>Qualifying Facilities (QF) that are required to file rates under FPA section 205 must file EQRs, unless their sales are exempted from FPA sections 205 and 206, as detailed below.</p> <p>A QF that is a cogenerator does not need to file EQRs if: (1) the QF is equal to or less than 20 MW; or (2) the QF is selling pursuant to a contract executed on or before 3/17/2006; or (3) the QF is selling pursuant to a state regulatory authority’s implementation of PURPA section 210. Otherwise, exemption from FPA section 205 does not apply and the QF must file EQRs.</p> <p>A QF that is a geothermal small power producer does not need to file EQRs if: (1) the QF is equal to or less than 20 MW; or (2) the QF is selling pursuant to a contract executed on or before 3/17/2006; or (3) the QF is selling pursuant to a state regulatory authority’s implementation of PURPA section 210. Otherwise, exemption from FPA section 205 does not apply and the QF must file EQRs.</p>	<p>“§ 292.601 Exemption to qualifying facilities from the Federal Power Act.</p> <p>(a) <i>Applicability</i>. This section applies to qualifying facilities, other than those described in paragraph (b) of this section. This section also applies to qualifying facilities that meet the criteria of section 3(17)(E) of the Federal Power Act (16 U.S.C. 796(17)(E)), notwithstanding paragraph (b).</p> <p>(b) <i>Exclusion</i>. This section does not apply to a qualifying small power production facility with a power production capacity which exceeds 30 megawatts, if such facility uses any primary energy source other than geothermal resources.</p> <p>(c) <i>General rule</i>. Any qualifying facility described in paragraph (a) of this section shall be exempt from all sections of the Federal Power Act, except: (1) Sections 205 and 206; however, sales of energy or capacity made by qualifying facilities 20 MW or smaller, or made pursuant to a contract executed on or before March 17, 2006 or made pursuant to a state regulatory authority’s implementation of section 210 the Public Utility Regulatory Policies Act of 1978, 16 USC 824a-1, shall be exempt from scrutiny under sections 205 and 206.” (Source: 18 C.F.R. § 292.601)</p>

	Item	Filing Guidance	Reference
		<p>A QF that is a non-geothermal small power producer does not need to file EQRs if the QF is equal to or less than 20 MW. If the QF is above 20 MW but equal to or less than 30 MW capacity, it does not need to file EQRs if either: (1) it is selling pursuant to a contract executed on or before 3/17/2006; or (2) it is selling pursuant to a state regulatory authority’s implementation of PURPA 210. If the QF is above 30 MW capacity, exemption from FPA section 205 does not apply and the QF must file EQRs.</p> <p>A QF that is a small power producer under FPA section 3(17)(e) does not need to file EQRs if: (1) the QF is equal to or less than 20 MW; or (2) the QF is selling pursuant to a contract executed on or before 3/17/2006; or (3) the QF is selling pursuant to a state regulatory authority’s implementation of PURPA section 210. Otherwise, exemption from FPA section 205 does not apply and the QF must file EQRs.</p>	
7	Who must file – Exempt	Exempt Wholesale Generators (EWGs) must file the EQR.	“While the SEC has not treated power marketers as electric utility companies under PUHCA 1935, the Commission has determined that electric marketers

	Item	Filing Guidance	Reference
	Wholesale Generators	EWGs are exempt from certain regulations implementing PUHCA 2005, but they are not exempt from FPA section 205.	own facilities used for wholesale sales, i.e., ‘paper facilities,’ and therefore are public utilities under the FPA.” (Source: Order No. 667 , Paragraph 28) “The term ‘exempt wholesale generator’ means any person engaged directly, or indirectly through one or more affiliates as defined in this subchapter, and exclusively in the business of owning or operating, or both owning and operating, all or part of one or more eligible facilities and selling electric energy at wholesale. For purposes of establishing or determining whether an entity qualifies for exempt wholesale generator status, sections 32(a)(2) through (4), and sections 32(b) through (d) of the Public Utility Holding Company Act of 1935 (15 U.S.C. 79z-5a(a)(2)-(4), 79z-5a(b)-(d)) shall apply.” (Source: 18 C.F.R. § 366.1).
8	Who must file – Electric Cooperatives	Electric cooperatives selling less than 4,000,000 MWh of annual wholesale sales do not need to file EQRs. Electric cooperatives that sell 4,000,000 MWh or more of annual wholesale sales must file EQRs (unless the Commission has granted them waiver of the EQR filing requirement).	"No provision in this subchapter shall apply to, or be deemed to include, the United States, a State or any political subdivision of a State, an electric cooperative that receives financing under the Rural Electrification Act of 1936 (7 U.S.C. 901 et seq.) or that sells less than 4,000,000 megawatt hours of electricity per year, or any agency, authority, or instrumentality of any one or more of the foregoing, or any corporation which is wholly owned, directly or indirectly, by any one or more of the foregoing, or any officer, agent, or employee of any of the foregoing acting as such in the course of his official duty, unless such provision makes specific reference thereto." (Source: 16 U.S.C. § 824(f)).
9	Alaska and Hawaii Sales	Utilities located entirely in Alaska and Hawaii do not need to file EQRs.	“The Commission adopts the NOPR proposal to exempt utilities located entirely in Alaska and Hawaii from the EQR filing requirements because they are electrically isolated from the contiguous United States.” (Source: Order No. 768 , Paragraph 23).
10	ERCOT Sales	Utilities making sales within ERCOT boundaries are not required to file	“In addition, this Final Rule does not apply to a transaction for the purchase or sale of wholesale electric energy or transmission services within ERCOT as it is

	Item	Filing Guidance	Reference
		the EQR.	described in section 212(k)(2)(A) of the FPA.” (Source: Order No. 768 , Paragraph 23)
11	Consequences of Non-Compliance	A non-compliant utility is subject to Commission enforcement actions, which include civil penalties or revocation of a public utility’s market-based rate authority.	<p>“Any person who violates any provision of subchapter II of this chapter or any provision of any rule or order thereunder shall be subject to a civil penalty of not more than \$1,000,000 for each day that such violation continues.” (Source: 16 U.S.C. § 825o-1(b))</p> <p>“Electric Quarterly Reports are intended to satisfy the FPA section 205(c) filing requirements. If utilities are found to have violated the requirements of the Commission’s regulations, the Commission will not hesitate to impose remedies, as appropriate. If a public utility has not received approval for a cost-based rate transaction and neglects to include in its Electric Quarterly Report relevant contract data, the Commission may determine that the agreement was not on file and adjust the rate in that agreement as appropriate. If a public utility fails to file a[n] Electric Quarterly Report (without an appropriate request for extension), or fails to report an agreement in a report, that public utility may forfeit its market-based rate authority and may be required to file a new application for market-based rate authority if it wishes to resume making sales at market-based rates.” (Source: Order No. 2001, Paragraph 222)</p>
12	When to File	EQRs should be filed within a month after the end of a calendar quarter, and are due by 5 p.m. ET on the Due Date. If the Due Date falls on a day the Commission is closed (e.g., a weekend or due to inclement weather or other emergency), then the Due Date is the first day the Commission is open following the closure.	“Each public utility as well as each non-public utility with more than a <i>de minimis</i> market presence shall file an updated Electric Quarterly Report with the Commission covering all services it provides pursuant to this part, for each of the four calendar quarters of each year, in accordance with the following schedule: for the period from January 1 through March 31, file by April 30; for the period from April 1 through June 30, file by July 31; for the period July 1 through September 30, file by October 31; and for the period October 1 through December 31, file by January 31.” (Source: 18 C.F.R. § 35.10b)

	Item	Filing Guidance	Reference
13	How to File	Information on how to file may be found at https://www.ferc.gov/docs-filing/eqr.asp .	"Electric Quarterly Reports must be prepared in conformance with the Commission's guidance posted on the FERC Web site (http://www.ferc.gov)." (Source: 18 C.F.R. § 35.10b)
14	Record Retention	Contracts must be retained and be available upon request. Transaction information related to market-based sales must be retained for five years.	"The existing requirements for public utilities to retain copies of their contracts and other data are unchanged by this rule." (Source: Order No. 2001 , Paragraph 244) "All agreements must, however, be retained and be made available for public inspection and copying at the public utility's business office during regular business hours and provided to the Commission or members of the public upon request." (Source: 18 C.F.R. §35.1(g)) "A Seller must retain, for a period of five years, all data and information upon which it billed the prices it charged for the electric energy or electric energy products it sold pursuant to Seller's market-based rate tariff, and the prices it reported for use in price indices." (Source: 18 C.F.R. § 35.41(d))
15	Request for Waiver	Any seller may request a waiver of the obligation to file the EQR.	"...we will consider granting waivers in appropriate circumstances." (Source: Order No. 2001 , Paragraph 362; see also Bridger Valley Electric Association, Inc., 101 FERC ¶ 61,146 (2002)) "Furthermore, we note that companies may request, on an individual basis, waiver from the EQR reporting requirements." (Source: Order No. 768 , Paragraph 191; see also <i>Electricity Market Transparency Provisions of Section 220 of the Federal Power Act – KAMO Electric Cooperative, Inc., 147 FERC ¶ 61,099 (2014)</i>)
16	Request for Extension	Extensions may be requested by using eFiling. See	"Except as otherwise provided by law, the time by which any person is required or allowed to act under any statute, rule, or order may be extended

	Item	Filing Guidance	Reference
		<p>https://www.ferc.gov/docs-filing/efiling.asp Guidance for filing extension requests is available at https://www.ferc.gov/resources/faq/eqr-2013.asp. Extension requests must be in the form of a letter and include: the current date, the docket number, the name of the company requesting an extension, a contact name and telephone number, and the proposed date by which the company will submit the EQR. The request must clearly state the reason for which the extension is necessary. It is recommended that the seller CID be included in the extension request. Extension requests should cite the EQR Docket No. ER02-2001-000 to facilitate timely consideration.</p>	<p>by the decisional authority for good cause, upon a motion made before the expiration of the period prescribed or previously extended.” (Source: 18 C.F.R. § 385.2008(a))</p> <p>A motion may be filed at any time, unless otherwise provided, and must contain a clear and concise statement of the facts and law which support the motion and the specific relief or ruling requested. (Source: 18 C.F.R. § 385.212)</p>

II. WHAT TO REPORT

This section of the Guide provides a general overview of what to report in EQRs. These items cover broad categories, such as market-based rate sales, transmission service, transmission capacity reassignments, transactions reported to index publishers, booked out power, financial transactions, bundled service, and renewable energy credits. This section also outlines when a filer must make a refiling in order to supplement or correct previously filed EQR data.

