

**SUPPORTING STATEMENT FOR THE
ELECTRIC POWER SURVEYS
OMB NUMBER 1905-0129**

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**Energy Information Administration
Office of Coal, Nuclear, Electric and Alternate Fuels
U.S. Department of Energy
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Part A

Background and Purpose

The Energy Information Administration (EIA) of the U.S. Department of Energy (DOE) is required to publish, and otherwise make available to Federal government agencies, State and local governments, the electric power industry, and the general public, independent, high-quality statistical data that reflect national electric capacity, generation, sales, trade, transmission, and pricing. To meet this obligation, the Electric Power Division of the EIA has developed statistical surveys that encompass many significant electric power industry activities in the United States. The EIA is requesting a 3-year approval for six surveys designed to collect this electric power information. However, upon approval, the EIA will continue using the existing forms to collect data for the remainder of 2007 and will begin using the revised forms in 2008.

The information collection proposed in this supporting statement has been reviewed in light of applicable information quality guidelines. It has been determined that the information will be collected, maintained, and used in a manner consistent with the Office of Management and Budget (OMB), the DOE, and the EIA information quality guidelines.

Terms of Clearance

In November 2004, the OMB authorized the EIA to collect information under OMB No. 1905-0129 using the EIA Form Numbers: 411, 412, 423, 767, 826, 860, 860M, 861, 906, and 920. At the time, OMB issued five terms of clearance which are listed below, along with the EIA response.

OMB Comment on Form EIA-411:

The EIA will delay implementation of Form EIA-411, Schedule 7, until January 2006, so that industry stakeholders may have an opportunity to update their reporting systems and processes.

EIA Reply:

Implementation of Schedule 7 of the Form EIA-411 was delayed until January 2006 to allow the NERC regions and their members to update their reporting systems. Since then, only five of the eight regions have submitted the data to the EIA. Recently, the NERC has proposed to establish a Transmission Availability Data System (TADS) to replace Schedule 7. While the EIA and the

NERC have had preliminary discussions, the EIA is not prepared at this time to accept this proposal. The EIA will continue to consult with the NERC and encourage them to make their proposal available to the rest of the Federal government.

OMB Comment on Confidentiality:

The EIA will not alter its existing confidentiality provisions for forms 423, 826, 906, and 920. Although the EIA proposed a change to confidentiality provisions that would have led to a release of firm-level data 6 months after the report year, OMB does not approve this proposal at this time. However, EIA is encouraged to review its overall policies concerning aging firm level data and may resubmit a justification to release sensitive firm data based on this review and further consultation with stakeholders for OMB's reconsideration.

EIA Reply:

The EIA held consultations with its stakeholders and reviewed the comments received from the April 4, 2007 Federal Register notice. Taking all of that into account, the EIA proposes only to release the monthly energy service providers' data (collected on Form EIA-826) 9 months after the reporting month, as the annual data for these respondents are already released to the public 9 months after the end of the reporting year, when the Electric Power Annual is released. The EIA will continue to withhold the other sensitive data from the public, in accordance with the applicable laws, except for State-level aggregations which pass EIA primary disclosure protection criteria.

OMB Comment on the Confidentiality Statement in the Form Instructions:

The EIA shall review statements on protecting data in the instructions for each form. If the majority of the information collected on the form is public information and will not be protected, EIA shall note this at the beginning of the statement prior to the description of the information that EIA will protect as sensitive. This statement currently appears at the end of the provisions regarding confidentiality of information on some survey instructions.

EIA Reply:

The EIA reviewed the provisions regarding confidentiality of information on each form's instructions. Each data protection section now begins with a statement explaining that the majority of the information collected on the form is public information and will not be treated as sensitive. The remainder of the section describes in detail the information that EIA will treat as sensitive and how it will be handled and, if applicable, disseminated.

OMB Comment on the Form EIA-412:

Form EIA-412 is approved as a standby. If the EIA decides to implement Form EIA-412 and collect information under the Confidential Information Protection and Statistical Efficiency Act (CIPSEA), the EIA will redesign the form and submit it with a Form 83-C to OMB for approval. The redesigned Form EIA-412 shall have separate forms or schedules for utilities and nonutilities and shall also clearly distinguish

CIPSEA protected information by collecting this information on a separate form or schedule from non-CIPSEA protected information. The EIA may include CIPSEA and non-CIPSEA protected information on the same form for nonutilities if the CIPSEA protected information is clearly identified on the form, and the EIA provides a justification as to why a separate form for CIPSEA protected information is not feasible or practical.

