# Market-Based Rate Data Collection

## Guide



Federal Energy Regulatory Commission

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## 1. Introduction

The market-based rate (MBR) relational database (MBR Database or database) is a modern gateway for the MBR program.<sup>1</sup> Information from every Seller<sup>2</sup> is required to be submitted to the MBR Database, through extensible markup language (XML) format. This submitted 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. Twelve distinct Tables<sup>3</sup> can be submitted to the database, which the Data Dictionary describes in detail. A summary of those tables is on the next page.

In addition to using the Data Dictionary as a reference, Submitters should also utilize the lookup tables in the MBR Portal to search for numerical or character identifiers to help complete an XML submission.<sup>4</sup>

All submissions to, and extractions from, the MBR Database are done via the <u>MBR Portal</u>. This portal allows Submitters<sup>5</sup> to submit data to the MBR Database,

<sup>2</sup> 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 marketbased rates under section 205 of the Federal Power Act. *See* 18 C.F.R. § 35.36(a)(1) (2020); 16 U.S.C. § 824d.

<sup>3</sup> Also known as XML "Sheets."

<sup>4</sup> The MBR Portal is available at: <u>https://mbrweb.ferc.gov/</u>. We provide links to specific sections of the MBR Portal throughout this guide as necessary.

<sup>5</sup> For purposes of this user guide, Submitters are defined as any person or entity inserting or uploading data into the database. This includes Sellers and any person or entity authorized to submit on behalf of Sellers.

<sup>&</sup>lt;sup>1</sup> 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), *order on reh'g*, Order No. 860-A, 170 FERC ¶ 61,129 (2020). On August 19, 2021, the Commission issued an Adopted Revision of Information Collection, adding three new data fields to the entities\_to\_entities table. *Adopted revisions to information collection*, 176 FERC ¶ 61,109.

validate and acquire feedback on their submissions, and search for or extract data from the MBR Database. Generally, any data submitted or amended in the database will be available for search or download immediately after a successful submission.

Category	Table Name	Description
	FilingInformation	Basic information about a Seller's CID
		and contact information
	mbr_authorizations	Basic MBR Information
General	mbr_category_status	Category status in regions where seller
Information		has MBR authority
Information	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
	entities_to_entities	Reporting of ultimate upstream affiliates
Delationshing	entities_to_genassets	Reporting of generator assets
Relationships	entities_to_ppa	Reporting of power purchase agreements
	entities_to_vertical_assets	Reporting of vertical assets
Market Power	indicative_pss	Inputs of Pivotal Supplier Screen
Screens	indicative_mss	Inputs of Market Share Screen

**Data Dictionary Summary** 

This guide describes how to use the MBR Portal for interactions with the MBR Database. It is intended to help Sellers and Submitters navigate the process of submitting data into and extracting data from the database.

An overview of the submission process is found below in <u>the MBR Portal</u> <u>Submission Process</u> section. Please ensure that all entities are properly eRegistered before interacting with the MBR Portal.

Please see the following FERC.gov sites for more information:

- MBR Order No. 860
- <u>eRegistration</u>
- <u>Q&A</u>

If there are questions after reviewing this guide and the above resources, please email MBRDatabase@ferc.gov.

## 2. Interaction of MBR Program Filings and MBR Database Submissions

As of July 1, 2021, filers must start submitting certain MBR information into the database prior to making filings with the Commission. This section of the user guide discusses submissions that require associated filings and how to reference submissions in these filings.<sup>6</sup>

For each submission to the database, the system generates unique identifiers to the submission, to each "row" of data submitted, and (when applicable) to the asset appendix.<sup>7</sup> Subsequent filings to the Commission should include references to these identifiers of the asset appendix and the relevant market power screens.

## A. Baseline Submission

On October 22, 2021, the Commission issued the <u>Notice of Extension of Time</u>, extending the baseline submission due date to February 1, 2022.

By February 1, 2022, Submitters must include the following specific information as part of the baseline submission: the Seller's CID "market-based rate information", including (a) Seller category status for each region in which the Seller has market-based rate authority, (b) each market in which the Seller is authorized to sell ancillary services at market-based rates, (c) mitigation if any, and (d) whether the Seller has limited the regions in which it has market-based rate authority; "market-based rate ownership information" (including ultimate upstream affiliates; and affiliate owners with franchised service areas, market-based rate authority, or that directly own or control generation; transmission, intrastate natural gas transportation, storage or distribution facilities,

<sup>&</sup>lt;sup>6</sup> Note that not all submissions into the database require a subsequent filing to the Commission. For example, if a new affiliation with a generator of an already affiliated entity increases controlled capacity in a market by 75 megawatts, the database should reflect this increase, but it would not create a change in status filing obligation. Likewise, cumulative changes should also be considered. For instance, if controlled capacity increases by 500 MW but subsequently decreases by 450 MW within the same quarter, there would also be no obligation to submit a change in status filing because the net increase in generation is below the 100 MW threshold.

<sup>&</sup>lt;sup>7</sup> Submissions including any of the "Relationships" information on page 3, allow the system to auto-generate both a Seller's asset appendix as well as the necessary reports for any submitted market power screens.

physical coal supply sources or ownership of or control over who may access transportation of coal supplies); and asset appendix information.<sup>8</sup>

After the initial baseline submission, Submitters will generally only need to make submissions to the database to correct errors in their submissions, update previously submitted information, or submit the indicative screens. Each of these subsequent submissions should be significantly less burdensome than the baseline submission.

## B. <u>Changes Resulting from the August 19, 2021 Adopted Revision of</u> <u>Information Collection</u>

On August 19, 2021, the Commission issued an Adopted Revision of Information Collection, which modified the reporting requirements established in Order Nos. 860 and 860-A to collect additional data from certain MBR Sellers. This additional information is necessary to accurately link affiliated MBR entities when generating asset appendices. Specifically, the Commission modified the entities\_to\_entities table to include three additional data fields: Blanket\_Auth\_Docket\_Number, Utility\_ID\_Type\_CD, and Utility\_ID.

On October 26, 2021, version 1.37 was released to incorporate these revisions.

Information for these new data fields should only be submitted by Sellers with ultimate upstream affiliates that have been granted blanket authorization under section 203(a)(2) of the Federal Power Act, 16 U.S.C. § 824b, to acquire the securities of the Seller, or the Seller's upstream affiliate(s). Sellers for whom this applies should use these data fields to identify the upstream affiliate whose securities were acquired pursuant to the section 203(a)(2) blanket authorization and the docket number of the proceeding in which the Commission granted the section 203(a)(2) blanket authorization. Sellers for whom this does not apply should simply leave the new data fields blank when making their XML submissions.

<sup>&</sup>lt;sup>8</sup> Order No. 860, 168 FERC ¶ 61,039 at P 185.

The XML samples below show the construction of the updated XML table with the new fields, as well as examples of submitting New or Updated records:

```
XML Schema: entities_to_entities table, with the three additional data fields added in the Adopted
Revision of Information Collection (highlighted in yellow)

<p
```

XML Schema: Example "New" submission of the entities\_to\_entities table

```
<entities_to_entities record_type_cd="New" reference_id="" >
    <reportable_entity_ID_type_CD>LEI</reportable_entity_ID_type_CD>
    <reportable_entity_ID>ABCD1234XXXXXX</reportable_entity_ID>
    <Blanket_Auth_Docket_Number>ER21-999-000</Blanket_Auth_Docket_Number>
    <Utility_ID_Type_CD>LEI</Utility_ID_Type_CD>
    <Utility_ID>EFGH5678YYYYY</Utility_ID>
    <relationship_start_date>2021-01-02</relationship_start_date>
    <relationship_end_date />
    </entities to entities>
```

XML Schema: Example "Update" submission of the entities\_to\_entities table, with example reference\_id of '888'

```
<entities_to_entities record_type_cd="Update" reference_id="888" >
    <reportable_entity_ID_type_CD>LEI</reportable_entity_ID_type_CD>
    <reportable_entity_ID>ABCD1234XXXXX</reportable_entity_ID>
    <Blanket_Auth_Docket_Number>ER21-999-000</Blanket_Auth_Docket_Number>
    <Utility_ID_Type_CD>LEI</Utility_ID_Type_CD>
    <Utility_ID_EFGH5678YYYYY</Utility_ID>
    <relationship_start_date />
    <relationship_end_date />
    </entities_to_entities>
```

Data Field	Description
Blanket_Auth_Docket_Number	Docket number wherein the Reportable Entity received a of the section 203(a)(2) blanket authorization. This field should be left blank if this does not apply.
Utility_ID_Type_CD	User selects one of the three identifier types it will provide for these 2 fields: CID, LEI, or GID
	CID, LEI, or GID for the entity whose securities were acquired pursuant to the blanket authorization. This field should be left blank if this does not apply.
Utility_ID	Note: when provided, this field is used to establish downstream affiliate relationships to generate the Asset Appendix. The reportable_entity_ID is used to identify the Ultimate Upstream Affiliate.