	Item	Filing Guidance	Reference
17	What to Report (Overview)	<p>At a minimum, every filer must report EQR ID Data every quarter even if they have no contracts or sales.</p> <p>Contractual terms and conditions must be summarized for all jurisdictional services. Contracts and contract products are reported when sales under them begin and must continue to be reported in the EQR until they are terminated. Sales of wholesale electricity and transmission that is an unbundled part of a power sale are reported each quarter.</p> <p>Transmission-only service transactions are not reported, except that merchant transmission companies with a negotiated rate tariff must report their transactions.</p> <p>Utilities making transmission sales are responsible for filing their transmission-related information in the EQR.</p> <p>Transmission Capacity Reassignments are reported in detail by the transmission provider</p>	<p>“In this final rule, the Federal Energy Regulatory Commission (Commission) is amending its filing requirements for public utilities under the Federal Power Act (FPA) to require public utilities to electronically file Electric Quarterly Reports summarizing the contractual terms and conditions in their agreement for all jurisdictional services (including market-based power sales, cost-based power sales, and transmission service) and transaction information for short-term and long-term market-based power sales and cost-based power sales during the most recent calendar quarter.” (Source: Order No. 2001, Summary, page i)</p> <p>“[W]e clarify that under this rule, the requirement to file contract data and transaction data begins with the first Electric Quarterly Report filed after service commences under an agreement, and continues until the Electric Quarterly Report filed after the agreement expires or by order of the Commission. We reject Edison Mission's suggestion that contract data should be reported only in the quarter when the agreement is entered. Removing information about agreements that are still in effect does not adequately comply with the requirements of FPA section 205(c).” (Source: Order No. 2001, Paragraph 216)</p> <p>“[A]ny contract that terminated before the date on which service under the contract is due to start need not be reported in Electric Quarterly Reports.” (Source: Order No. 2001-F, Paragraph 15)</p> <p>“[a] transmission-owning public utility that makes transmission sales is responsible for filing its transmission-related information in the EQR, consistent with FPA section 205(c). As with other public utilities, to the extent RTOs or ISOs make wholesale power sales or transmission sales, they must report these sales in their own EQRs.” (Source: Filing Requirements for Electric Utility Service Agreements, 157 FERC ¶ 61,180 (2016), Paragraph 27)</p> <p>“To the extent that an RTO makes wholesale power sales or transmission</p>

	Item	Filing Guidance	Reference
		<p>in the Contract Data section of the EQR. They are not reported in the Transaction Data section.</p>	<p>sales, these sales are subject to the same reporting requirements that would be applicable to any other public utility. To the extent that an RTO facilitates transactions by its members but title to the power never passes to or from the RTO, these transactions would be reported by the parties making the sales and not by the RTO itself.” (Source: Order No. 2001, Paragraph 335)</p> <p>“[T]he Commission will continue to require the entities making wholesale sales, including sales to the RTO/ISO or through the RTO/ISO markets, to report such sales in their EQRs, rather than requiring the RTO or ISO to report these sales directly in the EQR. Under FPA section 205(c), every public utility must file with the Commission schedules showing their rates, terms and conditions of jurisdictional services in a convenient form and place for public inspection. In implementing FPA section 205(c), Order No. 2001 required public utility <i>sellers</i> to file contract and transaction information about their wholesale sales in the EQR, including sales they make to an RTO/ISO, or through an RTO’s or ISO’s market.” (Source: Order No. 768-A, Paragraph 18)</p> <p>“The Commission will continue to require public utility <i>sellers</i> to report their wholesale sales in the EQR, including sales to an RTO or ISO. RTOs or ISOs must continue to file their own EQRs to the extent they make wholesale power or transmission sales.” (Source: Order No. 768-A, Paragraph 18)</p> <p>“Although we will not require RTOs to make EQR filings to satisfy other public utilities’ obligations under section 205(c) to have their rates on file, we reiterate that RTOs and ISOs may file power sales transaction information on behalf of a member or participant as an agent, if authorized by the member or participant to do so.” (Source: Order No. 768-A Paragraph 18)</p> <p>“[W]e likewise will require non-public utilities to report in their EQRs any sales they make to RTOs or ISOs.” (Source: Order No. 768-A, Paragraph 19)</p>

	Item	Filing Guidance	Reference
18	Index Publishers	<p>Filers that report to Index Publishers shall note this in the ID Data Section of their EQR.</p>	<p>“Therefore, we will require each EQR filer to report in the ID Data section the particular index publisher to which they report transactions, if applicable, and specify the types of transactions reported to the index publisher(s), if applicable. To the extent an EQR filer identifies only the name of an index publisher(s) in the ID data section of the EQR, the Commission expects the index publisher(s) reported in the EQR to reflect the entity or entities to which the market participant is reporting all of its trades.” (Source: Order No. 768, Paragraph 129)</p> <p>“[W]e expect filers to notify Commission staff by emailing eqr@ferc.gov if they begin reporting to an index publisher that is not listed in the EQR.” (Source: Order No. 768, Paragraph 130)</p>
19	Conforming Service Agreements	<p>All service agreements that conform to the standard form of service agreement in the applicable tariff and are included in a company’s EQR need not be filed separately with the Commission.</p> <p>All service agreements and contracts are required to be reported in the EQR once service under them begins. They remain in the EQR from quarter to quarter, until they are terminated.</p> <p>All contracts must have at least one product.</p>	<p>“[P]ublic utilities that have standard forms of agreements in their transmission, cost-based power sales tariffs, or tariffs for other generally applicable services will no longer file conforming agreements with the Commission. The filing requirements of FPA section 205(c) will be satisfied by the standard forms of agreements and by the electronic filing of Electric Quarterly Reports. Electric Quarterly Reports will be filed with the Commission, and the Commission will post them on FERC’s Internet web site.” (Source: Order No. 2001, Paragraph 18)</p>

	Item	Filing Guidance	Reference
20	Unexecuted and Non-conforming Agreements	Unexecuted and non-conforming service agreements must be separately filed with the Commission, in addition to being reported in the EQR.	<p>“All Unexecuted and Nonstandard Non-Market-Based Rate Agreements Are Nonconforming Agreements and must Be Filed with the Commission for Approval.” (Source: Order No. 2001, Paragraph 188.)</p> <p>“[I]f an agreement does not precisely match the applicable standard form of service agreement, or if the agreement is unexecuted, it is necessarily nonconforming and must be filed individually for Commission approval.” (Source: Order No. 2001, Paragraph 196)</p> <p>“There is nothing i[n] this proceeding proposing any change on how the Commission will process, analyze and review unexecuted and/or nonconforming agreements. The regulation specifically requires that utilities must continue to file unexecuted and nonconforming agreements with the Commission under the existing and otherwise unchanged filing requirements of Part 35.” (Source: Order No. 2001, Paragraph 198)</p> <p>“[A]greements for transmission, cost-based power sales, and other generally applicable services that do not conform to an applicable standard form of agreement in a public utility’s tariff, including agreements with individualized terms and conditions or unexecuted agreements for any service, must continue to be filed with the Commission for approval before going into effect.” (Source: Order No. 2001, Paragraph 19)</p> <p>Any individually executed service agreement for transmission, cost-based power sales, or other generally applicable services that deviates in any material respect from the applicable form of service agreement contained in the public utility’s tariff and all unexecuted agreements under which service will commence at the request of the customer, are subject to the filing requirements of this part.” (Source: 18 C.F.R. 35.1(g))</p> <p>“To the extent a public utility adopts a standard form of service agreement for a service other than market-based power sales, the public utility shall include as part of its applicable tariff(s) an unexecuted standard service agreement approved by the Commission for each category of generally applicable service offered by the public utility under its tariff(s).” (Source: 18 C.F.R. § 35.10a (a))</p>

	Item	Filing Guidance	Reference
21	Market-Based Rate Service Agreements	All market-based rate service agreements and contracts are required to be reported in the EQR but do not necessarily need to be filed with the Commission. Certain long-term, firm agreements to purchase power are reported to the Commission through the asset appendix. If a Seller's output is fully committed, it may submit information on its sales in a market-based rate proceeding in lieu of submitting screens. For more information, visit the Electric Market-Based Rates webpage .	"[T]he standard forms of service agreements are not applicable to market-based rate agreements. Public utilities will continue to file requests for market-based rate authority on a case-by-case basis, and agreements under the umbrella tariffs approved in these cases need not be filed with the Commission. However, public utilities (both traditional utilities and power marketers) will include data about their market-based power sales in their Electric Quarterly Reports." (Source: Order No. 2001 , Paragraph 20)
22	Sales under the WSPP Agreement	Cost-based rate sales under the WSPP Agreement should cite the WSPP tariff, and market-based sales made under the WSPP Agreement should cite the Seller's market-based rate tariff. The Seller (or their designated Agent) will need to report the WSPP Agreement separately for each counterparty. The application of the WSPP Agreement to a given counterparty should be reported once a transaction occurs with the counterparty and should continue until the reporting company leaves the WSPP Agreement or determines that it is unlikely to do	"In addition, as requested by EEI, we confirm that cost-based sales made under the WSPP Agreement should cite the WSPP tariff, and market-based sales made under the WSPP Agreement should cite the Seller's market-based rate tariff." (Source: Order No. 2001-G , Paragraph 17)

	Item	Filing Guidance	Reference
		<p>a bilateral transaction with the counterparty under the WSPP. The Commencement Date of Contract Terms and Contract Execution Date should be reported as the date that the Seller joined WSPP.</p>	
23	Transmission Capacity Reassignment Data	<p>Transmission providers are required to report in the EQR any capacity reassignment agreements and transactions that occur under the transmission provider’s OATT. While resellers may negotiate the terms of a reassignment, the assignee must have an agreement in place with the transmission provider prior to the resale taking place.</p> <p>Information about the special reporting conventions associated with reporting capacity reassignment data in the EQR is available at: Notice Providing Guidance on the Filing of Information on Transmission Capacity Reassignments in Electric Quarterly Reports, 124 FERC ¶ 61,244 (2008).</p>	<p>“In order to increase our oversight of reassigned capacity, we find that all reassignments must instead be accomplished by the assignee executing a service agreement with the transmission provider that will govern the provision of reassigned service.” (Source: Order No. 890, Paragraph 816)</p> <p>“Although the reseller may negotiate the relevant price with the assignee, the reassignment itself is governed by the transmission provider’s OATT. The reseller’s market-based rate tariff is no longer relevant or controlling.” (Source: Order No. 890-A, Paragraph 431)</p> <p>“We direct transmission providers to include in their EQRs the identity of the reseller and indicate whether the reseller is affiliated with the transmission provider. Each transmission provider also must include the rate that would have been charged under its OATT had the secondary customer purchased primary service from the transmission provider for the term of the reassignment.” (Source: Order No. 890-B, Paragraph 84)</p> <p>“Transmission providers should not aggregate multiple transactions into single line items on the EQR. All terms must instead be fully described and rates provided for each reassignment.” (Source: Order No. 890-B, Paragraph 85)</p>
24	Booked Out Power	<p>Energy or capacity sales that are booked out must be reported in the EQR.</p>	<p>“(U)nder FPA Section 205(c), we find that the power sales transactions that make up book out transactions must be reported to us in Electric Quarterly Reports.” (Source: Order No. 2001, Paragraph 285)</p>