EIA Reply:

The EIA has decided to cancel the Form EIA-412 due to a lack of resources.

OMB Comment on the Form EIA-411

When the EIA requests an extension of this package, the agency should provide OMB with additional information on Form EIA-411, Schedule 7, including details on how the information was used, duplication with other public sources of transmission information, input from NERC and its regions with respect to the burden associated with reporting the information, and any concerns expressed by stakeholders with regard to the quality of the survey data.

EIA Reply:

The EIA is using the data to monitor reliability planning, track changes in outage rates, and determine issues affecting transmission outages. The data are not duplicative with other public sources of transmission information. The EIA has been coordinating these issues with the NERC. As mentioned above, the EIA has been briefed recently by the NERC on a proposal that may serve the needs of both the NERC and the Federal government and keep the burden on industry to a minimum. To this end, the NERC is proposing to establish a Transmission Availability Data System (TADS). They have recently released their proposal for public comment. It is the intent of the NERC that the data needs for the Federal government will be collected within the TADS and that the EIA could use the NERC as the agent for collecting and processing the information and avoid any issues related to duplication. Further discussions are needed to come to a final determination on this matter.

EIA Proposals

The EIA has conducted a project, Electricity 2008, to evaluate its electric power surveys to determine if changes need to be made to more accurately collect a comprehensive set of electric power industry information while reducing the respondent burden and EIA processing time. As part of this project, the EIA has consulted with data providers and data users to design a set of electric power surveys that reflect the suggestions of both groups. Similar efforts were undertaken with the Electricity 2002 and Electricity 2005 Projects. Electricity 2002 essentially discarded all of the existing survey forms, processing systems, and reports and developed new ones in response to the major changes to the electricity industry that were occurring at that time. Included in this effort was the development of the Internet Data Collection (IDC) System. Response to the IDC has expanded to the point that the EIA Electricity Power Division uses the Internet to collect over 31,000 of the 35,000 electricity survey forms that are submitted each year.

In 2003, 1 year prior to the end of the previous approval period (November 2004), the EIA requested and the OMB approved the Form EIA-920 which was designed to collect electric power generation, fuel consumption, fuel heat content and fossil fuel stocks from combined heat and power plants. Also, at that time, OMB approved modifications to the Form EIA-826 and Form EIA-861, enabling the EIA to begin collecting information on electric power use in the transportation sector. Electricity 2005 was a more modest effort that modified the surveys by including questions on electricity transmission and fuel switching capabilities.

In the current proposal, the EIA is proposing the merging of five forms into two. In summary, this project has four major objectives:

- To merge the existing Form EIA-906 “Power Plant Report,” Form EIA-920, “Combined Heat and Power Plant Report,” and Form EIA-423, “Monthly Cost and Quality of Fuels for Electric Plants,” as well as transferring operational boiler-level information from the Form EIA-767, “Steam-Electric Plant Operation and Design Report,” to the proposed new Form EIA-923, “Power Plant Operations Report.” This would capture, for the first time on one form fossil fuel receipts, consumption, and stocks to ensure that these data balance, improving the quality of the data.
- To require companies currently reporting on the FERC Form 423, “Monthly Report of Cost and Quality of Fuel for Electric Plants,” to report cost and quality of fuel information on the Form EIA-923. This would enable the EIA to capture all of the fossil fuel receipts data on one form for the first time for the entire industry. The FERC has agreed to consider terminating the FERC Form 423 in favor of the information proposed to be collected on the Form EIA-923.
- To transfer the static information collected on Form EIA-767, “Steam-Electric Plant Operation and Design Report,” to the Form EIA-860, “Annual Electric Generator Report.”
- To discontinue Form EIA-767, “Steam-Electric Plant Operation and Design Report,” Form EIA-423, “Monthly Cost and Quality of Fuels for Electric Plants Report,” Form EIA-906, “Power Plant Report,” and Form EIA-920, “Combined Heat and Power Plant Report,” as their data would be subsumed on other forms.