## C. <u>Submission Requirements by Filing Type</u>

## **Change in Status Submissions**

In Order No. 860, the Commission modified the reporting requirements for updates including timing of change in status filings and database updates. All updates to the MBR Database will be due on the 15<sup>th</sup> day of the month following a change. In light of these monthly MBR Database updates, the Commission modified the timing of when Sellers are required to file notices of change in status to quarterly rather than within 30 days of any such changes.<sup>9</sup> This will reduce the number of change-in-status filings required of Sellers' throughout the year.

## **Initial Application Submissions**

In Order No. 860, the Commission modified MBR reporting requirements so that certain information is required to be submitted into the MBR database. Sellers will be required to submit baseline submissions when seeking market-based rate authorization.

## **Triennial Submissions**

Triennial filings are due in accordance to the schedule established in Appendix D to Order No. 697-A.

<sup>&</sup>lt;sup>9</sup> Order No. 860, 168 FERC ¶ 61,039 at P 171.

## **D.** Interim Period Submissions

### **Changes in Status**

For changes in status that occur between July 1, 2021 and January 31, 2022, these changes will follow a modified schedule compared to what is described above. For change in status events that occur between this period, the related filing is due on March 3, 2022. This allows for the RDB to be fully populated prior to the filing of such changes in status. After January 31, 2022, all changes in status filings align with the EQR quarterly submission schedule.

### **Initial Applications**

Sellers that file market-based rate applications between July 1, 2021 and January 31, 2022 are required to make a baseline submission by February 1, 2022. Sellers with MBR applications filed between July 1, 2021 and February 1, 2022 are required to submit their information in the database during the interim period.<sup>10</sup> These Sellers are required to submit their indicative screens and asset appendices as attachments to their filings through the eFiling system, which will be used to process their filings.<sup>11</sup>

### <u>Triennials</u>

Sellers that file triennials during the interim period between July 1, 2021 and January 31, 2022 will not be required to submit their baseline submissions before the February 1, 2022 due date. Sellers are not required to submit triennial information into the relational database for timely filed triennials due December 31, 2021; or prior. For their triennial filings, these Sellers are required to also submit their indicative screens and asset appendices as attachments to their filings, as they were required to do prior to Order No. 860 becoming effective, through the eFiling system.

#### E. <u>Referencing the Asset Appendix</u>

Sellers and Submitters are required to identify their own assets, and the assets of

<sup>&</sup>lt;sup>10</sup> Although Sellers are required to submit their information into the database it will not be used to process their filings. As noted above, the asset appendices and indicative screens are required to be submitted as attachments with their initial applications during this period. Sellers are required to submit this information by February 1, 2021 so that their affiliates' asset appendices will be correct and complete.

<sup>&</sup>lt;sup>11</sup> Order No. 860, 168 FERC ¶ 61,039 at P 314.

affiliates without market-based rate authority, through submissions to the database. Once populated by Submitters, the MBR Database will contain sufficient information to allow the Commission to identify all of the relevant Sellers' affiliates, and their assets, to create complete asset appendices for Sellers once they report their own assets. Sellers will no longer need to collect information about assets owned by their affiliates with marketbased rate authority and will no longer be required to attach an asset appendix with filings made through eFiling to the Commission. Instead, Sellers will reference in the narratives of their filings, the serial numbers for their asset appendices that the MBR Database will provide through the MBR Portal. Sellers must reference either their most recently created asset appendix or an asset appendix created fewer than 15 days before they file.

Asset appendices can be found on the portal, <u>here</u>. These reports are searchable by company identifiers, and the names of any entity or its affiliate(s). The serial number of the reportable asset appendix should be clearly marked and visible in the filing made through the eFiling system.

## F. <u>Referencing the Indicative Screens</u>

Submitters must submit indicative screen information in XML format, which will enable indicative screens to be incorporated in the MBR Database. Submitters will receive a study identifier for each of their indicative screens for Sellers to include in the narratives of their associated market-based rate filing. Reporting these study identifiers will incorporate the associated indicative screens as part of the market-based rate filing made through the eFiling system and will allow the Commission and the public to view the indicative screens using the MBR Portal. Sellers will continue to submit all of their workpapers underlying the screens in those filings.

Successfully submitted indicative screens can be found on the portal, <u>here</u> for the Pivotal Supplier Screen, and <u>here</u> for the Market Share Screens. These reports are searchable by company identifiers, and the identifiers of any entity or its affiliate(s), the study year, the balancing authority, and whether or not the screen was updated. The study identifier of the reportable asset appendix should be clearly marked and visible in the filing made through the eFiling system.

Activity	Revised, Six-month Extension Schedule
Effective date of Order No. 860	July 1, 2021
"Go-live" date of MBR Database	July 1, 2021
Sellers should create needed identifiers (FERC Generated IDs and Asset IDs) in the MBR Portal and prepare their baseline submissions	July 1, 2021 – Jan. 31, 2022
Updates to the XML schema adding three fields in the entities_to_entities table Affected filers need to include this information prior to the baseline submission due date. All following submissions will need to use the updated XML.	Oct. 26, 2021
Baseline submissions are due	By Feb. 1, 2022
<b>First change in status filings under new timelines are due</b> Reflecting changes between July 1, 2021 and January 31, 2021	By Mar. 3, 2022
<b>Second change in status filings are due</b> Future notice of change in status obligations will align with the timeline used for EQRs thereafter	By Apr. 29, 2022

## 3. Overview of MBR Portal Submission Process

## **Pre-Filing**

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

- 1. eRegister with FERC through the FERC Online <u>link</u> if have not previously eRegistered.
- 2. Obtain a Commission-issued Company Identifier (CID) through the following <u>link</u>. For stepby-step instructions, see Company Registration under the

## Preparation

I

The following steps involve the Seller searching for and collecting all relevant company and asset identifiers prior to compiling the XML file for submission in the MBR database.

- 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 in the MBR Portal. Instructions for finding or creating company identifiers can be found in the How to Search for, Create, and Use 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), which may be found in the Gen Assets section of the MBR Portal. 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 <u>Generation Assets</u> section.
- 5. Save all reportable entities and reportable generation assets in a document, as they will be used in the XML submission.

## Submission

1

The following steps guide Submitters to make XML submissions in the MBR database. Detailed instructions for XML submissions can be found in the

Preparing and Submitting XML section.

- 6. Log in to the <u>MBR Portal</u> using the eRegistered email address or FERC ID and password created in the Pre-Filing step (see steps 1-3).
- 7. Select <u>Submit MBR XML</u> in the menu on the left side of the MBR Portal screen and download the sample Submission XML file where it states, "blank Submission XML can be found <u>here</u>."
- 8. Copy and paste the text from the blank Submission XML file into your XML editor.
- 9. Complete the Submission XML file with all pertinent information (including all entity and asset ID's).
- 10. Save the XML file in a compressed (zipped) folder and return to the Submit MBR XML page of the MBR Portal.
- 11. Select Browse to the right of "Zipped MBR XML File" and select your XML file.
- 12. Select Upload to submit the XML file to the MBR Database. After receiving the confirmation, validation, and acceptance emails, Submitters may review their records

## 4. Initial Activities: What to Check/Do Before Making Submissions

Submitters will make submissions to the MBR Database through the MBR Portal<sup>12</sup> by submitting files in XML format. Within the MBR Portal, Submitters will find tools to research information needed to prepare their XML files for submission, services to extract information from the database, and the link to submit their finalized XML file.

## A. Sellers Need to Have a CID to Make Submissions

All Sellers are required to have a Commission-issued CID, which can be obtained through FERC's <u>Company Registration</u>. When completing the Company Registration form, Sellers must check "MBR" as a form and designate agents to file the MBR form, which is required to make MBR database submissions. For additional information on Company Registration, please review the <u>Company Registration instructions</u>.