	Item	Filing Guidance	Reference
		<p>Booked Out Power should never be reported in the Contracts Data Section of the EQR.</p> <p>Offsetting transactions in RTO/ISO markets must be reported in the EQR in accordance with the Real Time/Day Ahead guidance document available at https://www.ferc.gov/docs-filing/eqr/q2-2013/ref-help.asp.</p>	<p>“[A] ‘book out’ is the offsetting of opposing buy-sell transactions.” (Source: Order No. 2001, Paragraph 279)</p> <p>“Order No. 2001 requires the reporting of ‘book out’ transactions. Order No. 2001 defines book outs as the offsetting of opposing buy-sell transactions at the same time and place and gives examples of transactions that must be reported in Electric Quarterly Reports. For example, if A sells 50MW of power to B, and for the same time period and location B sells 50MW of power back to A, the transactions would be booked out in their entirety and no transmission would be required. Nonetheless, the transactions must both be reported in Electric Quarterly Reports. Likewise, using the example given in Order No. 2001, if A sells 50MW to B and, for the same time period and location B sells 60MW back to A, then all of these separate transactions must be reported in Electric Quarterly Reports even though only 10MW would be transmitted to A. A would report a 50MW power sale to B, and B would report a 60MW power sale to A.” (Source: Order No. 2001-A, Paragraph 22)</p> <p>“Report Book Outs on a Disaggregated Basis.” (Source: Order No. 2001, Paragraph 292)</p>
25	Ancillary Services	<p>Ancillary services are reported if they are part of a power sale; they need not be reported if they are associated with a transmission sale.</p> <p>Ancillary services that are sold under an OATT need to be reported in the Contract Data section but not in the Transaction Data section.</p>	<p>“[A]ncillary service transaction data associated with transmission need not be reported when the transmission services are provided on an unbundled basis.” (Source: Order No. 2001, Paragraph 271)</p> <p>“On the other hand, ancillary service transaction data associated with power sales are currently required to be filed... and the requirement to file these data is retained in this rule.” (Source: Order No. 2001, Paragraph 272)</p>

	Item	Filing Guidance	Reference
		Ancillary services that are sold under an OATT need to be reported in the Contract Data section under the Product Type Name "T".	
26	Financial Transactions	Financial transactions, including futures, options, and RTO or ISO virtual transactions, are not reported in the EQR.	<p>“[O]ptions to purchase power in the future at specified prices -- would be purely financial transactions that would not be reported in Electric Quarterly Reports. In a purely financial transaction, the buyer does not make a power purchase; the buyer merely acquires the right to make a power purchase at a future time at a specified price.” (Source: Order No. 2001-A, Paragraph 25)</p> <p>“Consistent with our prior precedent, contract data and transaction data on any wholesale power sales contract that provides for physical delivery must be reported by public utilities in Electric Quarterly Reports, either as delivered power or as a book out. By contrast, ‘purely financial transactions’ need not be reported in Electric Quarterly Reports.” (Source: Order No. 2001-F, Paragraph 15)</p> <p>“Applying these principles to power sales cleared by a CFTC-approved DCO, when a power sales contract provides for physical delivery and has not been terminated prior to the commencement of service under the contract, transactions under the contract are to be reported in Electric Quarterly Reports. If such a contract is novated and replaced by a contract that does not provide for physical delivery of the power, consistent with our precedent on this issue, the novated contract is purely financial and need not be reported in Electric Quarterly Reports. If the financial contract is re-novated to a contract that does provide for physical delivery, then transactions under the re-novated contract must be reported in Electric Quarterly Reports. Since a book out is a means to avoid physical delivery under a contract when a party appears twice in a delivery chain, <u>see</u> n.2 <u>supra</u>, it differs from a novation where a forward physical contract is terminated and replaced by a financial contract.” (Source: Order No. 2001-F, Paragraph 16)</p>

	Item	Filing Guidance	Reference
			“[E]lectric power futures contracts that do not contain any delivery terms need not be reported in Electric Quarterly Reports.” (Source: Order No. 2001-E , Paragraph 2)
27	Tolling and Barter Transactions	If the payment for a sale is not provided in monetary terms, the value should be converted to a monetary value in the same manner used by the Seller in its SEC and IRS filings and be reported in the EQR.	“Tolling transactions are energy conversion services (i.e., converting gas/oil/coal into MW.) Some contracts provide for barter payments (a portion of the fuel or output.) These are reportable as a sale of electricity under a utility's MBR tariff. Barter transactions should be converted to a monetary basis in the same manner used by the utility in its SEC and IRS filings, and reported on the Electric Quarterly Report.” (Source: Revised Public Utility Filing Requirements, 101 FERC ¶ 61,067 (2002), Paragraph 23)
28	Bundled Service for Grandfathered Agreements and Requirements Service	Report the bundled price for Grandfathered Agreements prior to the effective date of Order No. 888 and Requirements Service only if the component prices are not separately delineated.	<p>“If power is sold at a ‘delivered price’ at a specified point (and transmission and ancillary services are not separately delineated), only the delivered price should be reported on the Electric Quarterly Report as the price of power.” (Source: Revised Public Utility Filing Requirements, 101 FERC ¶ 61,067 (2002), Paragraph 24a)</p> <p>“If the power is purchased at one location and, as part of the sale, it is transmitted to another location, the transmission and any other related charges should be reported separately for market-based prices.” (Source: Revised Public Utility Filing Requirements, 101 FERC ¶ 61,067 (2002), Paragraph 24b)</p> <p>“For grandfathered cost-based rates bundled with transmission, a product name will be added (‘grandfathered bundled’) that identifies the transaction as a grandfathered rate. Grandfathered services are those that provided for bundled transmission, ancillary and energy prior to the effectiveness of Order No. 888's OATTs. For Grandfathered transactions, report the Commission-approved bundled rate without separating the rate into transmission and energy components.” (Source: Revised Public Utility Filing Requirements, 101 FERC ¶ 61,067 (2002), Paragraph 24b)</p>

	Item	Filing Guidance	Reference
			<p>Requirements Service is “Firm, load-following power supply necessary to serve a specified share of customer’s aggregate load during the term of the agreement. Requirements service may include some or all of the energy, capacity and ancillary service products. (If the components of the requirements service are priced separately, they should be reported separately in the transactions tab.)” (Source: EQR Data Dictionary, Appendix A, Requirements Service)</p>
29	Renewable Energy Credits	<p>If a renewable energy credit (REC) is part of a bundled power sale, it needs to be reported in EQR as part of the of the bundled power sale. Filers with a bundled REC transaction are instructed to identify the bundled REC in the Rate Description, Field No. 37.</p>	<p>“[W]hen an unbundled REC transaction is independent of a wholesale electric energy transaction, we conclude, based on available information, that the unbundled REC transaction does not affect wholesale electricity rates, and the charge for the unbundled RECs is not a charge in connection with a wholesale sale of electricity. Thus, an unbundled REC transaction that is independent of a wholesale electric energy transaction does not fall within the Commission’s jurisdiction under sections 201, 205 and 206 of the FPA. In a bundled REC transaction, however, where a wholesale energy sale and a REC sale take place as part of the same transaction, RECs are charges in connection with a jurisdictional service that affect the rates for wholesale energy. Thus, the Commission has jurisdiction over the wholesale energy portion of the transaction as well as the RECs portion of a bundled REC transaction under FPA sections 205 and 206 (regardless of whether the contract price is allocated separately between the energy and RECs).” (Source: WSPP Inc., 139 FERC ¶ 61,061 (2012), Paragraph 24)</p>
30	Components of Total Commodity Price	<p>Additional services that are sold in conjunction with a jurisdictional sale should be reported separately in the EQR.</p>	<p>“The Electric Quarterly Report has a column for the transmission component of energy sales. However, many different services in addition to transmission are associated with energy sales (ancillary services most common). The Commission needs to understand the derivation of the total commodity price. To the extent that there are services delineated in the contract that are part of the total sale, they should be listed on separate lines and priced separately.” (Source: Revised Public Utility Filing Requirements, 101 FERC ¶ 61,067 (2002), Paragraph 24c)</p>

	Item	Filing Guidance	Reference
31	Aggregation	<p>Transaction data may not be aggregated. If the price changes even on a sub-hourly basis, a new line of transaction data must be reported for each price change; the prices cannot be averaged.</p> <p>For Example: If the price changes hourly, the data must be reported hourly for each price point.</p> <p>If a sale occurs as a single price over a month, the transaction may be reported in a single line with all volumes for the month.</p> <p>If a sale occurs at a peak and an off- peak price over a month, it may be reported in two lines for the entire month, as long as the Increment Peaking Name is properly completed.</p>	<p>“[A]ggregated data have never been allowed by the Commission for power marketers’ Quarterly Transactions Reports.” (Source: Order No. 2001, Paragraph 124)</p> <p>“The Commission also rejected the use of aggregated data in Commonwealth Electric Company, 78 FERC ¶ 61,191 (1997). In this order, the Commission directed the reporting of prices for short-term transactions and the reporting of separate prices for wholesale generation, transmission and ancillary services in the quarterly reports. Pursuant to Order Nos. 888 and 888-A, the Commission stated: [a]ccordingly, we will direct the Applicants to revise their market-based power sales tariffs to state explicitly separate prices for generation, transmission and ancillary services.” (Source: Order No. 2001, Paragraph 127)</p> <p>“Aggregated data do not provide sufficient disclosure of rates to the public. Further, market power is possible not just over a market area. It can also be exercised over individual customers. Aggregated data would prevent customers from detecting (and filing a complaint with the Commission about) improper conduct and would be less helpful in promoting competition. We conclude that section 205(c) does not allow the aggregation of this information.” (Source: Order No. 2001-A, Paragraph 20)</p>
32	Billing Adjustments, Data Errors, and Refiling	<p>A Seller must file a revised EQR if more accurate information is obtained up to the end of the following quarter reflecting the best available data. Such revisions are typically associated with billing adjustments.</p> <p>After the following quarter (noted</p>	<p>“The Commission desires to strike a balance between having timely, accurate data and reducing the burden on filing entities. We recognize that many users do not have complete, final data for the full quarter by the EQR filing deadlines. This is particularly true for certain sales to ISOs. This situation has been discussed at length by FERC staff with the EQR Users Group members. As a result, the Commission is requiring that any additions or changes to an EQR filing must be made by the end of the following quarter, at which time, the public utility is expected to file the best available new data. Thereafter, the utility shall file only material changes, either as a full refiling or as a</p>