In addition to addressing the OMB terms of clearance and the current EIA form proposals, this supporting statement addresses the information needs of government (Federal, State, and local) agencies, utilities, nonutility power producers, investment analysts, consumers, and other stakeholders interested in analyzing and monitoring the changing electric power industry. This request is made for the clearance of the following six EIA electric power survey forms:

- Form EIA-411, “Coordinated Bulk Power Supply Program Report”
- Form EIA-826, “Monthly Electric Sales and Revenue with State Distributions Report”
- Form EIA-860, “Annual Electric Generator Report”
- Form EIA-860M, “Monthly Update to the Annual Electric Generator Report”
- Form EIA-861, “Annual Electric Power Industry Report”
- Form EIA-923, “Power Plant Operations Report.”

All of these forms are mandatory surveys and all are solely sponsored and conducted by the EIA. Copies of the proposed forms, instructions, and their cover letters are contained in Appendix C.

A. Justification

A.1. Legal Justification

The authority for the data collections is derived from the following provisions:

Section 13(b), 15 U.S.C. §772(b), of the Federal Energy Administration Act of 1974 (FEA Act), Public Law 93-275, outlines the types of individuals subject to the data collection authority delegated to the Administrator and the general parameters of the type of data which can be required. Section 13(b) states:

“All persons owning or operating facilities or business premises who are engaged in any phase of energy supply or major energy consumption shall make available to the [Secretary] such information and periodic reports, records, documents, and other data relating to the purposes of this Act, including full identification of all data and projections as to source, time, and methodology of development, as the [Secretary] may prescribe by regulation or order as necessary or appropriate for the proper exercise of functions under this Act.”

The objectives of the FEA Act are set forth in Section 5(b), 15 U.S.C. §764(b), of the FEA Act, which states that the Secretary shall, to the extent (s)he is authorized by Section 5(a) of the FEA Act,

“(2) assess the adequacy of energy resources to meet demands in the immediate and longer range future for all sectors of the economy and for the general public;...

(9) collect, evaluate, assemble, and analyze energy information on reserves, production, demand, and related economic data;...

(12) perform such other functions as may be prescribed by law.”

As the authority for invoking Section 5(b) above, Section 5(a), and 15 U.S.C. §764(a), of the FEA Act in turn states:

“Subject to the provisions and procedures set forth in this Act, the [Secretary] shall be responsible for such actions as are taken to assure that adequate provision is made to meet the energy needs of the Nation. To that end, he shall make such plans and direct and conduct such programs related to the production, conservation, use, control, distribution,

rationing, and allocation of all forms of energy as are appropriate in connection with only those authorities or functions:

- (1) specifically transferred to or vested in him by or pursuant to this Act;...
- (3) otherwise specifically vested in the [Secretary] by the Congress.”

Authority for invoking Section 5(a) of the FEA Act is provided by Section 52, 15 U.S.C. §790(a) and (b), of the FEA Act, which states that the Administrator of the EIA:

“(a)...[Shall] establish a National Energy Information System...[which] shall contain such information as is required to provide a description of and facilitate analysis of energy supply and consumption...

(b) ...the System shall contain such energy information as is necessary to carry out the Administration's statistical and forecasting activities..., and such energy information as is required to define and permit analysis of...

- (1) the institutional structure of the energy supply system, including patterns of ownership and control of mineral fuel and non-mineral energy resources and the production, distribution, and marketing of mineral fuels and electricity;

- (2) the consumption of mineral fuels, non-mineral energy resources, and electricity by such classes, sectors, and regions as may be appropriate for the purposes of this Act;

- (3) the sensitivity of energy resource reserves, exploration, development, production, transportation, and consumption to economic factors, environmental constraints, technological improvements, and substitutability of alternate energy sources; . . .

- (5) ...industrial, labor, and regional impacts of changes and patterns of energy supply and consumption...”

A.2. Needs and Uses of Data on the Electric Power Industry

The electric power industry in the United States currently consists of traditionally regulated entities¹ (also known as electric utilities), as well as nonutility² participants, which include

¹ Any entity that generates, transmits, or distributes electricity and recovers the cost of its generation, transmission or distribution assets and operations, either directly or indirectly, through cost-based rates set by a separate regulatory authority (e.g., State Public Service Commission), or is owned by a governmental unit or the consumers

electric power marketers. At the end of 2005 (the last full year of final data), there were 3,332 entities involved in retail distribution of electricity, 213 of which were nonutility entities. In the generation portion of the industry, there were an additional 1,865 nonutility entities.