## B. Submitters Must Be eRegistered to Make Submissions

Submitters 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 the <u>eRegistration</u> link to eRegister with the Commission.

## C. All Companies and People Included in the Submission Need Unique Identifiers

Submitters will often need to identify other companies or people (collectively, reportable entities) in their submissions into the MBR Database. In the MBR Database, reportable entities are identified using CIDs, LEIs, or GIDs. Submitters may search the MBR Portal to find whether a reportable entity already has a CID, LEI, or GID. More information on these identifiers can be found below in the <u>Identifiers section</u>.

## D. All Generation Assets Included in Submissions Must Have Unique Identifiers

Sellers are required to identify any Commission-jurisdictional generation assets that they, or their non-MBR affiliates, own, operate, or control (reportable assets). If a

<sup>&</sup>lt;sup>12</sup> The MBR Portal is described in the next section, 5. Description of the MBR Portal.

reportable asset is included in the Energy Information Administration (EIA) Form 860 generator tables (EIA Tables), Submitters will be able to find the EIA-860 codes (EIA Codes) for that reportable asset. For reportable assets that do not have EIA Codes, Submitters must request a Commission-generated ID (Asset ID) for that reportable asset. In addition, Submitters may search the MBR Portal to discover if a reportable asset has an EIA Code or an Asset ID. More information on generation assets can be found below in the <u>Generation Assets section</u>.

## E. Making the MBR Database Submission

Once the previous steps have been completed, Submitters will submit an XML file to the database. Submitters must be designated as Account Managers or Agents for any company for which they seek to make XML submissions. Submitters will submit the XML file through the MBR Portal, as described in greater detail below.

## 5. Description of the MBR Portal

All submissions to, and extractions from, the database are done via the <u>MBR</u> <u>Portal</u>. Submitters 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 MBR Portal.

A. Go to the following URL to access the MBR Portal: <u>http://mbrweb.ferc.gov/</u>.

← → C 🕯 mbrwel	b.ferc.gov				2 <b>*</b> *
	IBR Portal deral Energy Regulatory Commission				FERC GOV LOGIN
Home Search 👻			On October 22, 2021, the Commission issued the Notice of E date to February 1, 2022.	atension of Time, extending the baseline submission due	
General Gen Assets EIA Lookup Tables Submitted Data Create GID			On August 19, 2021 the Commission issued an order adoptin chema incorporating the revisions was released October 26, changes can be found in the Cuick Start Cuide and the Relace Unaffected Selects that have aready submitted data to the enti- dered filers that have aready submitted data to the enti- information for the new fields. The revisions to the XML scher	2021 in version 1.37. More information relating to the see Notes. No data has been cleared from the database titles to entities table do not have to take any action. to entities table should update the table with the	
			Activity	Compliance Schedule	
Create Gen Assets			Effective date of Order No. 860	Jul. 1, 2021	17
Submit MBR XML	eRegistered eMail address or FERC ID	eRegistered eMail address or FERC ID	"Go-live" date of MBR Database	Jul. 1, 2021	
MBR Reports Documents and Links	Password	Password	Sellers should create needed identifiers (FERC Generated IDs and Asset IDs) in the MBR Portal and prepare their baseline submissions	Jul. 1, 2021 – Jan. 31, 2022	
		Submit Clear	Updates to the XML schema adding three fields in the entities_to_entities table. Affected filers need to include this information prior to the baseline submission due date. All following submissions will need to use the updated XML.	October 26. 2021	
			Baseline submissions are due	By Feb. 1, 2022	
			First change in status filings under new timelines are due Reflecting changes between July 1, 2021 and January 31, 2022	Mar 3, 2022	•
			Second change in status filings are due Future notice of change in status obligations will align with the timeline used for EQRs thereafter	By Apr. 29, 2022	
	Security and Privacy Statement				
	For any issues regarding MBR System, please contact MBR suppo	rt. Please include a current e-mail address.	Last Modified: 10/26/2021 6:47:09 PM ver. 1.37		

**B.** The log-in screen displays:

(Figure 1 – Log-In MBR Portal)

- C. Enter the eRegistered email Address or FERC ID and password in the fields.
- **D.** Click the submit button.
- **E.** The MBR Portal then displays the Welcome screen, shown in Figure 2:

	gov R Portal I Energy Regulatory Commission				÷ * ± 5
Home Search - General Gen Assets EIA Lookup Tables Submitted Data Create GID			On October 22, 2021, the Commission issued the Notice of E date to February 1, 2022. On August 19, 2021 the Commission issued an order adopting schema incorporating the revisions was released October 26 changes can be found in the Culck Start Guide and the Release Unaffected Selens that have already submitted data to the entities information for the me fidick. The revisions to the XML selection of the entities	g revisions to this Information Collection. The revised XML, 2021 in version 1.37. More information relating to the services. Notes. Not also been cleaved from the database titles b, entities table do not have to take any action. To, entities table should update the table with the	
Create Gen Assets			Activity	Compliance Schedule	
Submit MBR XML			Effective date of Order No. 860	Jul. 1, 2021	1 <sup></sup>
	eRegistered eMail address or FERC ID	eRegistered eMail address or FERC ID	"Go-live" date of MBR Database	Jul. 1, 2021	
MBR Reports Documents and Links	Password	Password	Sellers should create needed identifiers (FERC Generated IDs and Asset IDs) in the MBR Portal and prepare their baseline submissions	Jul. 1, 2021 - Jan. 31, 2022	
	•	Submit Clear	Updates to the XML schema adding three fields in the entities to_entities table Affected filters need to include this information prior to the baseline submission due date. All following submissions will need to use the updated XML.	October 26, 2021	
			Baseline submissions are due	By Feb. 1, 2022	
			First change in status filings under new timelines are due Reflecting changes between July 1, 2021 and January 31, 2022	Mar.3, 2022	
			Second change in status filings are due Future notice of change in status obligations will align with the timeline used for EQRs thereafter	By Apr. 29, 2022	
	inly and Privacy Statement iny issues regarding MBR System, please confact <u>MBR suppo</u>	<u>at.</u> Please include a current e-mail address.	Last Modified: 10/26/2021 6 47 09 PM ver. 1.37		

(Figure 2 – Welcome Screen)

## 6. Navigating the MBR Portal

The MBR Portal contains several functions navigable in the left side panel (outlined in red in Figure 2) of the Portal, as described more below:

- A. Home: Select to return to the Welcome Screen.
- **B.** Search: Expand drop-down list to find the search categories below:
  - i. General: Searches for the main identifiers (CID, LEI, GID);
  - ii. Gen Assets: Searches for FERC Asset IDs (generators not found in EIA Tables);
  - iii. EIA: Searches for EIA Codes and reportable EIA asset data;
  - iv. Lookup Tables: Searches for numerical or character values for various attributes in the Tables.
- C. Create GID: Create a GID for any reportable entity
- D. Create Gen Assets: Create a reportable asset has no EIA Code or Asset ID

E. Submit MBR XML: Make the XML file submission

F. MBR Reports: Find Reports and Additional Data on MBR submissions

## G. Documents and Links: Find collection of relevant documents and links7. How to Search for, Create, and Use Identifiers

## A. Searching for an Entity Identifier

Before making an XML submission to the MBR Database, Submitters should search the MBR Portal to determine if any reportable entities that Sellers are required to report already exist in the database (i.e., have a CID, LEI, or GID). Submitters may use the search functions on the <u>MBR Portal</u> to identify such reportable entities and assets by following the steps below:

i. Click on <u>General to search for CIDs, LEIs and GIDs</u> on the MBR Portal. The screen displays search fields and the first page of existing database records.

A 44 1 4 4 1 1 4 4 1	MBR Portal iederal Energy Regulatory C	ommissio	n									FERC.GOV LOC
Home						Gen	eral Se	earch				
General Gen Assets EIA Lookup Tables			,	lame:				CID:				
Submitted Data Create GID								Is Individu				
Create Gen Assets									al			
Submit MBR XML								Search Results:	Search Clear Print Expo		.lson	
MBR Reports		CID	LEI	GID	Name		ls	GID Relationship Group	Description	GID	GID	
Documents and Links		2.0		510	Hame		Individual	FK	_ compton	Active Date	Inactive Date	
		C004796			2014 ESA Project Company	, LLC	N					
		C004858			2015 ESA Project Company	, LLC	N					

(Figure 3 – General Search Page)

ii. 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 produce results even when complete information is not presented. For example, entering "360" into the Name field would return the companies "360Recycling" and "Recycling360", if those companies exist in the database, along with any other relevant results.