Item	Filing Guidance	Reference
	<p>above) only material changes resulting from a billing adjustment must be refiled.</p> <p>Data should be filed in a manner consistent with the rules in effect for the respective period. All filings are subject to review regarding consistency to then-current filing requirements.</p> <p>For Example: If a filer discovers in May (prior to the Q2 filing deadline) that Q1 data needs to be refiled due to a billing adjustment, those adjustments must be made to each contract and transaction impacted by the adjustment. If the filer receives a billing adjustment in October, a refiling is necessary only if it would result in a material change.</p> <p>A Seller must file a revised and corrected EQR if data errors are identified. Filers are required to make corrections going back 12 quarters (3 years). Filers are required to use the Notes field within the report to describe the correction.</p> <p>When making corrections to filings</p>	<p>transaction with the class name "Billing Adjustment." The public utility shall add any billing adjustment transaction to the prior quarter in which the change is applicable and then, refile for that quarter." (Source: Order No. 2001-E, Paragraph 9)</p> <p>"The 'BA' [Billing Adjustment] class name is intended to be an option allowing EQR filers to reflect material price changes long after the settled prices were considered final. Occidental's observation that RTO/ISO sales data are likely to change after the EQR filing deadline strengthens the Commission's conviction that the data must be refiled to reflect the actual rates charged and that simply reflecting these changes as a single 'BA' entry is insufficient. Given our finding on this issue, we believe that it would be helpful to revise the definition of 'BA-Billing Adjustment' proposed in the EQR Notice to clarify the intended nature of the 'BA' class name. Thus, we have revised the definition for 'BA-Billing Adjustment' in the EQR Data Dictionary that we are adopting in this order to provide this clarification." (Source: Order 2001-G, Paragraph 34)</p> <p>"Specifically, in recognition of the fact that public utilities may not have complete, final data for the full quarter by EQR filing deadlines, the Commission requires that any additions or changes to an EQR filing must be made by the end of the following quarter, when the filer is expected to file the best available new data. Filers are required to file material changes, either as a full refiling or as a transaction with the class name 'Billing Adjustment.' It is worth emphasizing that refiling EQRs, with a billing adjustment to reflect the receipt of new information, is only necessary if the filer considers the change to previous EQR totals to be material. The Commission has found that this policy balances the need for timely, accurate EQR data, while reducing the burden on filing entities by identifying price changes on a transaction-by-transaction basis due to some after-the-fact billing transaction long after the EQR was due. In the case of budget-based billing, nonpublic utility cooperatives are not covered by FPA section 205 and the true-up process will likely have little effect on the market dynamics the Commission is trying to capture with this Final Rule. For these reasons, the Commission will exclude true-ups by nonpublic utility cooperatives associated</p>

	Item	Filing Guidance	Reference
		<p>that occur beyond the 12-quarter threshold, see Implementation Guidance of Executive Order 13579 - Entering Notes to Corrected EQR Filings.</p>	<p>with budget-based billing from the EQR’s refiling or billing adjustment policy.” (Source: Order No. 768, Paragraph 84)</p> <p>“According to the EQR Data Dictionary, a Billing Adjustment (BA) designates an incremental material change to one or more transactions due to a change in settlement results. BA may be used in a refiling after the next quarter’s filing is due to reflect the receipt of new information. It may not be used to correct an inaccurate filing.” (Source: Order No. 768, Paragraph 84, footnote 148, citing Order No. 2001-G, 120 FERC ¶ 61,270 at 33)</p> <p>See Implementation Guidance of Executive Order 13579 - Entering Notes to Corrected EQR Filings. See also Plan for Retrospective Analysis of Existing Rules, Docket No. AD12-6-000 (2011)</p>
33	Procedures for Terminating Agreements	<p>Actual contract termination dates must be reported in EQR. The date the agreement terminated should be listed in the Actual Termination Date field and the contract should be omitted from the EQR in the next quarter.</p> <p>Notices of cancellation of conforming service agreements and market-based rate agreements do not need to be filed with the Commission but the filer should remove the cancelled agreement from the EQR in the quarter following the cancellation date.</p> <p>Notices of cancellation of non-</p>	<p>“When an agreement expires, the actual termination date will be entered into the contract data.” (Source: Order No. 2001, Paragraph 321)</p> <p>“If an agreement terminates on a date within the reporting quarter, the utility must enter the actual termination date in the Electric Quarterly Report for that calendar quarter, and remove the agreement from the subsequent Electric Quarterly Report.” (Source: Order No. 2001, Paragraph 250)</p> <p>“Under this rule, agreements that conform to approved standard forms of service agreement and market-based rate agreements may terminate by their own terms without the need for the public utility to file a notice of cancellation or cancellation tariff sheet with the Commission. The public utility simply removes the agreement from its Electric Quarterly Report the quarter after it terminates. For agreements that remain in public utilities’ Commission-maintained tariffs after the implementation date of this rule (basically non-conforming agreements), public utilities also must comply with the requirements to file a notice of cancellation and a cancellation tariff sheet... All proposals to change terms of an agreement without the consent of the customer must be filed with the Commission. Additionally, if an</p>

	Item	Filing Guidance	Reference
		<p>conforming, nonstandard, or unexecuted service agreements need to be cancelled with the Commission, in addition to being removed from the EQR in the quarter following the cancellation date.</p> <p>The actual termination date should reflect the date of cancellation as accepted by the Commission.</p>	<p>agreement terminates on a date other than the original agreement termination date (for instance, due to extension provisions being executed or termination by mutual agreement), the utility must enter the actual termination date in the subsequent Electric Quarterly Report, regardless of whether that agreement is a conforming agreement, a non-conforming agreement, or a market-based rate agreement.” (Source: Order No. 2001, Paragraph 249)</p>

III. SYSTEM REQUIREMENTS

The Commission uses a web-based approach to filing EQRs that allows Sellers to make an EQR filing directly through the Commission's website, either through a web interface or by submitting an Extensible Mark-Up Language-formatted file. This section provides guidance that Sellers must first be registered with the Commission in the Company Registration and eRegistration systems. Sellers must include a company identification number as part of their EQR filings.

	Item	Filing Guidance	Reference
34	Company Registration and eRegistration	<p>Initial validation checks will require that Agents and Sellers be registered with the Commission in the Company Registration and eRegistration systems. An Agent must be assigned to a seller to be able to file EQRs on behalf of that seller. An agent can be assigned to more than one Seller.</p> <p>Account Managers and Agents must complete the full registration in the eRegistration system to be able to submit EQRs.</p> <p>The individual associated with the Seller is called the Account Manager in the Company Registration system.</p>	<p>“The Commission adopts the requirement for EQR sellers to identify themselves using a Company Identifier. . . . Instead of building a new identification system for submitting EQRs, we will utilize the company registration system that was created for eTariff. Using the company registration system to identify EQR sellers allows the Commission to make filer identification consistent with other Commission filings and is familiar to public utilities that use eTariff. Under the new EQR filing system, all EQR sellers will be identified in EQR filings by their Company Identifier.” (Source: Order No. 770, Paragraph 33)</p> <p>“The EQR seller will be able to maintain a list of eRegistered EQR agents whom the EQR seller has authorized to submit EQR filings on its behalf. An EQR seller can designate multiple individuals as its agents.” (Source: Order No. 770, Paragraph 34)</p> <p>“While a parent company or service company may file EQRs on behalf of EQR sellers, an individual will need to be eRegistered and designated as an agent of the EQR sellers. The designated agent may then file an EQR on behalf of the EQR seller.” (Source: Order No. 770, Paragraph 36)</p>

IV. ID DATA

A seller must file EQR ID Data every quarter even if there were no sales during the quarter. The EQR system will only allow filings to be accepted if the Seller, Agent, Company Name, and Contact Information match the information on file within the Commission's eRegistration system. Please refer to the [EQR Data Dictionary](#) posted on the Commission's website for complete definitions and associated values.

	Item	Filing Guidance	Reference
35	Seller/Agent	<p>A seller must, at a minimum, file EQR ID Data every quarter, even if there were no sales during the quarter.</p> <p>Seller and Agent Company Names and the Seller and Agent contact information must match what is in eRegistration and Company Registration to enable the EQR to be submitted.</p>	<p>“Thus, in this Final Rule, we use the phrase ‘EQR seller’ to mean companies that are authorized to sell power under Part 35 of the Commission’s regulations as well as non-public utilities that are required to comply with the EQR filing requirements pursuant to [Order No. 768]. We use the phrase ‘EQR agent’ to mean an entity that an EQR seller designates to file on its behalf.” (Source: Order No. 770, Paragraph 2)</p>

V. CONTRACT DATA

This section provides guidance to Sellers for completing the Contract section of the EQR. Contracts must be reported in the EQR once service under the contract begins, and continue to be reported until they terminate. The contract fields in EQR capture the terms and conditions including; product type, peak type, delivery points and the start and end dates of the contract. Contracts must be up to date and accurate. Please refer to the [EQR Data Dictionary](#) posted on the Commission's website for complete definitions and associated values.

	Item	Filing Guidance	Reference
36	Customer Company Name (EQR Data Dictionary , Field No. 17)	<p>The Customer Company Name is the name of the purchaser of contract products and services. The Customer Company Name must be listed identically in both the Contract Data and Transaction Data sections of the EQR.</p> <p>In contracts with multiple customers, each customer should be listed on a separate record. Other contract identifiers (i.e. Seller Company Name, Contract Service Agreement ID and FERC Tariff Reference) should be the same for each customer under a single contract.</p>	<p>“What the Commission intended is that the contract-related information reported in the EQR should include the current name of the counterparty, as that name may have changed due to contract assignments or for other reasons. In instances where the customer counterparty’s name changes from the customer name included in the original contract, filers should use the name of the current counterparty as the Customer Company Name in the contract and transaction sections of the EQR. To further clarify this point, the Commission will revise the definition of Customer Company Name in the EQR Data Dictionary to read: ‘The name of the purchaser of contract products and services.’” (Source: Order No. 768-A, Paragraph 35)</p>
37	Contract Affiliate (EQR Data Dictionary , Field No. 18)	<p>Contract Affiliate should be “Y” (Yes) if the customer fits the description of an affiliate.</p>	<p>“<i>Affiliate</i> of a specified entity means: (1) Another person that controls, is controlled by or is under common control with, the specified entity. An affiliate includes a division of the specified entity that operates as a functional unit.” (Source: 18 C.F.R. § 358.3)</p>
38	FERC Tariff Reference (EQR Data Dictionary , Field No. 19)	<p>The FERC Tariff Reference should be populated using either the tariff designation or a truncated version of the section title of the</p>	<p>“In cases where a FERC Tariff Reference is not applicable [for a non-public utility], the Commission will require that a filer market ‘NPU’ (to indicate ‘Non-Public Utility’) in those fields. If a non-public utility has a previously filed reciprocity open access transmission tariff (OATT), it should refer to that reciprocity OATT in Field Number 19 under FERC Tariff Reference.” (Source: Order No. 768, Paragraph 75)</p>

