Market-Based Rate Data Collection Quick Start Guide

Federal Energy Regulatory Commission

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Intro

The MBR relational database (MBR Database) is the modern foundation of the MBR program.[1] Information from every Seller[2] is required to be submitted to the database, through extensible markup language (XML) format. This information will be available to the Commission and the public.

Submissions to the MBR Database involve three categories of data: (1) general information regarding the Seller; (2) the Seller's relationships; and (3) the Seller's horizontal market power screens. Eleven individual Tables[3] can be submitted to the database, which the Data Dictionary describes in detail. A brief summary of those tables is as follows:

Data Dictionary Summary

Category	Table Name	Description
General Information	mbr_authorizations	Basic MBR Information
	mbr_category_status	Category status in all six regions
	mbr_mitigations	Markets where seller is mitigated
	mbr_self_limitations	Markets where seller has self-mitigated
	mbr_operating_reserves	Markets authorized to sell operating reserves
Relationships	entities_to_entities	Reporting of ultimate upstream affiliates
	entities_to_genassets	Reporting of generator assets
	entities_to_ppa	Reporting of power purchase agreements
	entities_to_vertical_assets	Reporting of vertical assets
Market Power Screens	indicative_pss	Inputs of Pivotal Supplier Screen
	indicative_mss	Inputs of Market Share Screen

All submissions to, and extractions from, the database are done via the MBR Portal, which allows for the submission of data to the database, validation of the

[1] The MBR Database was established by the Commission in Order No. 860. *Data Collection for Analytics & Surveillance and Market-Based Rate Purposes,* Order No. 860, 168 FERC ¶ 61,039 (2019).

[2] A Seller is defined as any person that has authorization to or seeks authorization to engage in sales for resale of electric energy, capacity or ancillary services at market-based rates under section 205 of the Federal Power Act (FPA). *See* 18 C.F.R. § 35.36(a)(1) (2019); 16 U.S.C. § 824d (2018).

[3] Also known as XML "Sheets."

submission (with quick feedback when errors occur), and provides the ability to search through or extract data from the stored information. Generally, any data submitted or amended to the database will be available for search or download immediately after a successful submission.

This Quick-Start guide is intended to help Sellers navigate the process of making submissions into the database. This guide assumes that the Seller has not yet registered and starts with "pre-filing activities" such as registering the company and walks through preparing and submitting the Sellers' initial MBR XML into the database.

An overview of the submission process is found below in the MBR Portal Submission Process section. Please note that it is *highly* recommended that you ensure that your company and the requisite individuals are all properly eRegistered before interacting with the MBR Portal.

Please see the following for more information:

- eRegistration
- FAQ
- MBR Order No. 860

If after reviewing this quick start guide and the above resources, you still have a question, please email MBRDatabase@ferc.gov.

MBR Portal Submission Process

Pre-Filing

The following steps are performed by the Seller in advance of MBR database submissions.

1. eRegister with FERC through the FERC Online link if have not previously eRegistered.
2. Obtain a Commission-issued Company Identifier (CID) through the following link. For step by step instructions, see Company Registration under the Initial Activities section.

Preparation

The following steps involve MBR users searching, collecting, and saving all relevant company and asset identifiers prior to filling out their final XML submission.

3. Identify all reportable entities by obtaining their associated CIDs, Legal Entity Identifiers (LEI), or FERC generated IDs (GID). If no CID, LEI, or GID exists for an entity, create a new GID. Instructions for finding or creating company identifiers can be found in the Identifiers section.
4. Identify all reportable generation assets by obtaining their Asset IDs (i.e., EIA Generator ID and Plant Codes or FERC Asset ID). If an Asset ID cannot be found, create a new Gen Asset ID. Instructions for finding or creating an Asset ID can be found in the Generation Assets section.
5. Save all identifiers in a document as they will be used in the final XML submission.

Submission

The following steps allow Sellers to submit XML files to the MBR Portal. Detailed instructions for XML submission can be found in the Preparing XML section.

6. Click the Submit MBR XML menu on the left side of the MBR Portal screen and obtain the Sample XML file.
7. Copy and paste the text from the XML file into your preferred XML editor.
8. Fill out the Sample XML file with all pertinent information (including all entity and asset ID's).
9. Submit the XML file on the MBR Portal.

Initial Activities: What You Need to Check or Do Before Making Submissions

Submissions Start at the MBR Portal

Submissions into the MBR Database will be made through the MBR Portal[4] using an XML format. Within the MBR Portal, Sellers will find tools to help them research information needed to prepare their XML submissions, services to extract information from the database, and the link to submit their finalized XML submission.

Sellers Need to Have a Company Identifier (CID) to Make Submissions: Company Registration

All Sellers are required to have a Commission-issued Company Identifier, which can be obtained through FERC's Company Registration (https://www.ferc.gov/docs-filing/company-reg.asp). When completing Company Registration, Sellers must check "MBR" as a form that it is required to file and designate agents to file the MBR form. For additional information on Company Registration, please follow this link: http://www.ferc.gov/docs-filing/company-registration-instruct.pdf.

Sellers Need to be eRegistered to Make Submissions: eRegistration

Users must be eRegistered with the Commission to use certain features within the MBR Portal, such as Create GID and Create Asset ID. In order to make submissions into the MBR Database on behalf of a Seller, that Seller must designate an eRegistered user as an account manager or agent (with permission to submit the MBR form) through Company Registration. Please follow this link to learn how to eRegister with FERC: https://www.ferc.gov/docs-filing/eregistration.asp.

All Companies and People Included in the Submission Need Unique Identifiers

Often Sellers will need to identify other companies or people (collectively, reportable entities) in their submissions into the MBR Database. Prior to accessing the MBR Portal, it may be useful to gather a list of the reportable entities. In the MBR Database, reportable entities are identified using CIDs, LEIs, or GIDs. Users will be able to search the MBR Database to discover if any reportable entity already has a CID, LEI, or GID. More information on these identifiers can be found below in the Identifiers section.

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[4] The MBR Portal is described in the next section.

All Generation Assets Included in Submissions Need to Have Unique Identifiers

Sellers are required to identify any jurisdictional generation assets they, or their non-MBR affiliates, own, operate, or control (reportable assets). If a reportable asset has been reported on the EIA-860 generator tables, Sellers will be able to discover EIA-860 codes (EIA Codes) for that reportable asset. For reportable assets that do not have EIA Codes, users must request a Commission generated ID for that reportable asset (Asset ID). In addition, users will be able to search the MBR Database to discover if a reportable asset has EIA Codes or an Asset ID. More information on generation assets can be found below in the Generation Assets section.