## iii. Click the search button.

	MBR Portal ederal Energy Regulatory	Commissi	on							
Home						Gener	al Search			
Search General Gen Assets EIA Lookup Tables Submitted Data				Name: LEI:		Gener				
Create GID							🗆 Is	Individual		
Create Gen Assets										
Submit MBR XML							Search Result	s: Search Clear Print		( ) lean
MBR Reports										
Documents and Links		CID	LEI	GID	Name	ls Individual	GID Relationship Grou FK	p Description	GID Active Date	GID Inactive Date
		C004796			2014 ESA Project Company, LL C	N				

(Figure 4 – Search button)

iv. Use the buttons at the bottom of the screen to scroll through search results. If desired, click the Print button to print the results or the Export button to export the results to an XML file, as shown in Figures 5 and 6 respectively.

	MBR Portal Federal Energy Regulatory (	Commissi	on							
Home					Ge	eneral S	aarch			
Search General General Gen Assets EIA Lookup Tables Submitted Data			,	łame: LEI:					/	
Create GID							🗌 ls Individu	al		
Create Gen Assets								a		
Submit MBR XML							Search Results:	Search Clear Print Export		VOJson
MBR Reports		CID	LEI	GID	Name	ls	GID Relationship Group	Description	GID	GID
Documents and Links		510		510	. Juine	Individual	FK	2 catipation	Active	
		C004796			2014 ESA Project Company, LLC	N				

(Figure 5 – Print Button)

	MBR Portal Federal Energy Regulatory (	Commissio	n							
Home					Ger	neral S	earch			
Search General General Gen Assets EIA Lookup Tables Submitted Data			I	Name:			CID:			
Create GID							🗌 ls Individu	al		
Create Gen Assets										
Submit MBR XML							Search Results:	Search Clear Print Export		V Json
MBR Reports Documents and Links		CID	LEI	GID	Name	ls Individual	GID Relationship Group FK	Description	GID Active Date	GID Inactive Date
		C004796			2014 ESA Project Company, LLC	N				
		C004858			2015 ESA Project Company, LLC	N				

(Figure 6 – Export Button)

## B. Searching for an Asset Identifier

Submitters should also search the MBR Portal to determine if any reportable assets that Sellers are required to report already exist in the database (i.e., FERC Asset IDs or EIA Codes). Submitters may use the search functions on the <u>MBR Portal</u> to identify such reportable entities and assets by following the steps below:

i. Click on <u>EIA to search for EIA Codes</u> on the MBR Portal. The screen displays search fields and the first page of existing database records.

	BR Porta leral Energy Regul		Commiss	iion											FE
Home Search <del>▼</del> General								E	IA		Start Range E	ind Range		Start Da	te End Date
Gen Assets EIA	Plant Code: Plant Name:			Utility Name: Generator ID:			N	ameplate Ca	pacity MW:			Active	Dt:		
ookup Tables Submitted Data								Operat	ting Month:			Inactive	Dt:		
create GID	St	ate:	Cour	nty	Unit Code:				Oper	ating Year:					
reate Gen Assets													_		
ubmit MBR XML												Search	Clear Export	OXMLOCS	/ OJson
IBR Reports											Nameplate				
ocuments and Links		EIA ID	Plant Code	Utility Name	plant Na	ame	State	County	Generator ID	Unit Code	Capacity MW	Operating Month	Operating Year	Active Date	
		1	BHE	Bishop Hill Energy II, I	LLC Bishop Hill I Farm	l Wind	IL	Henry	19815	Unit_code	1.1	12	2014	4/9/2020	
		2		Consolidated Water Po Co	ower Whiting		WI	Portage	2		0.5	1	1891	4/9/2020	

(Figure 7 – EIA Search Page)

- ii. To search the database, enter a Plant Code, Generator ID, Unit Code, Plant Name or Utility Name into the respective search field. Please note that these fields accept partial entries and will produce results even when complete information is not presented.
- iii. Click the search button.

E WAR A BAR F	IBR Porta		Commise	sion										FE	RC.GO
Home Search <del>–</del>							Е	IA							
General										Start Range E	nd Range		Start Da	te End Date	
Gen Assets EIA	Plant Code: Plant Name:				Utility Name:			ameplate Cap	pacity MW:			Active	Dt:		
Lookup Tables Submitted Data	Plant Na	Plant Name:		G	Generator ID:			Operating Month:				Inactive	Dt:		
Create GID	St	ate:	Cou	nty	Unit Code:			Oper	ating Year:						
Create Gen Assets															
Submit MBR XML										$\rightarrow$	Search	Export	OXMLOCS	√OJson	
MBR Reports		-	Direct					0		Nameplate	Onestine	Onestine	A still up	Incettion	
Documents and Links		EIA ID	Plant Code	Utility Name	plant Name	State	County	Generator ID	Unit Code	Capacity MW	Operating Month	Operating Year	Active Date	Inactive Date	
		1	BHE	Bishop Hill Energy II, LLC	Bishop Hill II Wind Farm	IL	Henry	19815	Unit_code	1.1	12	2014	4/9/2020		
		2	3975	Consolidated Water Power Co	Whiting	WI	Portage	2		0.5	1	1891	4/9/2020		

(Figure 8 – Search button)

- iv. Use the buttons at the bottom of the screen to scroll through search results.
- v. Click on <u>Gen Assets to search for FERC Asset IDs</u> on the MBR Portal. The screen displays search fields and the first page of existing database records.

	MBR Portal Federal Energy Regulatory	Com	mission										FERC.GOV
Home Search General Gen Assets EIA Lookup Tables Submitted Data			en Code:			Gen Decrating Mon Operating Ye		ind Range	Activ	Start I e Date: e Date:	Date End D	ate	
Create GID			State:	Country:	Nameplate	e Capacity M	IW:						
Create Gen Assets									_				
Submit MBR XML									Search	Clear		SV OJson	
MBR Reports Documents and Links		ID	Gen Code	Gen	Name	State	Country	Nameplate Capacity MW	Operating month	Operating year	Active Date	Inactive Date	
		3	FA58194	West Campus Steam	n Plant	PA	Centre	3.5	1	2005	4/9/2020		
		4	FA58195	Lake Marion		PA	Centre	3.5	1	2006	4/9/2020		

(Figure 9 – Gen Assets Page)

- vi. To search the database, enter a Gen Code or Gen Name into the respective search field. Please note that these fields accept partial entries and will produce results even when complete information is not presented.
- vii. Click the search button.

	MBR Portal Federal Energy Regulatory	/ Commissi	on							
Home						Gener	al Search			
Search General Gen Assets EIA Lookup Tables Submitted Data				Name: LEI:		Gener				
Create GID							L Is Inc	lividual		
Create Gen Assets										
Submit MBR XML							Search Results:	Search Clear Print Ex		( ).lson
MBR Reports		CID	LEI	GID	Name	ls	GID Relationship Group	Description	GID	GID
Documents and Links		CID	LEI	GID	rame	Individual	FK	Description	Active	Inactive Date
		C004796			2014 ESA Project Company, LL C	N				

(Figure 10– Search button)

- viii. Use the buttons at the bottom of the screen to scroll through search results.
- ix. If desired, click the Export button to export the results to an XML file, as shown in Figures 10 and 11, respectively.

MBR F Federal Ener	Portal gy Regulatory Com	mission									FERC.0
ome				Ger	Assets						
arch 🚽					Start Range	End Range		Start	Date End D	ate	
n Assets	c	Sen Code:		Operating Mor	nth:		Activ	e Date:			
, okup Tables omitted Data	G	en Name:		Operating Ye	ar:		Inactiv	e Date:			
eate GID		State:	Country:	Nameplate Capacity N	IW:						
eate Gen Assets									<u> </u>		
bmit MBR XML							Search	Clear		SV OJson	
R Reports						Nameplate					
cuments and Links	ID	Gen Code	Gen Name	State	Country	Capacity MW	Operating month	Operating year	Active Date	Inactive Date	
	3	FA58194	West Campus Steam Plant	PA	Centre	3.5	1	2005	4/9/2020		
	4	FA58195	Lake Marion	PA	Centre	3.5	1	2006	4/9/2020		

(Figure 11 – Export Button)

## C. <u>Creating a GID</u>

Following the steps below, Submitters may obtain a GID for any reportable entity that they need to reference in an MBR submission that does not already have a CID, LEI, or GID.

i. The <u>Create GID page</u> in the <u>MBR Portal</u> allows Submitters the option to either create one GID record at a time, or upload an XML file that contains multiple GID records.