	Item	Filing Guidance	Reference
		<p>Seller’s tariff document. For example, a section title using NAESB Business Names and adopted as FERC’s Business Names might include: [Record Content Description]+[Tariff Record Title]+[Record Version Number]+[Option Code].</p> <p>Each time a revision is made to the tariff being referenced, the FERC Tariff Reference field should be updated to reflect the updated tariff.</p> <p>The FERC Tariff Reference is not a docket number. If a contract refers to two tariffs, it should be identified as two separate contracts with two separate FERC Tariff References.</p> <p>For Example: If reporting using the tariff designation: FERC Electric Tariff, Original Volume No. 1 (for original tariff)</p>	<p>“In addition, as requested by EEI, we confirm that cost-based sales made under the WSPP Agreement should cite the WSPP tariff, and market-based sales made under the WSPP Agreement should cite the Seller’s market-based rate tariff...” (Source: Order No. 2001-G, Paragraph 17)</p>

	Item	Filing Guidance	Reference
		<p>FERC Electric Tariff, First Revised Volume No. 1 (for revised tariff)</p> <p>If reporting using the tariff title in eTariff: Market Based Rates, FERC Electric Tariff No. 1, 0.0.0 (for original tariff)</p> <p>Market Based Rates, FERC Electric Tariff No. 1, 1.0.0 (for revised tariff)</p> <p>Cost-based rate sales made under the WSPP Agreement should cite the WSPP tariff, and market-based sales made under the WSPP Agreement should cite the Seller’s market-based rate tariff.</p>	
39	Contract Service Agreement ID (EQR Data Dictionary , Field No. 20)	<p>Each contract identified in an EQR should have a unique Contract Service Agreement ID.</p> <p>The Contract Service Agreement ID is a Filer-designated number that can be used for the filer to readily identify and/or produce the agreement</p>	<p>“Contract Service Agreement ID is a unique (company) name given to each service agreement. It may be the number assigned by FERC for those service agreements that have been filed and approved by the Commission, or it can be an internal numbering system. The filer must be able to readily identify and produce a contract based on the Contract Service Agreement ID.” (Source: Revised Public Utility Filing Requirements, 101 FERC ¶ 61,067 (2002), Paragraph 12)</p> <p>“The Contract Service Agreement ID serves the dual purpose of being a unique method for identifying a particular contract when it is requested and a means of tracking a contract and the activity under a contract from quarter to quarter.” (Source: Order No.</p>

	Item	Filing Guidance	Reference
		<p>when asked to do so. The Contract Service Agreement ID number should remain constant, to the extent practicable, from quarter to quarter.</p>	<p>2001-G, Paragraph 21)</p>
40	<p>Contract Execution Date (EQR Data Dictionary, Field No. 21)</p>	<p>The Contract Execution Date should reflect the date the contract was signed. If the contract was signed on multiple dates, the most recent date should be used.</p>	<p>“The Commission recognizes the benefits of classifying a contractual relationship based on when it originated and will revise the definition of Contract Execution Date as EEI suggests to require companies to report the original date the contract was executed, without regard to any subsequent revisions to the contract.” (Source: Order No. 2001-H, Paragraph 10)</p>
41	<p>Commencement Date of Contract Terms (EQR Data Dictionary, Field No. 22)</p>	<p>The Contract Commencement Date is the date the terms of the contract reported in the EQR were effective.</p> <p>If a contract amendment changes how the contract is reported in the EQR, "the terms of the contract reported in the EQR" have changed, so the commencement date changes to the date those terms "were effective."</p> <p>If there is more than one amendment to the contract reflected in the terms</p>	<p>“In order to alert EQR users that a contract has been revised, the Commission will revise the definition of Contract Commencement Date to refer to the date that service commenced under the current terms and conditions of the contract. The Commission will further clarify that the terms deemed relevant for determining or changing the Contract Commencement Date are those that are reported in the Contract Data section of the EQR. Any amendment that would cause a change in these required data elements would require a change in the Contract Commencement Date.” (Source: Order No. 2001-H, Paragraph 11)</p>

	Item	Filing Guidance	Reference
		<p>reported, then the date of the most recent amendment would be reported as the commencement date.</p> <p>For example: If the contract was executed on March 1, the increment name changed on June 1 and the maximum rate changed October 1, October 1 would be the Contract Commencement Date. For the purposes of determining "the date the terms of the contract reported in the EQR were effective," the date service began may be used if the contract or amendment does not have an effective date. Similarly for this field, the effective date may be used as the date service began.</p> <p>If the terms of a contract change during a quarter, sales under the contract and the amended contract should be reported separately.</p>	

	Item	Filing Guidance	Reference
42	Term Name (EQR Data Dictionary, Field No. 27)	<p>The Term Name should reflect the duration of the contract and the terms thereof and not individual deals that are transacted under it. The term of individual deals will be provided in the Transaction Data section of the EQR.</p> <p>An evergreen contract would be considered a long term contract because the contract can and usually is extended beyond one year.</p>	
43	Increment Name (EQR Data Dictionary, Field No. 28)	<p>In the Contract Data section of the EQR, the Increment Name is intended to define the intended duration of the contract being described. The contract’s duration should be determined by period under which the provisions of the contract being summarized remain unchanged.</p> <p>The hours in the definition refer to the underlying contract not the services provided under the</p>	<p>“The Increment Name field is intended to provide information regarding the duration of the terms agreed upon in the contract or transaction. If completed correctly, this field provides information about whether a sale at a given price for a full day was the result of a daily sale or, possibly, a monthly sale with a daily index.” (Source: Order 2001-G, Paragraph 39)</p> <p>“In Order No. 2001-G, the Commission explained that the “Increment Name” fields are “intended to provide information regarding the duration of the terms agreed upon in the contract or transaction” and that the definitions do not refer to the characteristics of the sales themselves. The Commission provided, as an example, a monthly peak-only sale priced on a daily index and stated that, because the “quantity sold, the hours of flow, and the pricing method” are set for the entire month, it should be designated as “Monthly” in the “Increment Name” field in the Transaction Data section (current Field Number 61).” (Source: Filing Requirements for Electric Utility Service Agreements, 157 FERC ¶ 61,180 (2016), Paragraph 11)</p>

	Item	Filing Guidance	Reference
		<p>contract, i.e. transactions. If a contract for peak power lasts a year, the contract will have an increment name of "Y" even though the power does not flow every hour.</p> <p>Where the contract is a Master Agreement providing no specific terms for any transactions reported in the EQR, the filer may use "N/A." The duration of the individual deals should be provided in the description of transactions.</p> <p>If the contract provides the specific terms of the agreement (as opposed to a Master Agreement), the increment name for the contract products is likely to be the same as the increment name for transactions under that contract—i.e., the underlying deal behind the transactions is the contract itself.</p>	

	Item	Filing Guidance	Reference
		<p>A long-term contract will have an increment name of “Y,” even if the pricing terms under the contract are calculated based on an index or some pre-defined formula. The increment name will not be “Y” if the parties to the contract can renegotiate price and/or quantity more frequently than annually.</p>	
44	<p>Product Type Name (EQR Data Dictionary, Field No. 30)</p>	<p>The Product Type Name is determined by the nature of the FERC tariff under which it is sold. Product Names under a single contract must have the same Product Type Name.</p> <p>There should be no cost-based products under a market-based rate contract. Even if the pricing of the product is based on the cost of inputs (e.g., an energy price based on the price of natural gas), the Product Type Name is Market-Based if it is sold under a market-based tariff.</p>	<p>Information on reporting Transmission Capacity Reassignments in the EQR can be found at: Notice Providing Guidance on the Filing of Information on Transmission Capacity Reassignments in Electric Quarterly Reports, 124 FERC ¶ 61,244 (2008)</p>

	Item	Filing Guidance	Reference
		<p>Capacity Reassignments are identified with the Product Type Name "CR" in Field No. 30, using the appropriate Product Name (e.g., Point-to-Point Agreement) and all relevant price, quantity and, where relevant, receipt/delivery point information.</p>	
45	<p>Product Name (EQR Data Dictionary, Field No. 31 and Appendix A)</p>	<p>The list of available Product Names is provided in Appendix A of the EQR Data Dictionary.</p> <p>If a contract includes multiple products, each has to be reported separately.</p> <p>Under a Master Agreement that provides a menu of products that may be offered, only those products that are offered need to be reported. If during a quarter, a new product is offered, that product must be identified under the contract beginning that quarter. If a product is identified as sold under a contract in the</p>	<p>"To simplify the compilation of EQR data and to facilitate data analysis, the lists of valid data entries for the 'Product Name' [] are being streamlined. The resulting streamlined lists are provided in Appendix [A Staff has worked collaboratively with EQR User Group members to define Product Names and to determine which entries best capture the desired data.]"(Source: Order No. 2001-E, Paragraph 11)</p>

	Item	Filing Guidance	Reference
		<p>Transaction Data section of the EQR, it must be identified as a product in the Contract Data section.</p> <p>Booked out power is not reported as a product in the Contracts portion of the EQR.</p>	
46	<p>Quantity (EQR Data Dictionary, Field No. 32)</p>	<p>If sales quantities are defined in the contract they must be provided in EQR. Each change in sales quantity over the life of the contract (e.g., 100 MWh during the summer and 50 MWh during the winter) must be provided in a separate record.</p>	

	Item	Filing Guidance	Reference
47	Contract Rates	At least one of four rate fields (34, 35, 36, or 37) must be included for each contract. However if the contract specifies the rate, rate minimum, or a rate maximum, all of the specified fields must be reported to the EQR. If more than one rate is specified in the contract (e.g., \$50/MWh in 2016 and \$52/MWh in 2017), each of those rates must be included as separate contract record.	“At least one of the four rate fields (rate, rate minimum, rate maximum, rate description) must be filled out. For example, most market-based rates should state "Market-Based Rate" in the Rate Description Field.” (Source: Revised Public Utility Filing Requirements, 101 FERC ¶ 61,067 (2002) , Paragraph 15 <i>See also</i> EQR Data Dictionary Field Nos. 34 through 37(Source: Revised Public Utility Filing Requirements, 101 FERC ¶ 61,067 (2002) , Paragraph 15 <i>See also</i> EQR Data Dictionary Field Numbers 34 through 37)
48	Rate Units (EQR Data Dictionary , Field No. 38)	The Rate Unit reported should be appropriate to the corresponding product name. The Rate Unit should reflect what is in the contract. See Appendix F of the EQR Data Dictionary for a list of valid values.	
49	Point of Receipt Balancing Authority (PORBA) (EQR Data Dictionary ,	Receipt balancing authority and specific location applies to transmission and transmission-related contracts. See the EQR page at	“We are also updating the list of Balancing Authority names and abbreviations . . . to reflect recent changes made by the new official source of such data, the Open Access Technology, Inc. (OATI) webRegistry.” (Source: Order No. 768-A , Paragraph 55)