After you Complete all the Activities Above you can Make MBR Database Submission

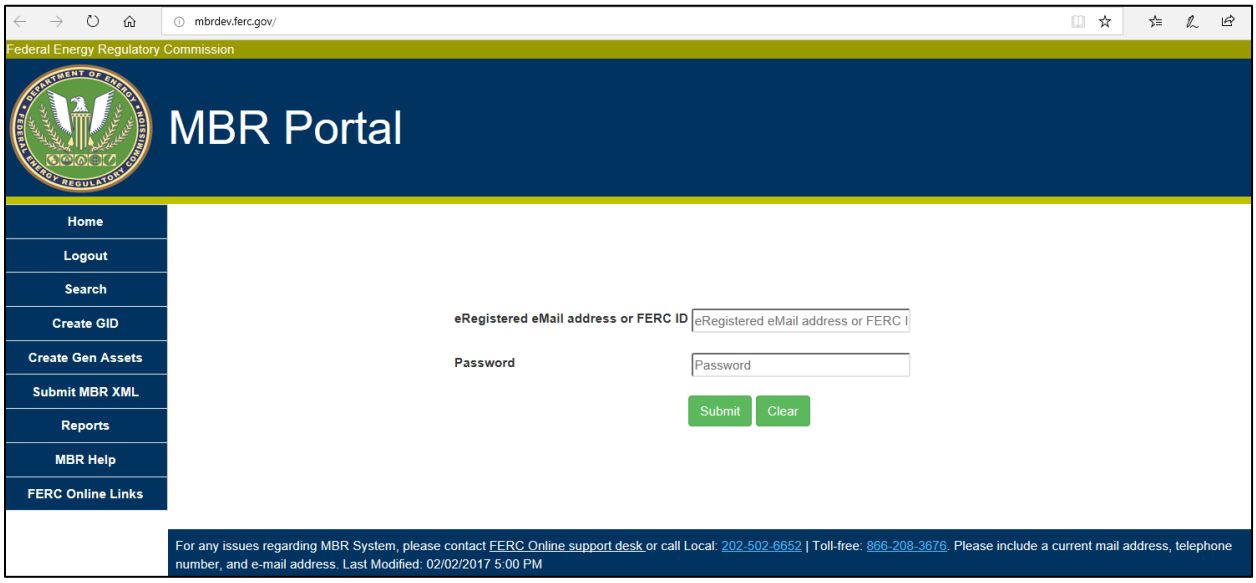
Users will submit, on behalf of Sellers, an XML to the database. Users will have to be designated as an Account Manager or Agent for any company for which it wishes to submit an XML. The XML will be submitted through the MBR Portal.

A Description of the MBR Portal

The MBR Portal is the tool users must use to submit their XML submissions into the MBR Database and perform other functions necessary to complete their XML submissions. Users will also use the MBR Portal to search the MBR Database for information to aid in their submissions or research. Below is a description of the process used to access and utilize the portal.

1. Go to the following URL to access the MBR System Portal: http://mbrweb.ferc.gov/.

2. The log-in screen displays:

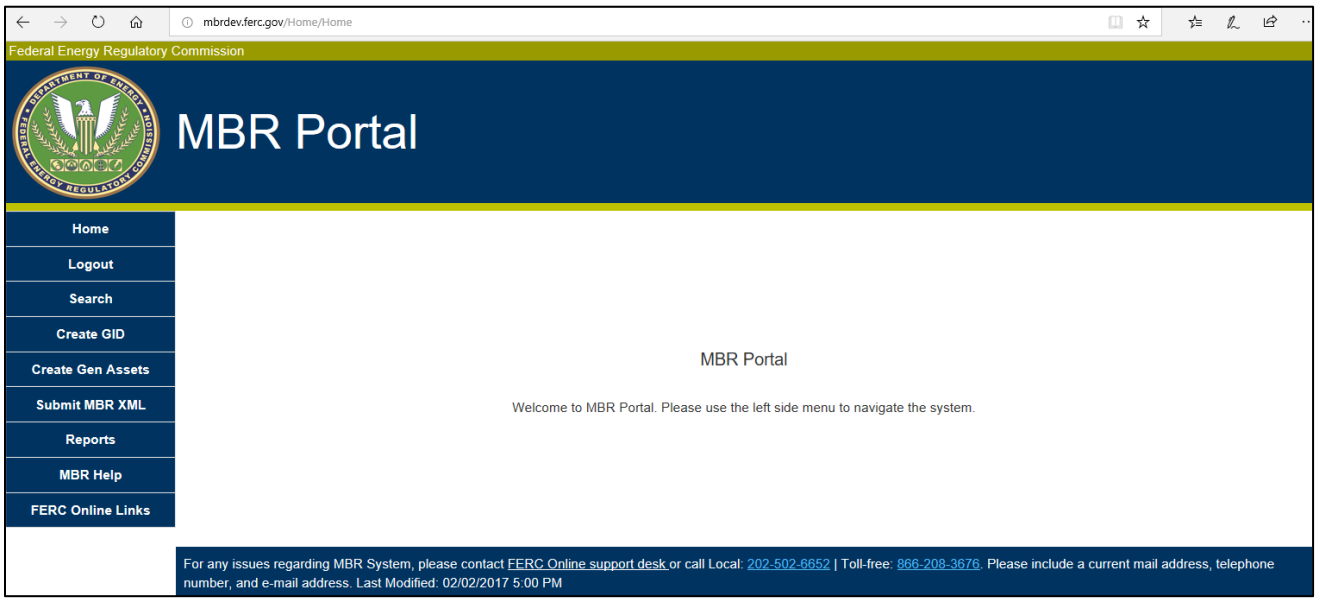


(Figure 1 – Log-In MBR Portal)

3. Enter your eRegistered email Address or FERC ID and password in the fields.

4. Click the submit button.

5. The MBR Portal displays:



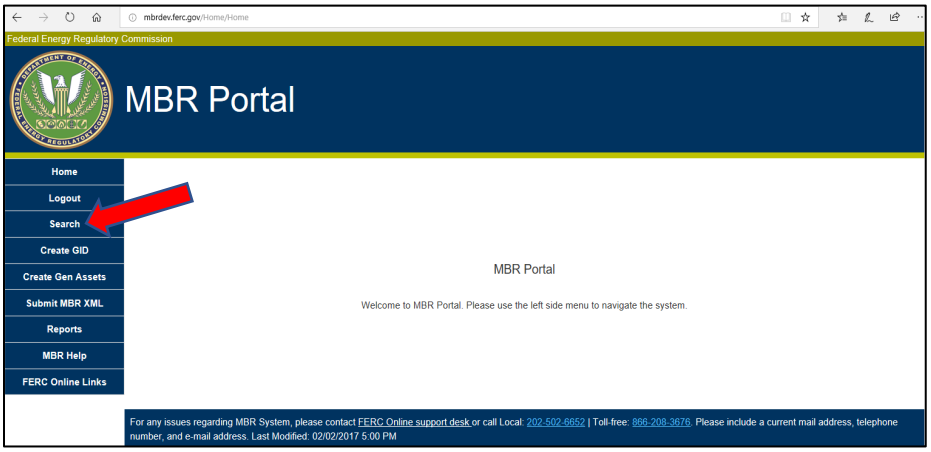
(Figure 2 – Welcome Screen)