Federal Energy Regulatory	Commission
	MBR Portal
Home	
Logout	
Search	
Create GID	Create GID
Create Gen Assets	
Submit MBR XML	Create New GID: One record at a time through the MBR user interface.
Reports	GID Bulk Upload: Multiple records created through the use of an XML file.
MBR Help	
FERC Online Links	

## (Figure 12 – <u>Create GID Page</u>)

 ii. There are two ways to request new GIDs: individually or through the Bulk Upload. If a Submitter has a large number of reportable entities that it wishes to request GIDs for on behalf of a Seller, the Submitter may use the <u>GID Bulk</u> <u>Upload</u> function.

## D. Individually Create a New GID

i. Click the <u>Create New GID</u> link on the <u>Create GID page</u>, and the <u>Create New</u> <u>GID</u> screen will display:

MBR Portal Federal Energy Regulatory Comr	nission	
Home		Create New GID
Search <del>v</del> General		
Gen Assets EIA Lookup Tables Submitted Data	Are you requesting a GID for an individual?	0
Create GID	First Name	
Create Gen Assets Submit MBR XML	Last Name	
MBR Reports	Legal Entity	
Documents and Links	Address Line 1	
MBR Administration	Suite/Apt/Unit	
	City	
	Zip	
	Country	- Select a Country 🗸
	1	Create Clear

(Figure 13 – <u>Create New GID</u>)

- ii. Enter the reportable entity's legal name in the Legal Entity field (if requesting a GID on behalf of a company) or click the "Are you submitting as an Individual" box (if requesting a GID for a person/individual).
- iii. If creating a GID on behalf on an individual, enter that individual's first and last name. These fields are inaccessible if the "Are you requesting a GID for an individual" box is not checked.
- iv. Enter the remaining data in the relevant fields, then click the Create button. If all data was input correctly, a confirmation screen will display the newly created GID.

MBR Portal Federal Energy Regulatory Commission		
Home		Create New GID
Search ▼ General		
Gen Assets EIA Lookup Tables Submitted Data	Are you requesting a GID for an individual?	
Create GID	First Name	
Create Gen Assets Submit MBR XML	Last Name	
MBR Reports	Legal Entity	Sherman LLC
Documents and Links MBR Administration	Address Line 1	Wallaby Way
	Suite/Apt/Unit	42
	City	Sydney
	Zip	20754
	Country	AUSTRALIA 🗸
	1	Create Clear

## (Figure 14 – <u>Create GID Page</u>)

	MBR Portal ederal Energy Regulatory Commission
Home	
Search General Gen Assets EIA Lookup Tables Submitted Data	
Create GID	Confirmation
Create Gen Assets	Congratulations! Your FERC ID is GID0000328
Submit MBR XML	
MBR Reports	
Documents and Links	
MBR Administration	
	For any issues regarding MBR System, please contact MBR support. Please include a current e-mail address. Last Modified: 2/25/2021 5:46:28 PM ver. 1:28

## (Figure 15 – <u>Create GID Confirmation</u>)

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

## MBR-GID Registration

noReply@ferc.gov

To:

Thank you for using the GID service! Your request has been completed and the following records have been created and added into the FERC GID table:

-GID: GID0000328 -Entity Name: Sherman LLC

Please save this information for your records. If you have any questions, please contact FERC at:

E-Mail: ferconlinesupport@ferc.gov (do not send filings to this address) Toll Free: 866-208-3676.

Reply Forward

## (Figure 16 – <u>Create GID Confirmation</u>)

## E. Creating Multiple GIDs (GID Bulk Upload)

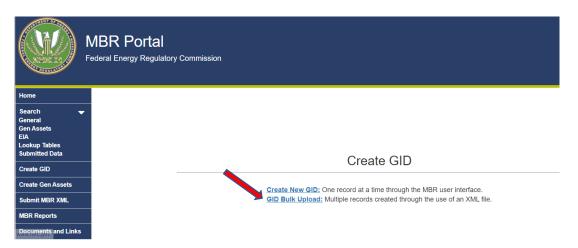
The <u>GID Bulk Upload</u> function provides Submitters the ability to register one or many GIDs into the MBR Database through an XML file upload.

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 <u>here</u>. 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 Submitter will upload <u>must</u> 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.

i. Click the <u>GID Bulk Upload</u> link on the <u>Create GID page</u>.



## (Figure 17 – GID Bulk Upload Link Location)

ii. The <u>GID Bulk Upload</u> screen has links to the <u>GID XML</u> and <u>GID Schema</u> as well as the link to request an <u>AuthKey</u> and to upload the final GID XML file (please see below for information on requesting an AuthKey).

E BELL SEE	MBR Portal Federal Energy Regulatory Commission
Home	
Search General Gen Assets EIA Lookup Tables Submitted Data	GID Bulk Upload Please select the zipped GID XML and press the Upload button A sample GID XML can be found here. GID XML must be validated against the GID Schema. GID XML required an eRegistered Email
Create GID	address and AuthKey for validation purpose. You can request the AuthKey here. If you know your eRegistered email address, click here to enter it and request your AuthKey.
Create Gen Assets	
Submit MBR XML	Zipped MBR XML File Choose File No file chosen
MBR Reports	Upload Remove
Documents and Links	

(Figure 18 – <u>GID Bulk Upload</u> screen)

iii. Click <u>this link</u> to view a sample XML file.

```
<?xml version="1.0" encoding="utf-8" ?>
<!-- ver. 1.27-->
<GIDData xmlns="https://mbrweb.ferc.gov/GIDSchema.xsd">
<GIDDataHdr>
 <eRegEmailAddress />
 <AuthKey />
 </GIDDataHdr>
<GIDDataDtl>
<Is Individual />
 <Legal_Entity />
<First_Name />
 <Last_Name />
 <Legal_Entity_Address1 />
 <Legal_Entity_Address2 />
 <City />
<Zip />
 <Country />
 </GIDDataDtl>
<GIDDataDtl>
 <Is_Individual />
<Legal_Entity />
<First_Name />
 <Last Name />
 <Legal_Entity_Address1 />
<Legal_Entity_Address2 />
 <City />
 <Zip /> <Country />
 </GIDDataDtl>
 </GIDData>
```

## (Figure 19 – Sample XML)

- iv. Copy and paste the contents of the Sample XML into a text editor, or any XML editor program.
- v. 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 <GIDDataDTL> </GIDDataDTL>, and enter relevant info (displayed below in Figure 14). Repeat this step for all reportable entities for which a GID is requested.

```
<GIDDataDtl>
<Is_Individual />
<Legal_Entity />
<First_Name />
<Last_Name />
<Legal_Entity_Address1 />
<Legal_Entity_Address2 />
<City />
<Zip />
<Country />
</GIDDataDtl>
```

## (Figure 20 – Tags for data input)

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

vii. Returning to the <u>GID Bulk Upload</u> screen, click the browse button to locate where the saved Compressed Zip Folder is located.



## (Figure 21 – GID Bulk Upload Browse Button)

- viii. Select the Compressed Zipped Folder and click the Upload button.
- ix. If successful, the Submitter will receive a confirmation message and email.
- x. An email will be sent containing the GID Submission ID, the Seller that submitted it, the date processed, and the GID processing results.

## F. <u>Requesting an Authentication Key</u>

Submitters must have an AuthKey in order to use the GID Bulk Upload function. An AuthKey is an autogenerated code that Submitters 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. Submitters do not need to request a unique AuthKey for each submission. Rather, the same AuthKey will work for the GID Bulk Upload and should continue to work for future uploads.

- i. Navigate to the <u>GID Bulk Upload screen</u>.
- ii. 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 22 – Link for AuthKey on GID Bulk Upload screen)

- iii. Enter a valid email in the eRegistered email address field to receive an AuthKey.
- iv. Select submit. An email will be sent with the AuthKey to the eRegistered email address.

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

In order to identify and track the relationships between Sellers and generation assets, Sellers are required to identify reportable assets in an XML submission. Reportable assets included in the EIA-860 generator tables 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. Submitters may search the MBR Portal to determine if a reportable generator already has an EIA Code or Asset ID. For reportable assets that do not have an EIA Code or an Asset ID, Submitters must request an Asset ID in the MBR Portal following the steps below.