	Item	Filing Guidance	Reference
	Field No. 39)	https://www.ferc.gov/docs-filing/eqr.asp for a list of allowable entries.	
50	Point of Receipt Specific Location (PORSL) (EQR Data Dictionary , Field No. 40)	<p>Receipt balancing authority and specific location applies to transmission and transmission-related contracts.</p> <p>Report specific locations as they are listed in the contract. If no specific locations are listed in the contract, this field may be left blank.</p> <p>If the contract lists several specific receipt/delivery points, the points may be descriptively summarized (e.g., all points east of a specific interconnect). “Various” may only be used if “various” appears in the contract.</p>	<p>“POR and POD should be reported the way it is written in the agreement. If, for example, the agreement lists the information at the Control Area level, then the use of the POR or POD control area data element will be accepted. If the agreement specifies a specific location, then respondents should use the POR or POD specific location data element. (Source: Order No. 2001, Paragraph 314)</p>
51	Point of Delivery Balancing Authority (PODBA) (EQR Data	Sales delivered at the interconnection between two balancing authorities should use the receiving PODBA.	<p>“For purposes of EQR reporting, we can categorize sales from the United States heading towards Canada into three categories: (1) sales originating in the United States that are delivered in the United States; (2) sales originating in the United States where title changes on the United States’ side of the United States-Canada border; and (3) sales originating in the United States where title changes in Canada. In the first instance, the sale is reported in the EQR with the PODBA being a balancing authority within the United</p>

	Item	Filing Guidance	Reference
	Dictionary , Field No. 41)	<p>If the term HUB is used in the PODBA, use a valid value in the PODSL field.</p> <p>Only jurisdictional sales should be reported in the EQR. Sales delivered within Canada, Mexico, or ERCOT are not jurisdictional.</p> <p>Sales delivered at the United States' side of the border with Canada or Mexico should be reported using the U.S. PODBA.</p> <p>See the EQR page at https://www.ferc.gov/docs-filing/eqr.asp for a list of allowable entries.</p>	<p>States. In the second instance, the sale is reported in the EQR with a PODBA on the United States' side of the United States-Canada border. In the third instance, the sale, which is not jurisdictional, would not be reported in the EQR." (Source: Order No. 2001-G, Paragraph 64)</p> <p>"In the case of sales from Canada, for purposes of EQR reporting we can likewise divide these sales into three categories: (1) sales originating in Canada that are delivered within Canada; (2) sales originating in Canada where title changes on the Canadian side of the United States-Canada border; and (3) sales originating in Canada where title changes in the United States. In the first instance, the sale, which is not jurisdictional, would not be reported in the EQR. Likewise, sales in the second instance would not be jurisdictional and would not be reported in the EQR; however, if there is a subsequent resale that takes that power from the border into the United States, that resale would be reported with a PODBA within the United States. In the third instance, the sale would be reported using a United States' PODBA." (Source: Order No. 2001-G, Paragraph 65)</p> <p>"We are also updating the list of Balancing Authority names and abbreviations . . . to reflect recent changes made by the new official source of such data, the Open Access Technology, Inc. (OATI) webRegistry." (Source: Order No. 768-A, Paragraph 55)</p>
52	Point of Delivery Specific Location (PODSL) (EQR Data Dictionary , Field No. 42)	Report specific locations as they are listed in the contract. If no specific locations are listed in the contract, this field may be left blank.	"POR and POD should be reported the way it is written in the agreement. If, for example, the agreement lists the information at the Control Area level, then the use of the POR or POD control area data element will be accepted. If the agreement specifies a specific location, then respondents should use the POR or POD specific location data element. (Source: Order No. 2001 , Paragraph 314)
53	Begin Date and End Date (EQR Data	The Begin and End dates are not simply a duplication of the Contract	"Begin and End Dates apply to contract products, rather than the whole contract, and are to be used when there are multiple time frames addressed in the contract. If all products listed in the contract begin and end on the same dates as the contract does, there is no

	Item	Filing Guidance	Reference
	<p>Dictionary, Field Nos. 43 and 44)</p>	<p>Commencement, Execution or Termination dates. If, for example, the contract states a price for a product in each of three calendar years (e.g., \$48/MWh in 2018, \$50/MWh in 2019 and \$52/MWh in 2020), each year’s price would be specified on a separate line using the appropriate begin and end dates.</p> <p>The “Begin Date” and “End Date” should reflect what is in the contract. If not specified in the contract, field should remain blank. The “Begin Date” is the first date and time for the sale of the product at the rate specified. The “End Date” is the last date and time for the sale of the product at the rate specified.</p>	<p>need to list dates in these Begin and End Date fields. Therefore, in most cases, these fields will be left blank. An example of when and how these fields should be used is this: in a five-year power sales contract with a different quantity and price specified for each year, the product (power) would be listed on five lines. Each listing would have a unique begin and end date and the price assigned for each year would be listed on the appropriate line. Another example is a transmission contract with several ancillary services. The transmission service and each of the ancillary services could have different begin and end dates.” (Source: Revised Public Utility Filing Requirements, 101 FERC ¶ 61,067 (2002), Paragraph 14e)</p>

VI. TRANSACTION DATA

This section provides guidance to Sellers for completing the Transaction section of the EQR. Transaction data provides information about the power sales a Seller makes during the reporting period. Transaction data reporting begins with the first Electric Quarterly Report filed after service commences under an agreement, and continues until the Electric Quarterly Report filed after the agreement expires or by order of the Commission. Each transaction must be associated with a specific contract. There can be multiple transactions associated with the same contract. Please refer to the [EQR Data Dictionary](#) posted on the FERC website for complete definitions and associated values.

	Item	Filing Guidance	Reference
54	Transaction Unique ID	<p>An integer preceded by the letter "T" is needed by the system to incorporate the data into the database.</p> <p>There are 4 key fields in both the Contract Data and the Transaction Data sections of the EQR that must match. This is necessary so that every individual transaction can be associated with a specific contract.</p> <p>The four fields that must match are:</p> <ol style="list-style-type: none"> 1) Seller Company Name (Field No. 16 in the Contract Data section and Field No. 46 in the Transaction Data section) 2) Customer Company Name (Field No. 17 in the Contract Data section and Field No. 47 in the Transaction Data section) 3) FERC Tariff Reference (Field No. 19 in the Contract Data section and Field No. 48 in the Transaction Data section) 4) Contract Service Agreement ID (Field No. 20 in the Contract Data section and 	(This is a necessary technical field for EQR submissions.)

	Item	Filing Guidance	Reference
		<p>Field No. 49 in the Transaction Data section)</p> <p>The system requires a distinctive number for each Transaction Unique ID.</p>	
55	Transaction Unique Identifier (EQR Data Dictionary , Field No. 50)	The Transaction Unique Identifier is a filer-selected designation that relates multiple records of data to a single transaction. For example, if a sale includes capacity and energy, the Transaction Unique Identifier would be the same for both records of data.	(This is a necessary technical field for EQR submissions.)
56	Transaction Begin Date (EQR Data Dictionary , Field No. 51)	The Transaction Begin Date and time must be no earlier than the beginning of the reporting quarter and must occur before the Transaction End Date.	“(The) Transaction Begin Date must be prior to the end of the reporting quarter and no earlier than the beginning of the reporting quarter.” (Source: Order No. 2001-A , Paragraph 9)
57	Transaction End Date (EQR Data Dictionary , Field No. 52)	<p>The Transaction End Date and time must be after the beginning of the reporting quarter and no later than the end of the reporting quarter. The Transaction End Date and time must be later than the Transaction Begin Date and time. It is valid to use the beginning of the next hour as the hour in the Transaction End Date. For example, a transaction that begin at 8:00 A.M. on June 9 and lasts one hour</p>	“(The) Transaction end date and time must be after the beginning of the reporting quarter and no later than the end of the reporting quarter.” (Source: Order No. 2001-A , Paragraph 9)

	Item	Filing Guidance	Reference
		<p>may be reported with a Transaction End Date of June 9, 9:00 A.M.</p> <p>A transaction that ends at or runs beyond the end of a quarter may report midnight of the first day of the next quarter as the Transaction End Date.</p>	
58	<p>Trade Date (EQR Data Dictionary, Field No. 53)</p>	<p>Trade date is required for transactions entered into on or after July 1, 2013.</p> <p>The correct Trade Date for a day-ahead energy sale to an RTO or ISO is the day before the power flowed; the proper Trade Date for a real-time energy sale is the day the power flowed.</p> <p>If the pricing detail is provided in the contract, then the Contract Execution Date should be reported as Trade Date.</p> <p>Uplift is reported in the EQR. The trade date for uplift depends on whether the uplift is associated with the day-ahead or real-time market.</p>	<p>“The Commission concludes that requiring market participants to report the date on which parties to a reported transaction agreed upon a price (trade date) is necessary to improve market transparency.” (Source: Order No. 768, Paragraph 91)</p> <p>“[I]n cases where pricing detail is provided in the contract description, the Contract Execution Date should be considered the trade date.” (Source: Order No. 768, Paragraph 92)</p> <p>“With respect to the appropriate Trade Date in instances where the price is amended subsequent to the initial contract execution date, we clarify that the parties should report the Trade Date as the date they agreed to the subsequent price change. The intent of this field is to enable the Commission to better characterize market conditions under which the pricing terms reported were determined. If a contract amendment changes the pricing terms, that change should be reflected in the Trade Date.” (Source: Order No. 768-A, Paragraph 43)</p> <p>“With respect to the proper Trade Date for a sale to an RTO or ISO, the Commission clarifies that the Trade Date is when the markets clear. Accordingly, the correct Trade Date for a day-ahead energy sale to an RTO or ISO is the day before the power flowed; the proper Trade Date for a real-time energy sale is the day the power flowed. Similarly, the day the markets clear should also be used as the Trade Date for uplift. For example, if an uplift</p>

	Item	Filing Guidance	Reference
			<p>credit is related to a day-ahead energy sale to an RTO or ISO, the correct Trade Date for the uplift credit is the day before the power flowed. If an uplift credit is related to a real-time energy sale to an RTO or ISO, the correct Trade Date for the uplift credit is the day the power flowed.</p> <p>“[W]e note that the Trade Date requirement will be applied prospectively so that only the Trade Date for transactions entered into on or after July 1, 2013 and reported in the third quarter of 2013 EQR must be reported.” (Source: Order No. 768-A, Paragraph 44)</p>
59	Exchange/Brokerage Service (EQR Data Dictionary , Field 54)	<p>Filers shall report whether a brokerage or exchange was used to consummate a transaction using the conventions of Appendix H.</p>	<p>“For purposes of this rulemaking, we clarify that the term ‘use’ of an exchange or broker encompasses instances where the exchange’s or broker’s services were used to consummate or effectuate a transaction. The term ‘use’ does not cover instances where an index developed by an exchange or broker is used to identify or set the price for a transaction. We also clarify that ‘exchanges’ refer to trading platforms like ICE or NYMEX.” (Source: Order No. 768, Paragraph 138)</p> <p>“The Commission will not require the names of the brokers to be disclosed.” (Source: Order No. 768, Paragraph 140)</p>
60	Type of Rate (EQR Data Dictionary , Field No. 55)	<p>The Types of Rate are:</p> <ul style="list-style-type: none"> (1) Fixed (2) Formula (3) Electric Index (4) RTO/ISO <p>The Type of Rate is required for transactions entered into on or after July 1, 2013.</p>	<p>“If the price is the result of an RTO/ISO market and the sale is made to the RTO/ISO, its rate type is ‘RTO/ISO.’ If no variables are used to determine the rate, it should be marked as ‘fixed.’ This would include transactions where the specific price is stated or a specific price with a predetermined escalator is provided (e.g., \$35.00/MWh, increasing by 2 percent each year). Under a transaction classified with the rate type ‘fixed,’ both parties would know on the trade date the exact price of the product(s) in that transaction.” (Source: Order No. 768, Paragraph 107)</p> <p>“We clarify that the rate type ‘RTO/ISO’ in Order No. 768 is ‘the result of an RTO/ISO market or the sale is made to the RTO/ISO.’ We will modify the EQR Data Dictionary definition of rate type ‘Electric Index’ to state: ‘A calculation</p>