Collectively, the industry owned and operated approximately 978 gigawatts of generating capability, produced nearly 4.1 trillion kilowatthours of electricity, and earned revenues in excess of \$298 billion during 2005. In addition, the industry (including the production of useful thermal output) consumed over 1,065 million tons of coal, 231 million barrels of oil products and over 7.0 trillion cubic feet of natural gas, making the industry the single largest consumer of fossil fuels.

Competition in power generation accelerated in response to Federal Energy Regulatory Commission (FERC) Order Nos. 888 and 889 in 1996. Those FERC orders required that access to transmission facilities must be shared with all generators on terms and conditions that are the same for all users, including the owners of the facilities. In addition, currently 14 States and the District of Columbia have measures to expand competition at the retail level since the FERC Orders were issued. (Another eight States who had begun to deregulate their retail sales but have suspended these activities, as the anticipated benefits have not materialized.) These initiatives are contributing to significant changes in the industry's structure and operations.

Historically, electric utilities have owned most of the electric generating capacity and produced most of the industry's electricity. In response to the restructuring activities occurring at the State and national levels, the EIA data show major shifts in the industry's structure. For example, in 1996, electric utilities owned 91 percent of the industry's capacity and produced 89 percent of the net electricity generated in the country. However, by 2005, they owned 57 percent of the capacity and provided 63 percent of net generation. The nonutility share of capacity has correspondingly increased from 9 percent to 43 percent and their share of electricity generation is now at 37 percent, up from 11 percent in 1996.

These developments in generation, retail competition, access to transmission facilities, market share, and other industry changes require that the EIA adapt its industry data collection program periodically to reflect their impact to the users of EIA data.

A.2.1. Overview of Data Uses

that the entity serves. Examples of these entities include: investor-owned entities, public power districts, public utility districts, municipalities, rural electric cooperatives, and State and Federal agencies. Electric utilities may have Federal Energy Regulatory Commission approval for interconnection agreements and wholesale trade tariffs covering either cost-of-service and/or market-based rates under the authority of the Federal Power Act.

² Any entity that generates, transmits, or sells electricity, or sells or trades electricity services and products, where costs are not established and recovered by regulatory authority. Examples of these entities include, but are not limited to, independent power producers, power marketers and aggregators (both wholesale and retail), merchant transmission service providers, self-generation entities, and cogeneration firms with Qualifying Facility Status.

The proposed set of EIA forms is designed to capture data from the emerging participants (power marketers, and all individuals or entities engaged in the production, sales, or distribution of electricity), as well as the traditional set of utilities. Policy makers, regulators, energy planners, and the electric power industry use much of the electric power data that the EIA collects for all of the issues discussed below and more.

State government regulators and analysts use the EIA electric power data for assessing regional- and State-level market conditions, determining energy and environmental policies, and many other uses. For example, the State of California used EIA electric power data in 2007 to assess supply conditions in that State and to estimate sulfur dioxide and other greenhouse gas emissions. In some cases, States have reduced their own data collection efforts with the intention of relying on the EIA for many of their information needs. The EIA data are particularly important to the States as they are used to meet compliance verification requirements under the Federal Clean Air Act.³ In the absence of the centralized and public data collection by the EIA, each State would have to undertake its own data collection effort, in many cases requesting duplicative information from firms with electric power industry operations that cross State lines. The EIA data collection ensures consistent data at minimum cost to the public and respondents. In addition to government and power industry customers, the EIA data are the core information source for other private sector and academic analyses of the electric power industry.

A partial listing of recent users of the EIA electric power data is included in Appendix A. Examples of uses of EIA electric power data are:

- Monitoring the electric power industry, its sectors, and reliance on each fuel type
- Monitoring fuel stock inventories during energy or weather emergencies
- Analyzing the progress of renewable energy portfolios
- Analyzing the adequacy of short and long-term electricity supply
- Verifying information provided to State and other Federal agencies in other forums
- Monitoring the transition to open transmission line access
- Evaluating transmission line constraints and system reliability
- Forecasting short- and long-term electricity supply and demand
- Evaluating the need for additional electric generating capacity
- Assessing the degree of market concentration in market-based applications
- Evaluating unbundled retail electricity rates
- Estimating stranded costs of utility generating assets
- Allocating emission credits to individual generators
- Designing future environmental trading programs

³ The Clean Air Act, as amended, is codified at 42 USC, Chapter 85.