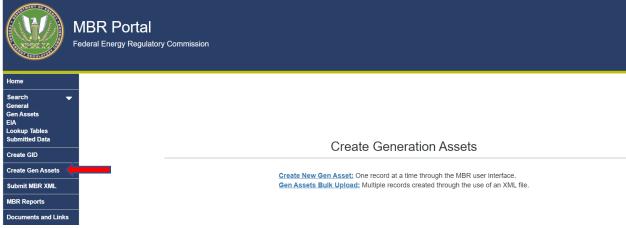
## A. Creating an Asset ID

Submitters may obtain an Asset ID for any reportable asset that they need to reference in an MBR submission that does not have an EIA Code or an existing Asset ID.

The <u>Create Gen Assets</u> in the MBR Portal allows Submitters to create one record at a time or upload an XML file that contains multiple records (Bulk Upload). If a Submitter has many reportable assets that require Asset IDs, the Submitter should use the <u>Asset ID Bulk Upload</u> function.

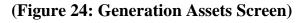
## B. Individually Create a New Asset ID

i. Click on the <u>Create New Gen Asset</u> link, as shown in Figure 18 below.



(Figure 23: Create Gen Assets Link)

E THE A CONFER	MBR Portal Federal Energy Regulatory Commission
Home	
Search General Gen Assets EIA Lookup Tables Submitted Data	Create Generation Assets
Create GID	
Create Gen Assets Submit MBR XML	Create New Gen Asset: One record at a time through the MBR user interface. Gen Assets Bulk Upload: Multiple records created through the use of an XML file.
MBR Reports	
Documents and Links	



ii. Enter the reportable asset's information in the applicable fields, as shown in Figure 25.

E 4. 2	MBR Portal Federal Energy Regulatory Commission		
Home			Create New Generation Assets
Search 🔫 General			Ofeate New Generation Assets
Gen Assets EIA Lookup Tables Submitted Data		Gen Name	
Create GID		Country	Select a Country - 👻
Create Gen Assets		State	Select a State 🗸 🗸
Submit MBR XML		Nameplate Capacity	
MBR Reports		Operating	Select a Month 👻
Documents and Links		Month	Select d Montul +
MBR Administration		Operating Year	
			Create

(Figure 25 – Input Generation Asset Information)

- iii. Select the Create button to finish.
- iv. If all data was input correctly, a confirmation screen will display the new Asset ID.
- v. An email confirming successful Asset ID registration will be sent to the Submitter's eRegistered email address.

## C. Creating Multiple Asset IDs (Asset ID Bulk Upload)

The <u>Asset ID Bulk Upload</u> function allows Submitters to register one or multiple Asset IDs into the MBR Database through an XML file upload.

The XML file submissions will be verified internally to ensure the data and XML structure are valid. The schema against which the XML file will be validated can be found <u>here</u>. Processing notifications are sent through email to provide the status of the XML file processing results (i.e., acceptance, rejection, or duplicate record).

The file that a Submitter will upload <u>must</u> contain all relevant data entries and the file must be first saved as an XML file and then saved into a Compressed Zip Folder before upload.

i. Click the <u>Gen Assets Bulk Upload</u> link on the <u>Create Gen Assets Page</u>.

	MBR Portal ederal Energy Regulatory Commission
Home	
Search General Gen Assets EIA Lookup Tables Submitted Data	Create Generation Assets
Create GID	Create Generation Assets
Create Gen Assets	Create New Gen Asset: One record at a time through the MBR user interface.
Submit MBR XML	Gen Assets Bulk Upload: Multiple records created through the use of an XML file.
MBR Reports	
Documents and Links	

(Figure 26 – Gen Assets Bulk Upload Link)

The Gen Assets Bulk Upload Screen is where Submitters upload zipped XML file. A <u>Sample XML file</u> is provided, as well as the <u>Gen Asset</u> <u>Schema</u>.

	MBR Portal Federal Energy Regulatory Commission
Home	
Search General Gen Assets EIA Lookup Tables Submitted Data	Gen Assets Bulk Upload Please select the zipped Gen Asset XML and press the Upload button. A sample Gen Asset XML can be found here. Gen Asset XML must be validated against the Gen Asset Schema.
Create GID	Gen Asset XML required an eRegistered Email address.
Create Gen Assets	Zipped MBR XML File Choose File No file chosen
Submit MBR XML	Zipped mon xme i ne chosen no me chosen
MBR Reports	Upload Remove
Documents and Links	

(Figure 27 - Gen Assets Bulk Upload Screen)

- iii. Click the link where the webpage states, "A sample Gen Asset XML can be found <u>here</u>" to view a sample XML file.
- iv. Copy and paste the contents of the Sample XML into notepad or an XML editor.

xml version="1.0" encoding="utf-8" ? ver. 1.27
<fercassetdata <="" td="" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"></fercassetdata>
<pre>xmlns="https://mbrweb.ferc.gov/FERCAssetSchema.xsd"&gt;</pre>
<fercassetdatahdr></fercassetdatahdr>
<eregemailaddress></eregemailaddress>
<fercasset></fercasset>
<gen_name></gen_name>
<state></state>
<country></country>
<nameplate_capacity_mw></nameplate_capacity_mw>
<operating_month></operating_month>
<operating_year></operating_year>
<fercasset></fercasset>
<gen_name></gen_name>
<state></state>
<country></country>
<nameplate_capacity_mw></nameplate_capacity_mw>
<operating_month></operating_month>
<operating_year></operating_year>

## (Figure 28 - Sample Gen Assets Bulk Upload XML)

v. Edit the sample file to include the reportable entities' information. To add multiple records, copy and paste the section between the FercAsset Tags <FercAsset> </FercAsset>, and enter the relevant information.
 Repeat this step for all reportable generation facilities for which a FERC Asset ID is requested.

- vi. Save the finished file as an XML file, then save it as a Compressed ZIP folder.
- vii. Return to the <u>Gen Assets Bulk Upload</u> screen, then click the Browse button to locate the saved Compressed Zip folder.

	ederal Energy Regulatory Commission
Home	FERC.GOV LOGOUT
Search General Gen Assets EIA	Oran Asserts Dully Units of
Lookup Tables Submitted Data	Gen Assets Bulk Upload
Create GID	Please select the zipped Gen Asset XML and press the Upload button. A sample Gen Asset XML can be found here. Gen Asset XML must be validated against the Gen Asset XML and press XML required an eRegistered Email address.
Create Gen Assets	
Submit MBR XML	Zipped MBR XML File Browse
MBR Reports	Upload Remove
Documents and Links	
MBR Administration	
	For any issues regarding MBR System, please contact MBR support, Please include a current e-mail address. Last Modified: 2/11/2021 6.02.03 PM ver. 1.27

(Figure 29- Gen Assets Bulk Upload Screen)

- viii. Select the Compressed Zip folder and click the Upload button.
- ix. If successful, a confirmation message and email are received.
- x. An email will be sent with an Asset ID, who it was submitted by, date processed, and the Asset ID processing results.

## 9. Preparing and Submitting XML

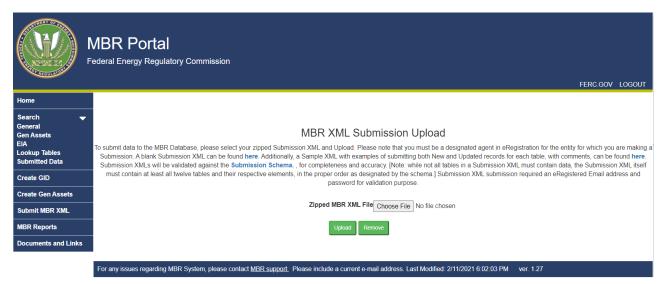
Once the Submitter has gathered all of the IDs, it should prepare the MBR XML file for submission.

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

	MBR Portal Federal Energy Regulatory Commission
Home	
Search General Gen Assets EIA Lookup Tables Submitted Data	MBR XML Submission Upload To submit data to the MBR Database, please select your zipped Submission XML and Upload. Please note that you must be a designated agent in eRegistration for the entity for which you are making a Submission. A blank Submission XML can be found here. Additionally, a Sample XML with examples of submitting both New and Updated records for each table, with comments, can be found here.
Create GID	Submission XMLs will be validated against the Submission Schema., for completeness and accuracy. [Note: while not all tables in a Submission XML must contain data, the Submission XML itself must contain at least all twelve tables and their respective elements, in the proper order as designated by the schema.] Submission XML submission required an eRegistered Email address and password for
Create Gen Assets	validation purpose.
Submit MBR XML	Zipped MBR XML File Choose File No file chosen
MBR Reports	Ubload Remove
Documents and Links	

(Figure 30 – MBR XML Submission Screen)

ii. Click the here link to view the blank Submission XML file.