	Item	Filing Guidance	Reference
			<p>of a rate based upon an index or formula that contains an electric index component.’ We also clarify that, for purposes of Rate Type, ‘Electric Index’ is an index published by an index publisher such as those required to be listed in Field Number 73 or a price published by an RTO/ISO (e.g., PJM West or Illinois Hub). Thus, where a price is based on an electric index that references an RTO/ISO pricing point (e.g., PJM West or Illinois Hub) the Type of Rate should be reported as ‘Electric Index.’” (Source: Order 768-A, Paragraph 47)</p> <p>“Consistent with the clarified definition of ‘Electric Index’ Type of Rate as a ‘A calculation of a rate based upon an index or formula that contains an electric index component,’ in a situation where a formula is tied to an RTO/ISO price, such as the greater of the RTO/ISO price or the contract price, the Type of Rate should be listed as ‘Electric Index.’ It is not a ‘Formula’ Type of Rate because it contains an electric index component, the RTO/ISO price. It is not an ‘RTO/ISO’ Type of Rate because it is not the ‘result of an RTO/ISO market or [a] sale [] made to the RTO/ISO.’”(Source: Order 768-A, Paragraph 47)</p> <p>“If the transaction uses an electric-based index in any way, either as a base price or as a means to determine a basis, it should be identified as an ‘electric index.’” (Source: Order No. 768, Paragraph 108)</p> <p>“If the price in the transaction is otherwise determined by a formula, including a formula that uses indices that do not describe specific electric prices, such as a cost of living index or coal or natural gas prices, it should be designated as rate type ‘formula.’” (Source: Order No. 768, Paragraph 108)</p>
61	Time Zone (EQR Data Dictionary , Field No. 56 and Appendix D)	The Time Zone reported is relative to the area in which the transaction took place, not necessarily the location of the trading parties or the Seller’s trade capture system. See Time Zone Table, Appendix D of the Data Dictionary for	“The Commission will, however, continue to require EQR filers to report the time zone where the transaction took place in the transaction section (i.e., new Field Number 56).” (Source: Order No. 768 , Paragraph 121).

	Item	Filing Guidance	Reference
		acceptable values.	
62	Point of Delivery Balancing Authority (PODBA) (EQR Data Dictionary , Field No. 57)	<p>Sales delivered at the interconnection between two balancing authorities should use the receiving PODBA.</p> <p>If the term HUB is used in the PODBA, use a valid value in the PODSL field.</p> <p>Only jurisdictional sales should be reported in the EQR. Sales delivered within Canada, Mexico, or ERCOT are not jurisdictional.</p> <p>Sales delivered at the United States’ side of the border with Canada or Mexico should be reported using the U.S. PODBA.</p> <p>If an allowable Balancing Authority entry was used in the PODBA, the PODSL is a free-form text field. A hub transaction that goes to delivery should be reported using the specific location of the delivery. This would entail identifying the Point of Delivery Balancing Authority (PODBA) and Point of Delivery Specific Location (PODSL) in the EQR.</p> <p>See the EQR page at</p>	<p>“For purposes of EQR reporting, we can categorize sales from the United States heading toward Canada into three categories: (1) sales originating in the United States that are delivered in the United States; (2) sales originating in the United States where title changes on the United States’ side of the United States-Canada border; and (3) sales originating in the United States where title changes in Canada. In the first instance, the sale is reported in the EQR with the PODBA being a balancing authority within the United States. In the second instance, the sale is reported in the EQR with a PODBA on the United States’ side of the United States-Canada border. In the third instance, the sale, which is not jurisdictional, would not be reported in the EQR.” (Source: Order No. 2001-G, Paragraph 64)</p> <p>“In the case of sales from Canada, for purposes of EQR reporting we can likewise divide these sales into three categories: (1) sales originating in Canada that are delivered within Canada; (2) sales originating in Canada where title changes on the Canadian side of the United States-Canada border; and (3) sales originating in Canada where title changes in the United States. In the first instance, the sale, which is no jurisdictional, would not be reported in the EQR. Likewise, sales in the second instance would not be jurisdictional and would not be reported in the EQR; however, if there is a subsequent resale that takes that power from the border into the United States, that resale would be reported with a PODBA within the United States. In the third instance, the sale would be reported using a United States’ PODBA.” (Source: Order No. 2001-G, Paragraph 65)</p> <p>“We are also updating the list of Balancing Authority names and abbreviations . . . to reflect recent changes made by the new official source of such data, the Open Access Technology, Inc. (OAT!) webRegistry.” (Source: Order No. 768-A, Paragraph 55)</p>

	Item	Filing Guidance	Reference
		https://www.ferc.gov/docs-filing/eqr.asp for a list of allowable entries.	
63	Point of Delivery Specific Location (PODSL) (EQR Data Dictionary , Field No. 58)	Either a standardized hub name or a specific location where the product was actually delivered should be listed. If "HUB" is selected for PODBA, see the EQR website at https://www.ferc.gov/docs-filing/eqr.asp for the list of allowable HUBS.	"Where there is specific delivery point information available, that information should be entered into the PODSL field." (Order No. 2001-E , Paragraph 6)
64	Class Name (EQR Data Dictionary , Field No. 59)	<p>Unit Power Sale is a Class Name, not a Product Name. The products being sold as a Unit Power Sale are detailed in Appendix A of the Data Dictionary.</p> <p>The Billing Adjustment class name must be reported in the quarter in which the transaction originally occurred. By making adjustments to the applicable quarter, the EQR database will more accurately reflect power sales amounts and prices during the proper period. A summarized Billing Adjustment cannot be used until after the next quarter's filings are due with one exception: if the invoice for the billing adjustment is in summary</p>	<p>"The 'BA' class name is intended to be an option allowing EQR filers to reflect material price changes long after the settled prices were considered final. Occidental's observation that RTO/ISO sales data are likely to change after the EQR filing deadline strengthens the Commission's conviction that the data must be refiled to reflect the actual rates charged and that simply reflecting these changes as a single 'BA' entry is insufficient." (Source: Order No. 2001-G, Paragraph 34)</p> <p>"The Commission desires to strike a balance between having timely, accurate data and reducing the burden on filing entities. We recognize that many users do not have complete, final data for the full quarter by the EQR filing deadlines. This is particularly true for certain sales to ISOs. This situation has been discussed at length by FERC staff with the EQR Users Group members. As a result, the Commission is requiring that any additions or changes to an EQR filing must be made by the end of the following quarter, at which time, the public utility is expected to file the best available new data. Thereafter, the utility shall file only material changes, either as a full refiling or as a transaction with the class name 'Billing Adjustment.' The public utility shall add any billing adjustment transaction to the prior quarter in which the</p>

	Item	Filing Guidance	Reference
		<p>form. For example, a billing adjustment for Q1 2017 for which the invoice gives the periods in which the price has been adjusted may not be summarized in a single record until after the filing deadline for Q2 2017. A billing adjustment wherein all the effects of all hourly price differentials in January of 2017 are provided in a single line in the invoice marked “Billing Adjustments – January 2017” without supporting documentation, may be entered in the Q1 2017 EQR at any time.</p>	<p>change is applicable and then, refile for that quarter.” (Order No. 2001-E, Paragraph 9)</p>
65	<p>Increment Name (EQR Data Dictionary, Field No. 61)</p>	<p>Increment Name should reflect the duration of the underlying commitment for which the transaction occurs and not necessarily the specific transaction record.</p> <p>If the contract sets the particular terms of the sale, the increment name for each transaction record under the contract should match the increment name for the contract.</p> <p>For example, If the contract provides for an Indexed price over</p>	<p>The Increment Name field is intended to provide information regarding the duration of the terms agreed upon in the contract or transaction. If completed correctly, this field provides information about whether a sale at a given price for a full day was the result of a daily sale or, possibly, a monthly sale with a daily index. (Source: Order 2001-G, Paragraph 39)</p> <p>In Order No. 2001-G, the Commission explained that the “Increment Name” fields are “intended to provide information regarding the duration of the terms agreed upon in the contract or transaction” and that the definitions do not refer to the characteristics of the sales themselves. The Commission provided, as an example, a monthly peak-only sale priced on a daily index and stated that, because the “quantity sold, the hours of flow, and the pricing method” are set for the entire month, it should be designated as “Monthly” in the “Increment Name” field in the Transaction Data section (current Field Number 61). (Source: Filing Requirements for Electric Utility Service Agreements, 157 FERC ¶ 61,180 (2016), Paragraph 11)</p>

	Item	Filing Guidance	Reference
		<p>the course of five years, the Increment Name would be "Y" because the terms were fixed for over one year even though the price would float with the index. If the Seller can choose which hour to sell power, the Increment Name will be "H." If the Seller has committed to sell power over a number of hours for a coming day, the Increment Name is "D."</p> <p>Examples (not intended to be comprehensive):</p> <p>Sales where the price and quantity are determined for each hour or for a number of hours less than the full peak or off-peak period (such as a four-hour block) should be identified with an "H."</p> <p>Next day spot sales (peak, off-peak, or full period) or sales for more than one day but less than a full weekly block (sales for three days) should use "D."</p> <p>Sales of a weekly block (5X16, 7X24) or a series of weekly blocks should use "W."</p> <p>Balance-of-the-month sales, sales for a full month, sales for a series of</p>	<p>"[I]n reporting the 'Increment Name' for transactions, we clarify that, if the duration of the terms agreed upon in the transaction (the quantity sold, the hours of flow, and the pricing method) do not change on an hourly basis (i.e., for six hours or less), then that transaction should not be listed as 'Hourly.' Moreover, unless the contract provides the specific terms of the particular sale, if the duration of the terms agreed upon in the transaction (i.e., the quantity sold, the hours of flow, and the pricing method) change on an hourly basis (i.e., for six hours or less), then the 'Increment Name' for that transaction should be listed as 'Hourly' in Field Number 61. (Source: Filing Requirements for Electric Utility Service Agreements, 157 FERC ¶ 61,180 (2016), Paragraph 12)</p> <p>"[F]or transactions with formula-based prices that change hourly, we clarify that, if a transaction lasts for four hours and the price does not change, then the transaction should be reported with an 'Increment Name' of 'Hourly,' consistent with the definition in Field Number 61, which states in relevant part: '[t]erms of the particular sale set for up to 6 hours.' We also clarify that, for transactions lasting longer than six hours in which the price changes hourly because the price is tied to a formula or price index which changes hourly, the appropriate 'Increment Name' should be tied to the duration of the terms agreed upon in the transaction and should not be listed as 'Hourly' merely because the price changes hourly." (Source: Filing Requirements for Electric Utility Service Agreements, 157 FERC ¶ 61,180 (2016), Paragraph 13)</p>