How to Create, Find, and Use Identifiers

Searching for an Identifier

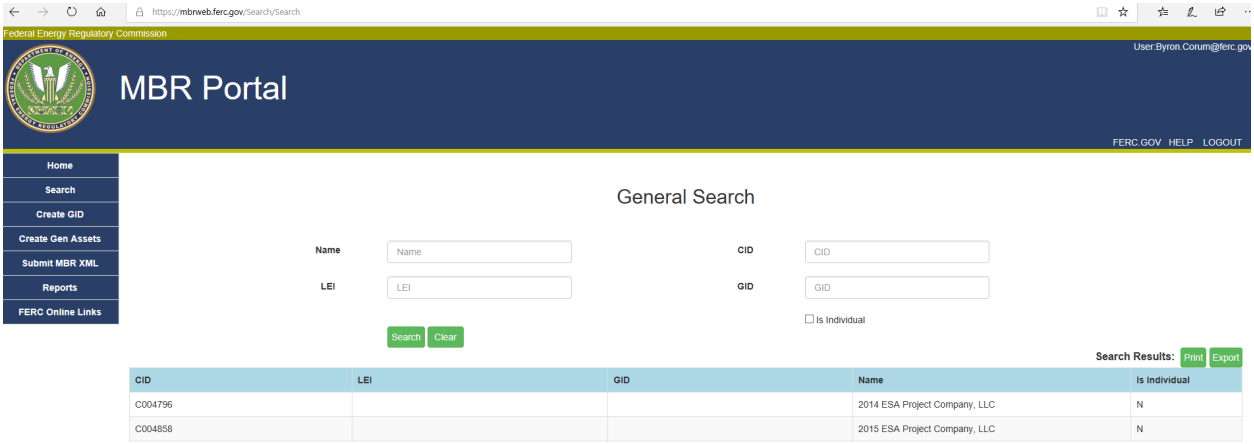
Users can discover whether entities exist in the MBR Database with the search function on the MBR Portal. Before making an XML submission, users should search to determine if any entities that they must identify already exist in the database (i.e., have a CID, LEI, or GID).

1. Click on the Search function on the left side of the MBR Portal home screen.



(Figure 3 – Search function)

2. Figure 4 (below) shows the General Search Page on the MBR Portal. The screen displays search fields and the first page of existing database records.

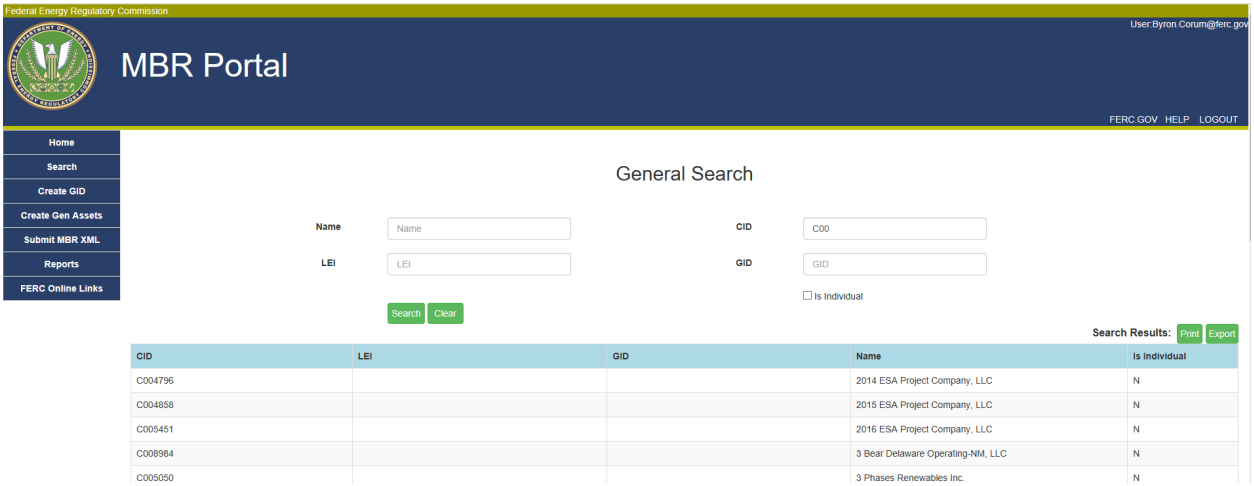


(Figure 4 – General Search Page)

3. To search the database, enter a CID, LEI, GID, or Name into the respective search field. Please note that these fields accept partial entries and will results even when

complete information is not presented. For example, entering "360" into the Name field will return the company "360Recycling" along with any other relevant results.

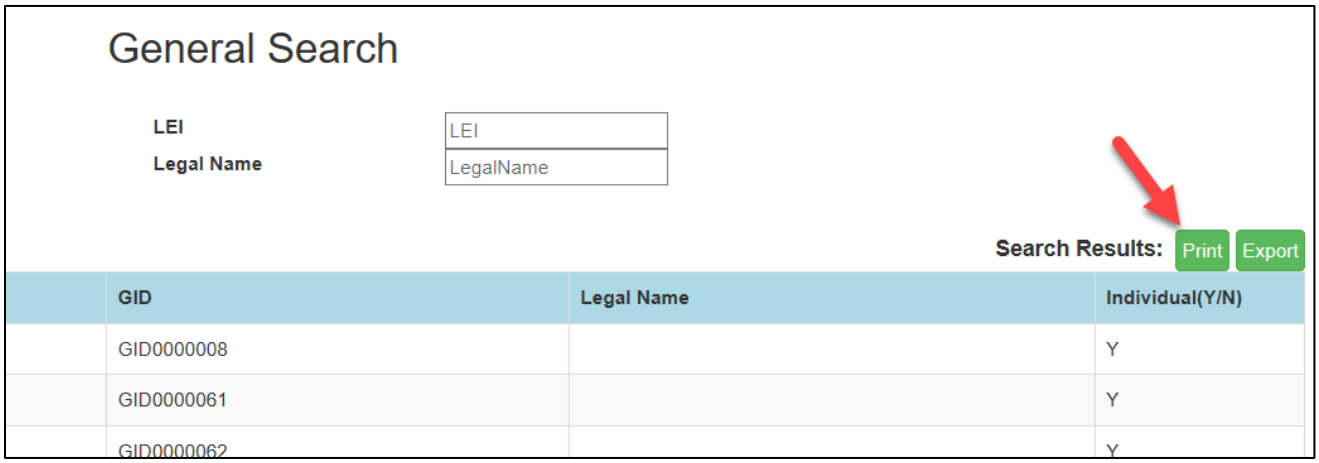
4. Click the search button.



(Figure 5 – Search button)

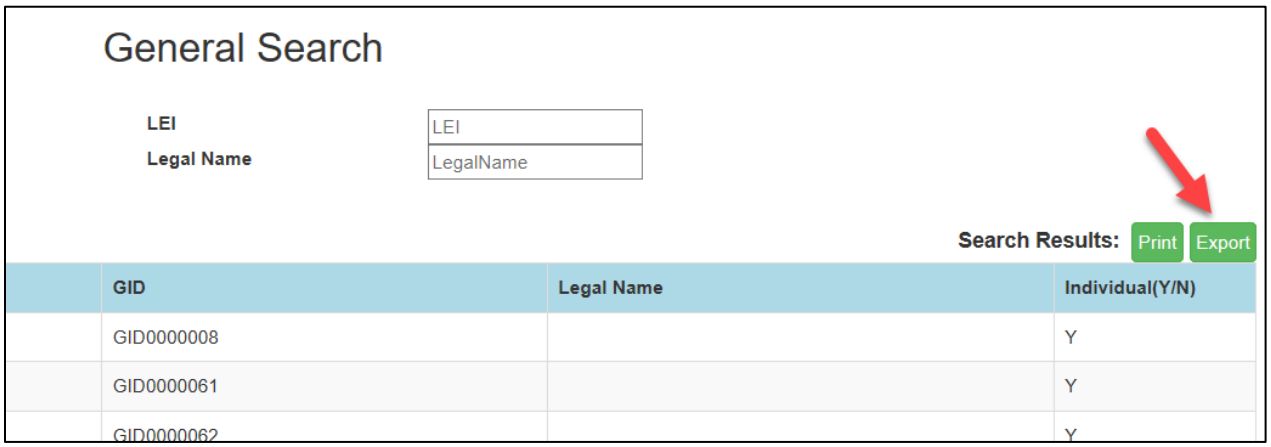
5. Use the buttons at the bottom of the screen to scroll through search results.