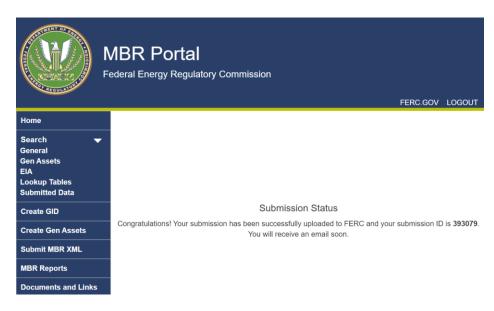
## (Figure 31 – MBR Submission Upload Page)

iii. Copy the text of the file into notepad or an XML editor.

```
<?xml version="1.0" encoding="utf-8"?>
<!--ver.1.37-->
</BBRSubmission xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xmlns="https://mbrweb.ferc.gov/MBRSchema.xsd">
  <FilingInformation>
    <TestFiling>false</TestFiling>
    <reporting_entity_cid></reporting_entity_cid>
    <eRegEmail></eRegEmail>
  </FilingInformation>
  <mbr_authorizations record_type_cd="" reference_id="">
    <authorization docket number></authorization docket number>
    <authorization effective date></authorization effective date></authorization</pre>
    <cancellation_docket_number></cancellation_docket_number>
    <cancellation_effective_date></cancellation_effective_date>
  </mbr_authorizations>
  <mbr_category_status record_type_cd="" reference_id="">
    <region_cd />
    <cat_status_in_region_fk />
    <cat_status_effective_date />
  </mbr_category_status>
```

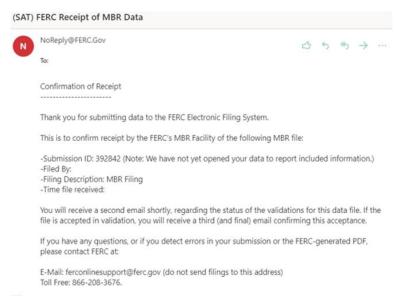
## (Figure 32 – Snip of the Blank MBR XML File)

- iv. Complete the XML by populating the attributes in each table to be submitted. Use the <u>Lookup Tables</u> in conjunction with the Data Dictionary to populate the correct values for attributes that require identifiers in the XML.
- v. Save the file in XML format and convert it to a Compressed Zip folder.
- vi. Click the browse button on the MBR XML submission Upload screen.
- vii. Locate the file and click the Open button.
- viii. Click the upload button, then view the submission status screen.
- ix. If the submission was unsuccessful, there may be an error within the XML, likely in the structure of the XML itself. It is important to note that, while multiples of the same table may be submitted, all 12 tables even if they are blank must be submitted in the order of the XML Schema. Please review the XML and correct any errors.
- x. If the submission was successful, the Submitter will receive a message on the MBR Portal noting that the submission was successful.



## (Figure 34 –Successful Submission Message)

xi. Afterwards, the Submitter will receive a receipt confirmation email. The confirmation email indicates that the submission was received.



## (Figure 35 – Confirmation Email)

xii. Next, the Submitter will receive a validation email. The validation email will indicate whether the XML submission was accepted into the database. Click the MBR Validation Results link.

SAT	FERC Validation of MBR Data: Mackay, LLC : C007100:	
N	NoReply@ferc.gov	
	То:	
	Validation of MBR Filing	
	Thank you for participating in the FERC Electronic Filing System. MBR file has be MBR validation results can be obtained at the links below	en processed for validation.
	-MBR Submission ID: 392842	
	-Test Filing: N	
	-Company Identifier: C007100	
	-Company Name: Mackay, LLC	
	-Submitted By:	
	-Time file received:	
	-Time file began validation processing:	
	-Time file end processing:	
	-MBR Validation Results: http://facfs-	1
	mbrappt1.ferc.gov/MBRSubmissionService/MBRValidationXML/392842/MBRVal	idation 392842.xml
	If you have any questions, please contact FERC at:	
	E-Mail: ferconlinesupport@ferc.gov (do not send filings to this address) Toll Free: 866-208-3676.	

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## (Figure 36 – Validation Email with Validation Results link)

xiii. If the MBRValidationStatus states "FAILED", the XML submission contained errors and was not accepted into the database. Error messages will point to the places where the submission needs corrections. Edit the submission based the messages and suggestions indicated in the Validation Results and submit the XML again.

This XML file does not appear to have any style information associated with it. The document tree is shown below.

(Figure 37 – Failed Validation)

xiv. If the MBRValidationStatus states "PASSED", the XML was accepted and an acceptance email will follow. This email indicates that the data has been successfully included/updated in the MBR Database.

This XML file does not appear to have any style information associated with it. The document tree is shown below.

#### (Figure 38 – Passed Validation)

xv. After receiving an acceptance email, navigate to the <u>Submitted Data</u> <u>Tables</u> to view the submitted data (see Extracting Data section for how to navigate the submitted data tables).

(SAT)	FERC Acceptance of MBR Filing
N	NoReply@ferc.gov
-	To:
	Acceptance of MBR Filing
	Thank you for participating in the FERC Electronic Filing System. This is to notify you that the FERC Office of the Secretary has accepted the following electronic submission for filing (Acceptance for filing does not constitute approval of any application or self-certifying notice)
	-MBR Submission ID: 392843
	-Test Filing: N
	-Company Identifier: C007100
	-Company Name: Mackay, LLC
	-Submitted By:
	-Submission Date:
	-Filed Date:
	If you have any questions, please contact FERC at:
	E-Mail: ferconlinesupport@ferc.gov (do not send filings to this address) Toll Free: 866-208-3676.

(Figure 39 – Acceptance Email)

xvi. After receiving the acceptance email, Submitters may also use the <u>MBR Reports</u> to see a compilation of data views and reports (see Extracting Reports section for how to navigate the submitted data tables). These reports and views are also publicly available to all

users of the database.

## 10. Extracting Data

Users may extract a variety of data from the database through the Submitted Data and MBR Reports features of the MBR Portal.

## A. Submitted Data Tables

The <u>Submitted Data</u> tables compile all data submitted by Submitters into easily viewable data tables accessible to the public. There are 12 Submitted Data tables based on all the tables in Submitters' XML submissions, except for the Filing Information table. Through the MBR Portal, users may utilize the various search criteria to view data for Sellers over time.

Category	Table Name	Description			
	FilingInformation	Basic information about a Seller's CID and			
		contact information			
	mbr_authorizations	Basic MBR Information			
General	mbr_category_status	Category status in regions where seller has			
Information		MBR authority			
Information	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			
	entities_to_entities	Reporting of ultimate upstream affiliates			
Relationships	entities_to_genassets	Reporting of generator assets			
Kelationships	entities_to_ppa	Reporting of power purchase agreements			
	entities_to_vertical_assets	Reporting of vertical assets			
Market Power	indicative_pss Inputs of Pivotal Supplier Screen				
Screens indicative_mss Inputs of Market Share Screen					

Table Name	Description			
FilingInformation	Basic information about a Seller's CID and contact			
Finightormation	information			
mbr_authorizations	Basic MBR information of sellers			
mbr_category_status	Category status of sellers in all six regions			
mbr_mitigations	Markets in which sellers are mitigated			
mbr_self_limitations	Markets in which sellers have self-mitigated			
mbr. operating recorded	Markets in which sellers are authorized to sell			
mbr_operating_reserves	operating reserves			

entities_to_entities	Affiliate relationships for all sellers
entities_to_genassets	Sellers' affiliated generator assets
entities_to_ppa	Sellers' power purchase agreements
entities_to_vertical_assets	Sellers' vertical assets
indicative_pss	Inputs of Pivotal Supplier Screen
indicative_mss	Inputs of Market Share Screen

## B. MBR Reports

<u>MBR Reports</u> use the Submitted Data tables to transform single tables into more complex data views. The MBR Reports page is broken down between Reports and Additional Data. Additional Data reports also combine multiple submitted data tables in views that are designed to assist Submitters in their XML submissions.