- Estimating the cost of environmental equipment to meet standards
- Establishing budgets and standards for air quality programs
- Assessing compliance with existing environmental programs
- Evaluating multi-pollutant control proposals
- Monitoring and analyzing the economic and operational impacts of industry restructuring
- Providing input to the Environmental Protection Agency’s “Emissions and Generation Resource Integrated Database” (E-GRID), which is used by State regulatory authorities to evaluate their environmental programs
- Developing programs for the Clean Air Act’s Acid Rain Program
- Developing regulations to comply with such statutes as the Clean Air Act, the Clean Water Act, and the Resource Conservation and Recovery Act
- Modeling air quality rules and procedures
- Monitoring the cost and quality of the fossil fuels used to generate electricity
- Monitoring sales and prices of electricity for use by the Public Utility Commissions when reviewing rate cases
- Monitoring the progress towards retail competition.

A.2.2. Overview of Data Collections

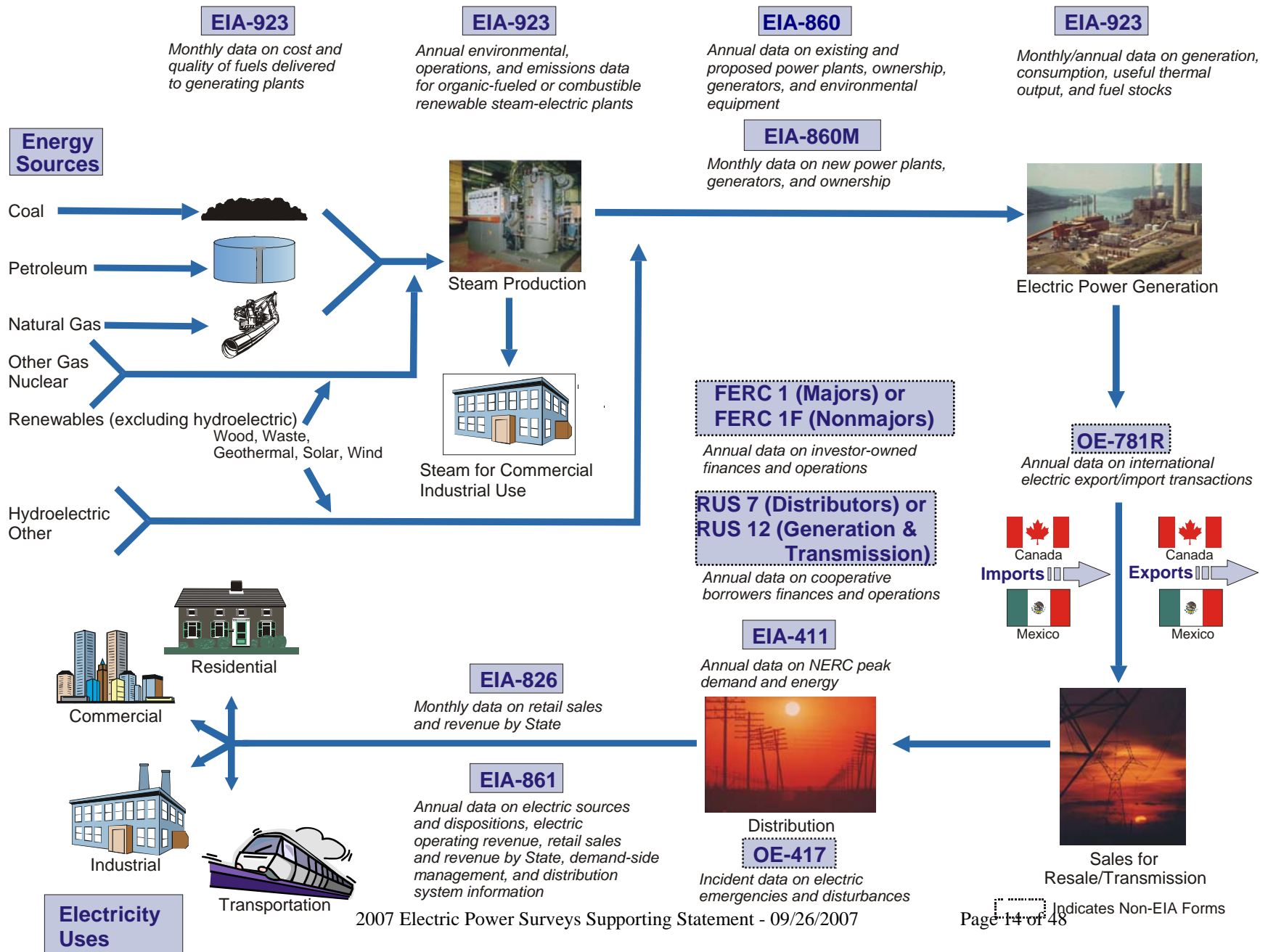
The EIA electric power data forms will collect a full range of information about the industry, while minimizing respondent burden and avoiding duplicate data collection. Most of the EIA electric power data are collected annually; the remainder is collected monthly. Each annual form has a different set (or subset) of respondents, as data are collected to focus on each sector of the electric power industry. The monthly forms collect information only from a sample/subset of the overall universe in order to minimize the burden on the industry.