6. You can click the print button to print the results or export an XML version of your results by clicking the Export button.



(Figure 6 – Print Button)

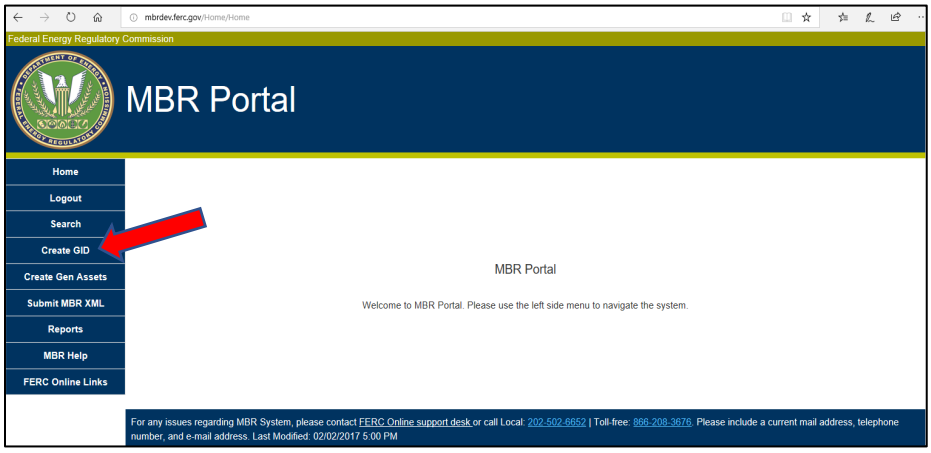
.



(Figure 7 – Export Function)

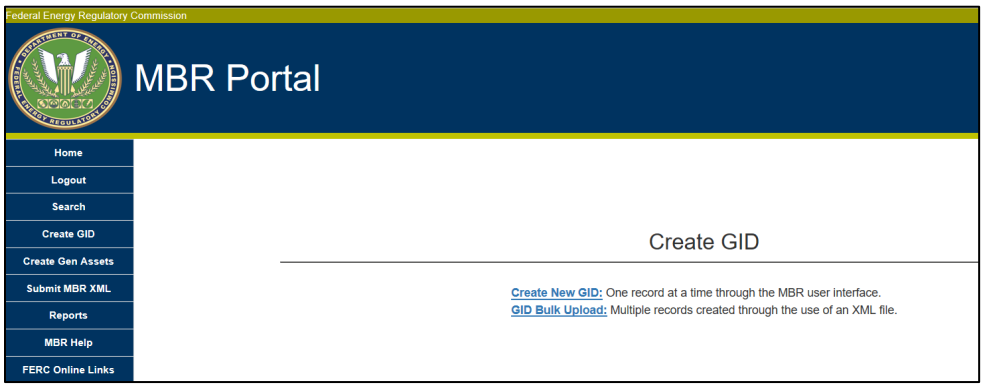
Creating a GID

Users will have the ability to obtain a GID for any reportable entity that they need to reference in an MBR submission that does not already possess a CID, LEI, or GID.



(Figure 8 – Create GID)

The Create GID page in the MBR Portal provides the mechanism for users to create one record at a time or upload an XML file that contains multiple records.

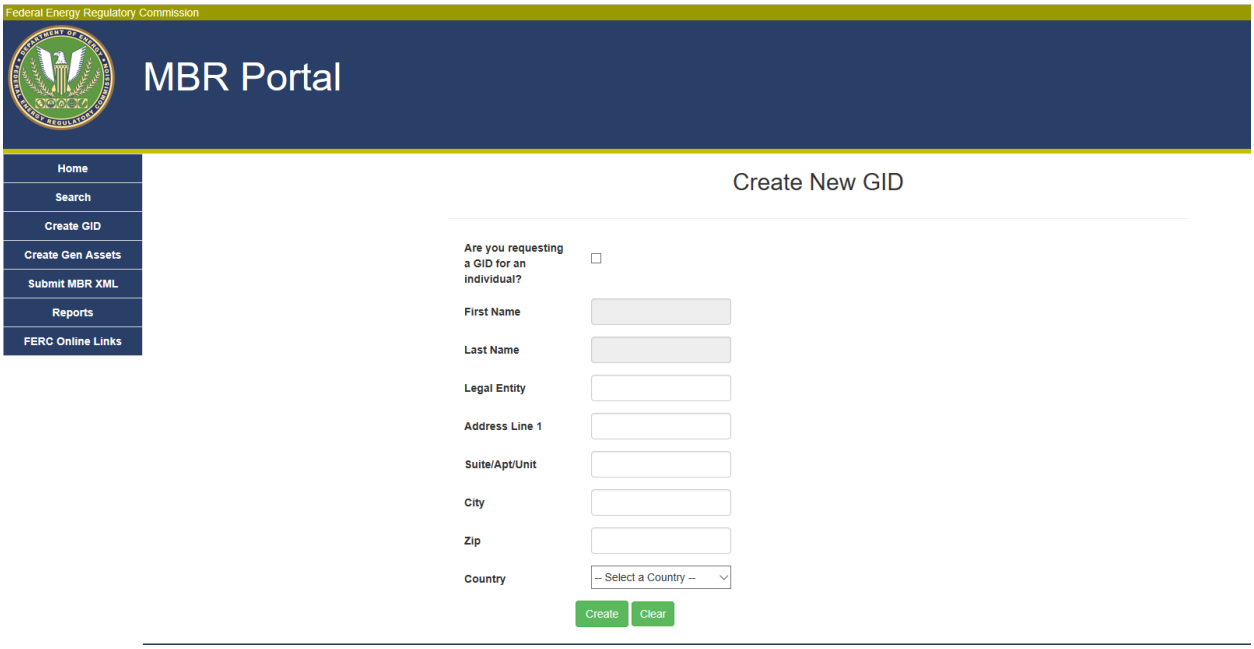


(Figure 9 – Create GID Page)

There are two ways to request new GIDs: individually or through the Bulk Upload. If a user has a large number of reportable entities that it wishes to request GIDs for, we recommend using the GID Bulk Upload function.

Individually Create a New GID

1. Click the Create New GID link on the Create GID page, and the Create New GID screen will display:



(Figure 10 – Create New GID)

2. Enter the reportable entity's legal name in the Legal Entity field (if you are requesting a GID on behalf of a company) or click the "Are you submitting as an Individual" box (if you are requesting a GID for a person/individual).

3. If you are creating a GID on behalf on an individual, enter that individual's first and last name. These fields are grayed out if the "Are you requesting a GID for an individual" box is not checked.

4. Enter the remaining data in the relevant fields. Click the Create button; if all data was input correctly, a confirmation screen will display the newly created GID.

5. An email confirming successful GID Registration will be sent to the user's eRegistered email address.

Creating Multple GIDs (GID Bulk Upload)

The GID Bulk Upload function provides users the ability to register one or many GIDs into the MBR Database through an XML file upload.