The following table summarizes the main Reports:

Report Name	Description				
Market Share Screens	Displays full market share screens and pass/fail status for				
	entity and its affiliates				
Pivotal Suppler Screens	Displays full pivotal supplier screens and pass/fail status for				
	entity and its affiliates				
Asset Appendices	Compiles Aggregate Generation Assets, Vertical Assets,				
	and Power Purchase Agreements by Ultimate Upstream				
	Affiliation				
Global Information Sheet	Compiles entities' results data from market share and				
	pivotal supplier screens for markets within a certain				
	geographic region				
Company Dashboard	Provides entities' UUAs, MBR Authorization Docket Nos.,				
	any mitigations, and Category Status Active Dates				
Asset Appendix	Lists entity and its affiliates' generation facilities,				
	transmission facilities, long-term PPAs, and inputs to				
	electric power production				

The following table summarizes the Additional Data reports:

Report Name	Description
Submission Summary	The Submission Status and whom filed MBR submissions
FERC Asset Submission	Displays FERC Asset bulk submission data
Summary	

FERC Asset Single	Displays FERC Asset single submission data
Submission Summary	
MBR Affiliations List	Displays a list of all affiliations reported in the MBR
	Database
Market Share Screen	Displays submitted data in a viewable market share screen.
Details	
Pivotal Supplier Screen	Displays submitted data in a viewable pivotal supplier
Details	screen.

## C. Exporting Data

Each Search, Lookup table, Submitted Data table, and Reports on the MBR Portal allow users to export data in XML, comma-separated values (CSV), or JavaScript Object Notation (Json) formats.

To export such data from the above-noted tables, users should navigate to the Submitted Data tables they seek to export data from and follow the steps below:

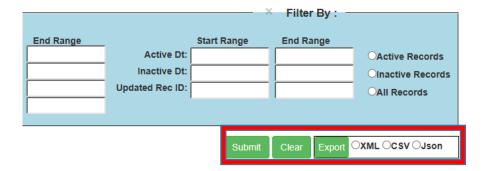
1. Use the Filter in Figure 40 to narrow down results, then select the data format and click export. Figure 40 displays the filtering options for the MBR Authorization table. Other Submitted Data tables offer similar filtering options.

Start Range       End Range       Start Range       End Range         CID:       Reference ID:       Active Dt:       Clock         Auth. Docket #:       Auth. Eff. Dt:       Inactive Dt:       Clock         Cancel Docket #:       Cancel Eff. Dt:       Updated Rec ID:       OAll Records         Record Type:       Submission FK:       OAll Records       OAll Records	 MBR Authorization								
	Auth. Docket #: Cancel Docket #:	Select One	Auth. Eff. Dt: Cancel Eff. Dt:	Start Range	End Range	Inactive Dt:	Start Range	End Range	Olnactive Records

## (Figure 40 – MBR Authorization Filter and Export)

2. If seeking to export an entire page of data, leave the filter fields blank, choose a file export format option, then click export:

## **MBR Authorization**





## 11. Overview of API & B2B Access

Users seeking to develop their own software, or use software that was developed by vendors, may link their software to the MBR Portal. There are two ways to interact with the MBR Portal: (1) by downloading or extracting data; and (2) by submitting data.

To download data, the MBR Portal employs an Application Programming Interface (API) known as the <u>MBR Web API</u>. To submit data, the MBR Portal uses the Windows Communication Foundation (WCF) known as the <u>MBR WCF Service</u>. For additional information on the MBR Web API and MBR WCF Service components of the MBR Portal, follow the steps below:

$\leftrightarrow$ $\rightarrow$ O $\hat{\omega}$ $\hat{\omega}$ https://mbrwebsat.fe	erc.gov/				ш 🛨	71	h	¢.
MBR Porta Federal Energy Reg								LOGIN
Home								
Search <del>V</del> General Gen Assets ELA			Activity	Revised, Six. month Extension Schedule				
Lookup Tables Submitted Data			Testing period for the MBR Database	Through Mar. 31, 2021				
Create Gen Assets			Second clearing of test data in the MBR Database	Mar. 31, 2021				
Submit MBR XML	eRegistered eMail address or FERC ID	eRegistered eMail address or FERC ID	Effective date of Order No. 860	Apr. 1, 2021				
MBR Reports	Password		"Go-live" date of MBR Database	Apr. 1, 2021				
Documents and Links	Password	Password Submit Clear	Sellers should create needed identifiers (FERC Generated IDs and Asset IDs) in the MBR Portal and prepare their baseline submissions	Apr. 1, 2021 – June 30, 2021				
			Baseline submissions are due If market-based rate authority was granted before June 30, 2021	By Aug. 2, 2021				
			First change in status filings under new timelines are due Reflecting changes between April 1, 2021 and June 30, 2021	By Aug. 31, 2021				
		Second enarge in status Billiopa ve don Future notice of enarge in status adaptions will align with the tensitive used for EORs thereafter Waterk based rate applications tilter between April 1 2021 and Angunz 2.2021 must adapted betweende for distabase in addition to unbetting the Indextore screams ad assa agronocias as attachments to the Bings aFiling system. Thereafter, no asset appendices or indicative screams are to be submitted as attachments to though the aFiling system.	through the					
For any issues regard	inn MRD System niesse contact MRD sur	Disso influto a rumont e mail address	Last Modified: 2/10/2021 8 25 59 PM ver. 1 27					

1. Navigate to the log-in screen and select the <u>Documents and Links</u> tab:

## (Figure 42 – Documents and Links Tab)

2. In the Documents and Links tab, under the Links select either the MBR Web API link or the MBR WCF Service links.

Documents								
Release Notes	Release Notes Quick Start Guide		Questions and Answers	Data Dictio (PDF/Exc Data Dictionary	el)	Validation Rules		
Links								
MBR Web API Service (Download Data) MBR WCF Service (Upload Data)	FERC.GOV	FERC eFiling	FERC eRegistration	FERC Company Registration	MBR Order	eLibrary		

## (Figure 43 – API and WCF Links)

- **3.** The MBR Web API Service link goes to: <u>https://mbrwebapi.ferc.gov/Help</u>, which contains method links for each Lookup and Submitted Data table. Select the method links for the request and response information for each web API method.
- 4. The MBR WCF Service link goes to: <u>https://mbrsubmission.ferc.gov/MBRSubmissionService.svc</u>, which allows users to invoke the MBR WCF Service and submit data to the MBR Portal from a client application.

## 12. Paperwork Reduction Act – Adopted Revision of Information Collection

There are approximately 2,647 Sellers that will submit information into the relational database. Six institutional investors currently have section 203(a)(2) blanket authorizations, which collectively own approximately 110 upstream affiliates that themselves own Sellers. In the August 19, 2021 order revising the information collection, the Commission estimated an average of four Sellers affected for every upstream affiliate, equaling 440 total sellers. The estimated burden and cost for the requirements in this order are as follows. Information on estimated burden from Order No. 860 is displayed for background only.

Burden estimate table:

А.	B.	C.	D.	E.	F.	G.	H.
Respondent / Incremental Burden Category	Number of Respondents	Number of Responses per Respondent	Number of Responses (B * C)	Burden Hours per Response	Hourly Cost (\$) per Response	Total Annual Burden Hours (D * E)	Total Cost (\$) (F * G)
First Year, propose	First Year, proposed incremental cost associated with the collection of reporting connections to an entity whose securities were acquired pursuant to a blanket authorization (Increase due to the March Notice)						
Impacted Sellers, as implemented in this Order	440	1	440	250	88.54	880	77,915.20
Ongoing (beginning in Year 2) collection of reporting connections to an entity whose securities were acquired pursuant to a blanket authorization							
Impacted Sellers, as implemented in this Order	440	1	440	68	88.54	29,920	2,649,116.80
Total Burden for Impacted Sellers in this Order	440	1	440	70	88.54	30,800	2,727,032.00
Impacted Sellers have an offsetting decrease in reporting requirements compared to those required to be reported in Order 860							
Reduction in Burden of Order 860 Reporting Requirements for Impacted Sellers <sup>51</sup>	440	1	-440	70 [former estimate, being replaced]	88.54	-30,800 [former estimate, being replaced]	-2,727,032.00 [former estimate, being replaced]
Therefore, there is no net change for impacted Sellers in burden due to these revisions. $^{52}$							

Additional information can be found at the <u>Information Collections Page</u> on ferc.gov Office of Management and Budget Control Number: <u>1902-0317</u>