	Item	Filing Guidance	Reference
		<p>months, and sales for a season should use "M."</p> <p>Sales for a number of seasons, sales for certain seasons over a series of years and sales for a single year or longer (≥ 1 year) should use "Y."</p> <p>For transactions, if the terms of the particular sale are set on a sub-hourly basis, such as in five-minute or fifteen-minute increment they should be reported with the (5) - Five-Minute and (15) - Fifteen-Minute increment name.</p>	
66	<p>Increment Peaking Name (EQR Data Dictionary, Field No. 62)</p>	<p>Increment Peaking Names are defined regionally. Use the definition of Peak/Off-peak periods appropriate to the region where the product is sold.</p> <p>The Increment Peaking name is intended to represent the period over which the underlying deal occurs and not of the individual transaction. If, for example, sales under the underlying contract occur over a full week (7X24), the correct Increment Peaking Name would be "FP - Full Period" even if a specific entry refers to deliveries</p>	

	Item	Filing Guidance	Reference
		<p>during a single peak hour. Further, a Peak sale may occur during only a few peak hours; it need not occur during the full peak period.</p>	
67	<p>Product Name (EQR Data Dictionary, Field No. 63 and Appendix A)</p>	<p>Product Names reported in the Transaction data section must also be present in the Contract Data section, except for the following contract products that do not have a corresponding transaction product: Direct Assignment Facilities Charge, Emergency Energy, Interconnection Agreement, Membership Agreement, Must Run Agreement, Network, Network Operating Agreement, Point-To-Point Agreement, Reassignment Agreement, System Operating Agreements, and Transmission Owners Agreement. See the EQR Data Dictionary, Appendix A, for a list of valid values.</p> <p>Booked Out Power is reported as a product only in the Transaction Data section and does not have a corresponding Product Name in the Contract Data section.</p>	<p>“To simplify the compilation of EQR data and to facilitate data analysis, the lists of valid data entries for the ‘Product Name’ [] are being streamlined. The resulting streamlined lists are provided in Appendix [A]. Staff has worked collaboratively with EQR User Group members to define Product Names and to determine which entries best capture the desired data.”(Source: Order No. 2001-E, Paragraph 11)</p>
68	<p>Transaction Quantity</p>	<p>Transaction Quantity should be reported up to four digits to the</p>	

	Item	Filing Guidance	Reference
	(EQR Data Dictionary , Field No. 64)	right of the decimal point. If transaction quantity equals zero then no transaction should be reported for that interval.	
69	Price (EQR Data Dictionary , Field No. 65)	Transaction prices are actual and are not averaged. Prices should be reported up to six digits to the right of the decimal point. When a transaction price changes during a sale, a new row of data reflecting that change must be reported in the EQR. Exchange transactions may be reported with a zero price.	“Rate design: Many services do not have one-part commodity rates/prices for energy sales. Utilities should use different lines for listing the different components of the rate/price (such as reservation fee, commodity price, etc.) in the Contract and Transaction Templates.” (Source: Revised Public Utility Filing Requirements, 101 FERC ¶ 61,067 (2002) , Paragraph 25)
70	Rate Units (EQR Data Dictionary , Field No. 66)	The Rate Unit reported for a transaction should be appropriate to the corresponding Product Name. See the EQR Data Dictionary, Appendix F, for a list of valid values.	
71	Standardized Quantity (EQR Data Dictionary , Field No. 67) and Standardized	These are required fields for the following three products: Energy, Capacity and Book out power. Booked out power can be for either energy or capacity.	“[T]he Commission will include two new fields to the EQR transaction section and will require filers to standardize the units for reporting both prices and quantities for energy, capacity, and booked out power transactions within the EQR. Accordingly, filers must specify the quantity for energy in MWh and the price for energy in \$/MWh. Filers must specify the quantity for capacity as

	Item	Filing Guidance	Reference
	Price (EQR Data Dictionary , Field No. 68)	Energy Prices = \$/MWh Energy Quantities = MWh Capacity Prices = \$/MW-month Capacity Quantities = MW-month	MW-month and the price for capacity in \$/MW-month. For booked out power transactions, filers must use the same quantity and price conventions associated with energy or capacity, as appropriate.” (Source: Order No. 768 , Paragraph 116) “[A] capacity rate based on a MW-year basis can be divided by 12 to get an appropriate MW-month rate, regardless of the number of days in the month. Alternatively, filers may also calculate a MW-month rate by accounting for the number of days in a month. The requirement to standardize units in the EQR will apply prospectively (<i>i.e.</i> , to transactions entered into on or after July 1, 2013 and reported in EQRs filed for periods beginning with the third quarter of 2013).” (Source: Order No. 768-A , Paragraph 50)
72	Total Transmission Charge (EQR Data Dictionary , Field No. 69)	Report any transmission charge related to the sale of power. If, for example, the price of energy in the contract is quoted as “\$/MWh delivered to Node #1 plus the transmission cost from Node #1 to Node #2,” then the transmission cost from Node #1 to Node #2 should be included in this field. When power is sold at a delivered price, there will be no Transmission Charge reported. Transmission-related transactions are not reported in the Transaction Data section of the EQR except for merchant transmission sales.	

	Item	Filing Guidance	Reference
73	Total Transaction Charge (EQR Data Dictionary , Field No. 70)	<p>The dollars and cents total of a transaction record. The Total Transaction Charge is calculated by multiplying the price and the transaction quantity and adding the Total Transmission Charge.</p> <p>Every record of a transaction must result in a total transaction charge.</p> <p>If a sale includes multiple transaction records, the total transaction charge should be calculated for each record.</p> <p>For example, if a sale includes both energy and capacity, a distinct total transaction charge will be calculated for the energy transaction and the capacity transaction.</p>	

REFERENCE DOCUMENTS:

1. *Revised Public Utility Filing Requirements*, [Order No. 2001](#), FERC Stats. & Regs. ¶ 31,127, 99 FERC ¶ 61,107 (2002).
2. *Revised Public Utility Filing Requirements*, [Order No. 2001-A \(Order Denying Requests for Rehearing, Requests for Stay, and Request for Extension, and Providing Clarification\)](#), 100 FERC ¶ 61,074 (2002).
3. *Revised Public Utility Filing Requirements*, 101 FERC ¶ 61,067 (2002).
4. *Bridger Valley Electric Association, Inc.* ([Order Granting Requests for Waiver of Order No. 2001 Filing Requirements](#)), 101 FERC ¶ 61,146 (2002).
5. *Revised Public Utility Filing Requirements*, [Order No. 2001-E \(Order Refining Electric Quarterly Report Filing Requirements\)](#), 105 FERC ¶ 61,352 (2003).
6. *Revised Public Utility Filing Requirements*, [Order No. 2001-F \(Order Granting and Denying in Part Request for Clarification of Order No. 2001\)](#), 106 FERC ¶ 61,060 (2004).
7. *Repeal of the Public Utility Holding Company Act of 1935 and Enactment of the Public Utility Holding Company Act of 2005*, [Order No. 667](#), 113 FERC ¶ 61,248 (2005).
8. *Preventing Undue Discrimination and Preference in Transmission Service*, [Order No. 890](#), FERC Stats. & Regs. ¶ 31,241, 118 FERC ¶ 61,119 (2007).
9. *Revised Public Utility Filing Requirements*, [Order No. 2001-G \(Order Adopting Electric Quarterly Report Data Dictionary\)](#), 120 FERC ¶ 61,270 (2007).
10. *Revised Public Utility Filing Requirements*, [Order No. 2001-H \(Order on Rehearing and Clarification\)](#), 121 FERC ¶ 61,289 (2007).
11. *Preventing Undue Discrimination and Preference in Transmission Service*, [Order No. 890-A, \(Order on Rehearing and Clarification\)](#), 121 FERC ¶ 61,297 (2007).
12. *Preventing Undue Discrimination and Preference in Transmission Service*, [Order No. 890-B, \(Order on Rehearing and Clarification\)](#), 123 FERC ¶ 61,299 (2008).
13. *Revised Public Utility Filing Requirements (Notice Providing Guidance on the Filing of Information on Transmission Capacity Reassignments in Electric Quarterly Reports)*, 124 FERC ¶ 61,244 (2008).
14. [Plan for Retrospective Analysis of Existing Rules](#), Docket No. AD12-6-000 (2011).
15. [Implementation Guidance of Executive Order 13579 - Entering Notes to Corrected EQR Filings](#)
16. *WSPF Inc.* ([Order Conditionally Accepting Service Schedule R](#)), 139 FERC ¶ 61,061 (2012).
17. *Electricity Market Transparency Provisions of Section 220 of the Federal Power Act*, [Order No. 768](#), FERC Stats. & Regs. ¶ 31,336, 140 FERC ¶ 61, 232 (2012).
18. *Revisions to Electric Quarterly Report Filing Process*, [Order No. 770](#), FERC Stats. & Regs. ¶ 31,338, 141 FERC ¶ 61,120 (2012).
19. *Electricity Market Transparency Provisions of Section 220 of the Federal Power Act*, [Order No. 768-A](#), 143 FERC ¶ 61, 954 (2013).
20. *Electricity Market Transparency Provisions of Section 220 of the Federal Power Act – KAMO Electric Cooperative, Inc.* ([Order on Request for Waiver of Electric Quarterly Report Reporting Requirements](#)), 147 FERC ¶ 61,099 (2014).

21. *Electricity Market Transparency Provisions of Section 220 of the Federal Power Act*, [Order No. 768-B, 150 FERC ¶ 61,075 \(2015\)](#).
22. *Filing Requirements for Electric Utility Service Agreements*, ([Order on Rehearing and Clarification](#)), [157 FERC ¶ 61,180 \(2016\)](#).
23. The current version of the [Electric Quarterly Report Data Dictionary V3.4](#)

Additional EQR reference material may be accessed at <https://www.ferc.gov/docs-filing/eqr.asp>, a listing of Commission EQR Orders and Notices may be accessed at <https://www.ferc.gov/docs-filing/eqr/com-order.asp>.