The XML file submissions will go through an internal verification process to ensure the data and structure are valid and usable. The schema against which the XML file will be validated can be found here. Processing notifications are sent through email to provide the status of the XML file processing results (i.e., acceptance, rejection, or duplicate record).

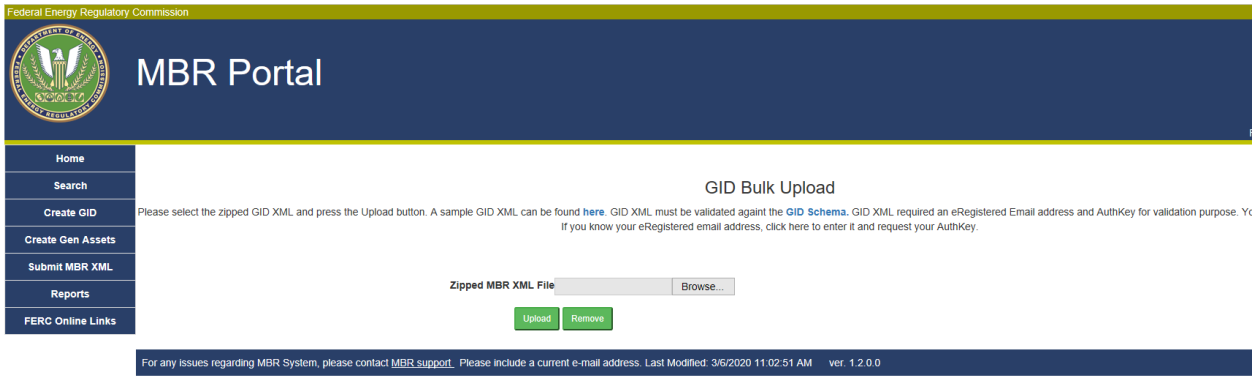
In addition, to submit the final bulk upload, an authentication key (AuthKey) must be acquired through the interface and entered into the XML file that will be submitted, as detailed below.

The file that a user will upload **must** contain all relevant data entries, including the AuthKey, and the file must be first saved as an XML file and then saved into a Compressed Zip Folder before upload.

1. Click the GID Bulk Upload link on the Create GID page.

(Figure 11 – GID Bulk Upload Link Location)

2. The GID Bulk Upload screen has links to the GID XML and GID Schema as well as the link to request an Authentication Key (AuthKey) and to upload your final GID XML file (please see below for information on requesting an AuthKey).



(Figure 12 – GID Bulk Upload screen)

3. Click the here link to view a sample XML file.


```xml
<?xml version="1.0" encoding="ISO-8859-1"?>
- <FIDData xmlns="http://ferc.gov/CEMBR/FIDSchema.xsd">
  - <FIDDataHdr>
      <eRegEmailAddress>TestEmail@email.com</eRegEmailAddress>
      <AuthKey>mLXEz19GA</AuthKey>
    </FIDDataHdr>
  - <FIDDataDtl>
      <Legal_Entity>Legal Entity</Legal_Entity>
      <Is_Individual>N</Is_Individual>
      <First_Name/>
      <Last_Name/>
      <Legal_Entity_Address1>Legal Entity Address1</Legal_Entity_Address1>
      <Legal_Entity_Address2>Legal Entity Address2</Legal_Entity_Address2>
      <City>Falls Church</City>
      <Zip>22044</Zip>
      <Country>USA</Country>
    </FIDDataDtl>
  - <FIDDataDtl>
      <Legal_Entity/>
      <Is_Individual>Y</Is_Individual>
      <First_Name>Jon</First_Name>
      <Last_Name>Doe</Last_Name>
      <Legal_Entity_Address1>Address 1</Legal_Entity_Address1>
      <Legal_Entity_Address2>Address 2</Legal_Entity_Address2>
      <City>Falls Church</City>
      <Zip>22044</Zip>
      <Country>USA</Country>
    </FIDDataDtl>
  </FIDData>
```


(Figure 13 – Sample XML)

4. Simply copy and paste the contents of the Sample XML into a text editor (like Notepad) any XML editor program.

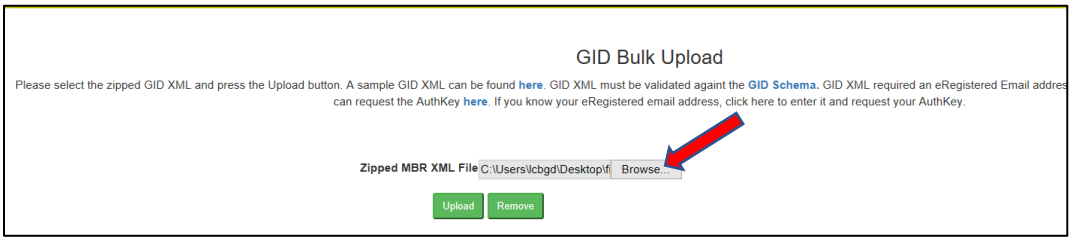
5. Edit the file to include the reportable entities' information in the sample file. To add multiple records, copy and paste the section between the FID Tags <FIDDataDTL> </FIDDataDTL>, and enter relevant info (displayed below in Figure 14). Repeat this step for all reportable entities for wish you request a GID.

```
<FIDDataDtl> <Legal_Entity>Legal Entity</Legal_Entity>
<Is_Individual>N</Is_Individual> <First_Name/> <Last_Name/>
<Legal_Entity_Address1>Legal Entity Address1</Legal_Entity_Address1>
<Legal_Entity_Address2>Legal Entity Address2</Legal_Entity_Address2>
<City>Falls Church</City> <Zip>22044</Zip> <Country>USA</Country>
</FIDDataDtl>
```

(Figure 14 – Tags for data input)

6. Save the finished file as an XML file and then save it as a Compressed ZIP file.

7. Returning to the GID Bulk Upload screen, click the browse button to locate where the saved Zipped file is located.



(Figure 15 – GID Bulk Upload Browse Button)

8. Select the Zipped XML file and click the Upload button.

9. If successful, a confirmation message and email are received.

10. An email will be sent with a GID Submission ID, who it was submitted by, date processed, and the GID processing results.

Requesting an Authentication Key

Users must have an AuthKey in order to use the GID Bulk Upload and Asset ID Bulk Upload. An AuthKey is an autogenerated code that users must place into their XML, to confirm that they are authorized to make the requested submission. Links to request an AuthKey can be found in the GID Bulk Upload and Gen Asset Bulk Upload pages. Users do not need to request a unique AuthKey for each submission. Rather, the same AuthKey will work for both GID and Gen Asset Bulk Uploads and should continue to work for future uploads.

1. Navigate to the GID Bulk Upload screen.

2. Click the link shown below to request an AuthKey. An AuthKey is a code that

You can request the AuthKey **here**. If you know your eRegistered email address, click here to enter it and request your AuthKey.

(Figure 16 – Link for AuthKey on GID Bulk Upload screen)

3. Enter a valid email in the eRegistered email address field to receive an AuthKey.

4. Press submit. An email will be sent with the AuthKey to the eRegistered email address.

How to Compile a List of Generation Assets for a Submission: Asset IDs

In order to identify and track the relationships between companies and generation assets, Sellers are required to identify any reportable assets in an XML submission. In preparing to make the XML submission, Sellers should compile a list of generators that they need to identify. Reportable assets that have been reported on the EIA-860 generator tables will already have EIA Plant Codes and EIA Generator IDs. Reportable assets that do not have EIA Plant Codes and EIA Generator IDs will be identified using Asset IDs. Users will be able to search the database using a generator search function to determine whether an ID exists for each reportable asset. For reportable assets that do not have EIA Plant Codes and EIA Generator IDs or an existing Asset ID, users must request an Asset ID. These IDs are necessary to complete the XML file submissions.

Searching for Generator IDs

Users will have the ability to search the database to determine if a reportable generator already has an EIA Code or Asset ID. However, this function is not yet available on the MBR Portal. This section will be updated when the function is active.

Creating an Asset ID

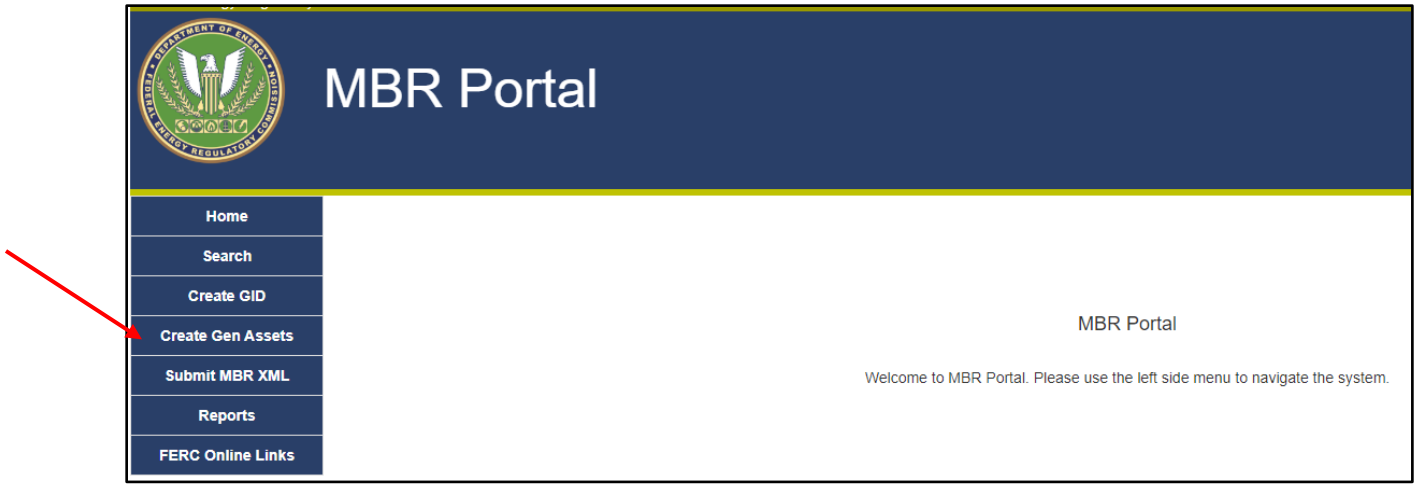
Users will have the ability to obtain an Asset ID for any reportable asset that they need to reference in an MBR submission that does not have EIA Codes or an existing Asset ID.

The Create Gen Assets in the MBR Portal provides the mechanism for users to create one record at a time or upload an XML file that contains multiple records (Bulk Upload).

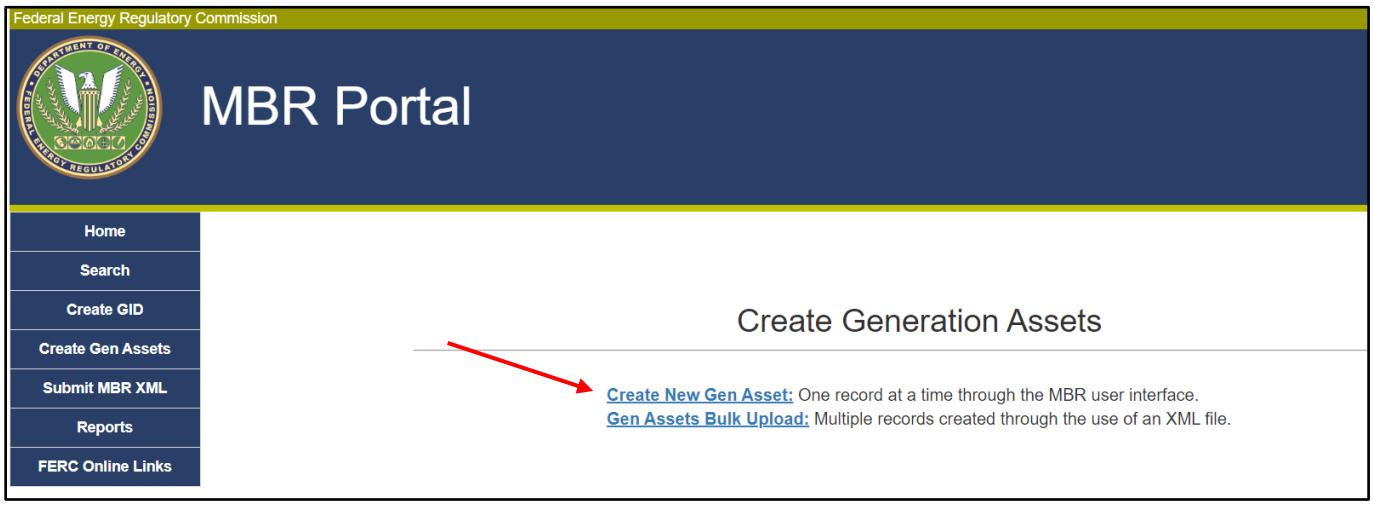
If a user has many reportable assets that require Asset IDs, we recommend using the Asset ID Bulk Upload function.

Individually Create a New Asset ID

1. Click on the **Create New Gen Asset** link on the Create Gen Assets.

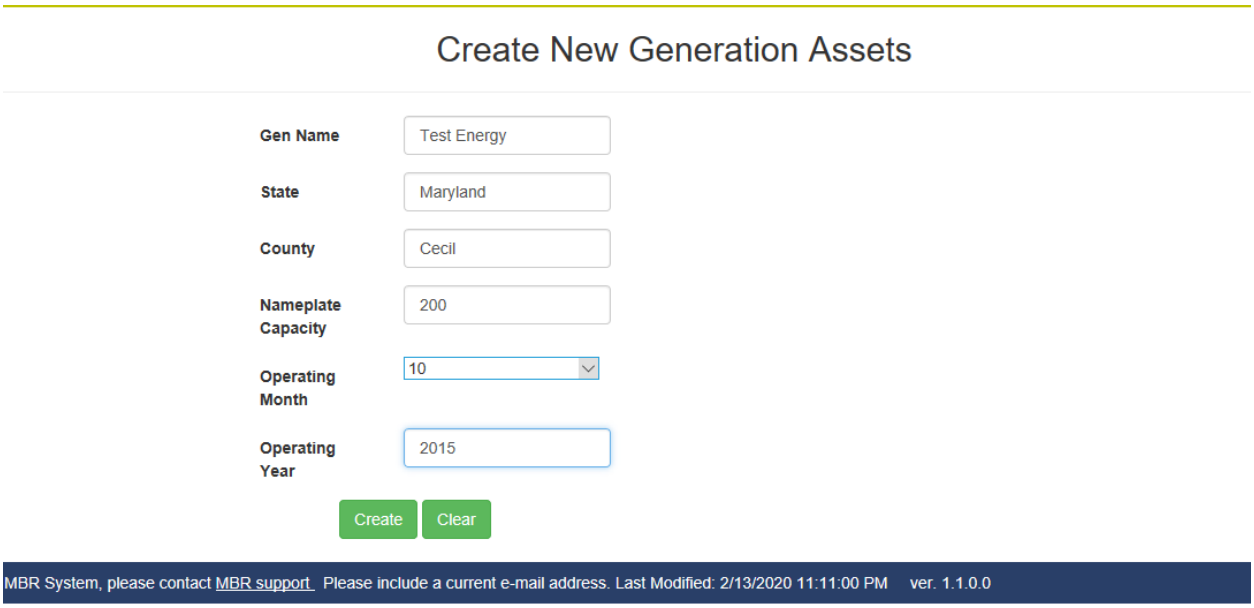


(Figure 17: Create Gen Assets Link)



(Figure 18: Generation Assets Screen)

2. Enter the reportable asset's information in the applicable fields.



(Figure 19 – Input Generation Asset Information)

3. Hit the create button to finish.

4. If all data was input correctly a confirmation screen will display the newly created Asset ID.

5. An email confirming successful Asset ID registration will be sent to the user's eRegistered email address.

Creating Multiple Asset IDs (Asset ID Bulk Upload)

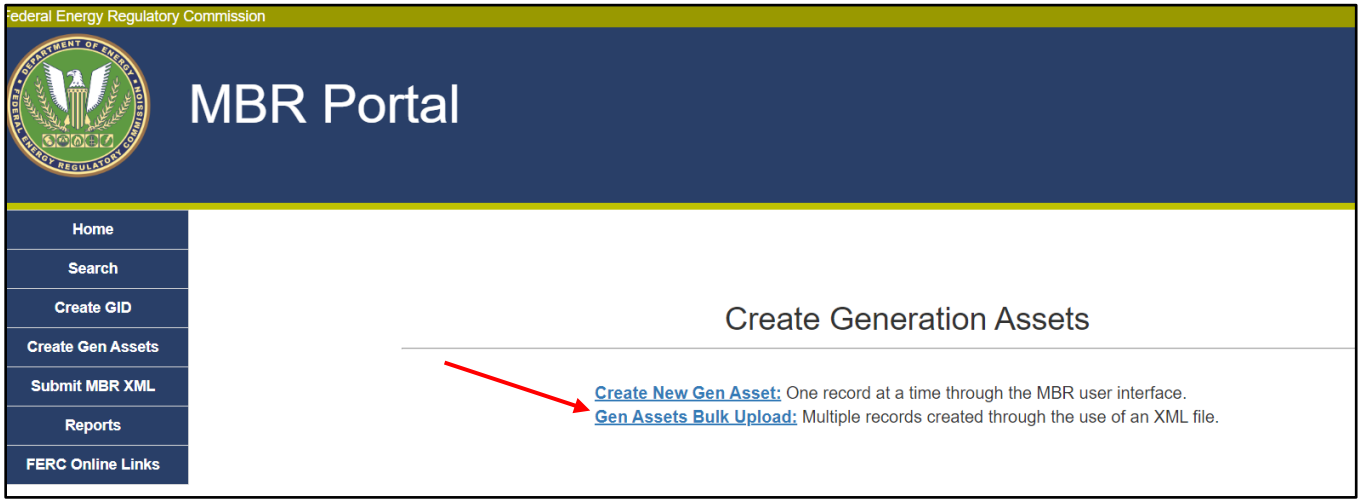
The Asset ID Bulk Upload function provides users the ability to register one or many Asset IDs into the MBR Database through an XML file upload.

The XML file submissions will go through an internal verification process to ensure the data and structure are valid and usable. The schema against which the XML file will be validated can be found here. Processing notifications are sent through email to provide the status of the XML file processing results (i.e., acceptance, rejection, or duplicate record).

In addition, to submit the final bulk upload, an AuthKey must be acquired through the interface and entered into the XML file that will be submitted.

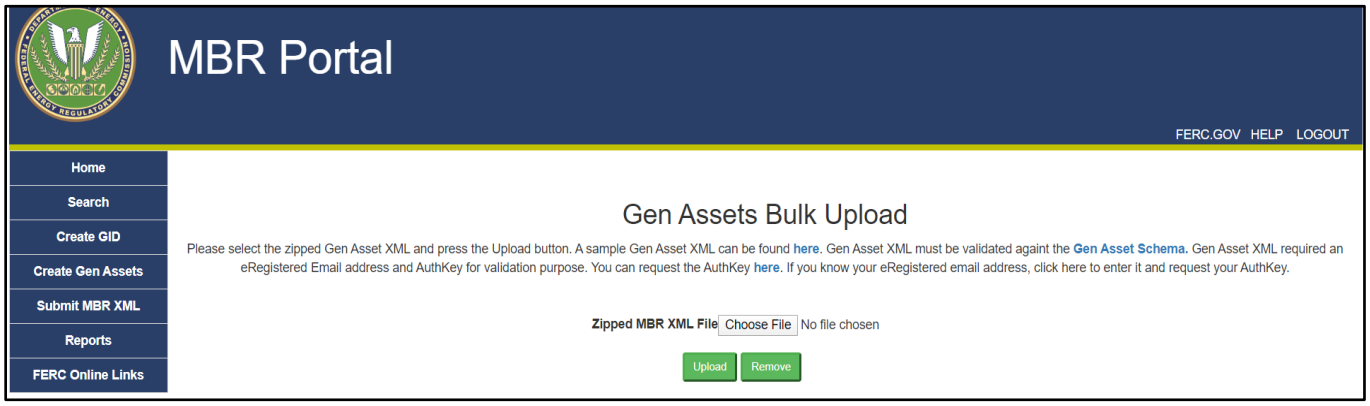
The file that a user will upload **must** contain all relevant data entries, including the AuthKey, and the file must be first saved as an XML file and then saved into a Compressed Zip Folder before upload.

1. Click the Gen Assets Bulk Upload link on the Create Gen Assets Page.



(Figure 20 – Gen Assets Bulk Upload Link)

2. The Gen Assets Bulk Upload Screen is where you will upload your zipped XML file. A Sample XML file is provided, as well as the Gen Asset Schema.



(Figure 21 - Gen Assets Bulk Upload Screen)

3. Click the here link to view a sample XML file.

4. Simply copy and paste the contents of the Sample XML into notepad or an XML editor.

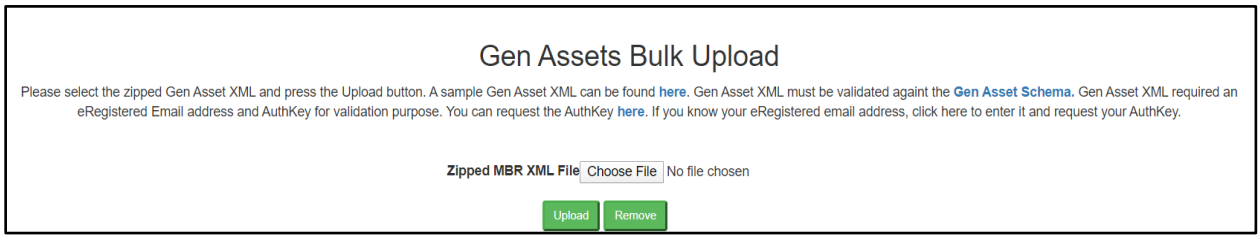
```xml
<?xml version="1.0" encoding="ISO-8859-1"?>
- <FercAssetData xmlns="http://ferc.gov/CEMBR/FIDSchema.xsd"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
  - <FercAssetDataHdr>
      <eRegEmailAddress>null@ferc.gov</eRegEmailAddress>
    </FercAssetDataHdr>
  - <FercAsset>
      <Gen_name>Test Energy 1</Gen_name>
      <State>MD</State>
      <County>Calvert</County>
      <nameplate_capacity_mw>500</nameplate_capacity_mw>
      <operating_month>04</operating_month>
      <operating_year>05</operating_year>
    </FercAsset>
  - <FercAsset>
      <Gen_name>Test Energy 2</Gen_name>
      <State>CA</State>
      <County>Orange</County>
      <nameplate_capacity_mw>50</nameplate_capacity_mw>
      <operating_month>04</operating_month>
      <operating_year>2005</operating_year>
    </FercAsset>
  - <FercAsset>
      <Gen_name>Test Energy 3</Gen_name>
      <State>VA</State>
      <County>Loudon</County>
      <nameplate_capacity_mw>300</nameplate_capacity_mw>
      <operating_month>12</operating_month>
      <operating_year>15</operating_year>
    </FercAsset>
</FercAssetData>
```


(Figure 22 - Sample Gen Assets Bulk Upload XML)

5. Edit the file to include the reportable entities' information in the sample file. To add multiple record, copy and paste the section between the Ferc Asset Tags <FercAsset> </FercAsset>, enter relevant info. Repeat this step for all reportable generation facilities for which you request a FERC Asset ID.

6. Save the finished file as an XML file and then save it as a Compressed ZIP file.

7. Returning to the Gen Assets Bulk Upload screen, click the Choose File button to locate where the saved Zipped file is located.



(Figure 23- Gen Assets Bulk Upload Screen)

8. Select the Zipped XML file and click the Upload button.

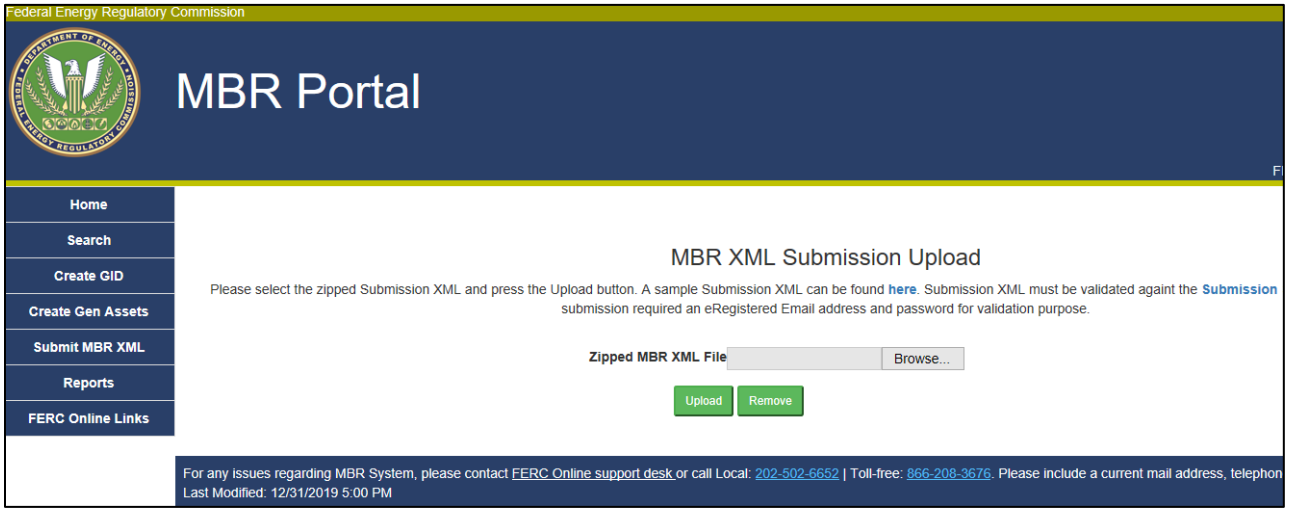
9. If successful, a confirmation message and email are received.

10. An email will be sent with an Asset ID, who it was submitted by, date processed, and the Asset ID processing results.

Preparing XML

Once you have gathered all of your IDs, you are ready to prepare your MBR XML for submission.

1. Click the Submit MBR XML menu on the left side of the screen.



(Figure 24 – MBR XML Submission Screen)

2. Click the **here** link to view the sample Submission XML file.

3. Copy the text of the file into Microsoft Notepad or your preferred XML editor.


```
  <?xml version="1.0" encoding="ISO-8859-1"?>
- <MBRSubmission xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xmlns="http://ferc.gov/DataCol/MBR.xsd">
  - <FilingInformation>
      <MBRSubmissionType>New</MBRSubmissionType>
      <TestFiling>false</TestFiling>
      <reporting_entity_cid/>
      <eRegEmail/>
      <DateofReport>2019-12-31</DateofReport>
    </FilingInformation>
  - <mbr_authorizations>
      <authorization_docket_number/>
      <authorization_effective_date/>
      <cancellation_docket_number/>
      <cancellation_effective_date/>
    </mbr_authorizations>
  - <mbr_mitigations>
          <!-- not Exsist in DD -->
          <!-- <mitigation_docket_number></mitigation_docket_number> -->
      <mitigation_effective_date/>
      <mitigation_narrative/>
      <mitigation_end_date/>
      <Balancing_Authority_cd/>
    </mbr_mitigations>
  - <mbr_category_status>
      <region_fk/>
      <cat_status_in_region_fk/>
      <cat_status_effective_date/>
    </mbr_category_status>
  - <entities_to_entities>
          <!--<reportable_entity_ID>C003486</reportable_entity_ID>-->
      <reportable_entity_ID/>
      <reportable_entity_ID_type_CD/>
    </entities_to_entities>
  - <mbr_self_limitations>
          <!-- <limit_type></limit_type> -->
      <Balancing_Authority_cd/>
      <region_fk/>
      <self_limit_effective_date/>
      <self_limit_end_date/>
    </mbr_self_limitations>
  - <entities_to_ppas ID="19" ppa_filing_type="Update">
      <date_of_last_change/>
```


(Figure 25 – Sample MBR XML File)

4. Complete the XML by populating all tags in each table that you are planning to submit.

5. Save the file as an XML and convert it to a Zip File.

6. Click the browse button on the MBR XML submission Upload screen.
7. Locate the file on your computer and click the Open button
8. Click the upload button.
9. You will be taken to the submission status screen.
10. If your submission was unsuccessful, there may be an error with your XML. Please review your XML and correct any errors.
11. If your submission was successful, you will receive a message noting that your submission was successful.
12. Afterwards, you will receive a receipt confirmation email. The confirmation email indicates that your submission was received by FERC.
13. Finally, you will receive a validation email. The validation email will indicate whether your XML submission was accepted into the database.
14. If your XML submission was accepted, then your data will be included/updated in the MBR Database.
15. If your XML submission was not accepted, click the link after "MBR Validation Results" to see the errors in your XML.
16. Correct any errors in your XML and re-submit your XML using the steps described above.