The information to be collected will provide important profiles for each major portion of the electric power industry, such as:

- 1) electricity generation (i.e., fuel consumption, electric generation, fuel stocks, fuel receipts, fuel costs, plant capacity [both existing and planned], projected electricity demands, and environmental control equipment)
- 2) electricity transmission (i.e., types, locations, additions, maintenance and reliability of transmission lines)
- 3) electricity distribution (i.e., revenues)
- 4) electricity sales (i.e., retail and wholesale sales, revenues, number of customers, demand-side management programs, and electricity sources and disposition).

Figure 1 illustrates how each survey collects information from each important facet of the industry.

Figure 1. EIA Electric Industry Data Collection



A.2.3. Individual Form Data Uses and Modifications

Information on the specific electric power data forms in this clearance package is provided in this section. The discussions address the data collected, the entities that submit the forms, modifications made to the currently approved forms, and data uses. The confidential nature and protection of sensitive information submitted on the forms is addressed in Section A.10.

All of the forms and instructions included in this clearance package have been standardized around a consistent design, layout, section order, and content where practical. The forms, instructions, and cover letters for each form are presented in Appendix C.

- ***Form EIA-411, “Coordinated Bulk Power Supply Program Report”***

The Form EIA-411 is filed annually. It has been a voluntary report; however, the EIA is proposing to make it mandatory in 2008. The form was originally voluntary as participation in the North American Electric Reliability Council (NERC) was voluntary. This made it difficult for the NERC Regional Councils to accurately collect and submit all of the data, as they could not obtain it from those who were not members of the NERC. Now that the North American Electric Reliability Corporation has replaced the North American Electric Reliability Council (through the implementation of the Energy Policy Act of 2005), all electric industry participants are required to belong to it. Therefore, completing the form will now be possible. The information reported includes: (1) peak demand and energy for the preceding year and 5 future years; (2) existing and planned generating capacity; (3) scheduled capacity purchases and sales; (4) bulk electric transmission system maps and power flow cases, and (5) projected transmission lines. The various NERC Regions will report information to the NERC headquarters, using data collected from their members. The NERC headquarters then compiles the data and provides consolidated regional reports to the EIA.

Modifications:

EIA proposes to:

- (a) eliminate Schedule 2, “Capacity for Existing Generator in Reporting Year,” as this information will be subsumed in Schedule 3
- (b) modify Schedule 3, “Historical and Projected Demand and Capacity.” The modifications require that the NERC Regions provide data on specific supply conditions which affect capacity (summer and winter) reliability, yielding better information about the reliability conditions that determine available supply resources by region. The modifications will also enable the EIA to reconcile differences between the total net capacity reported to EIA by its respondents on the Form EIA-860 and the reliable capacity estimated by the NERC Regions.

Uses of Data:

The information is used by the Department of Energy:

- (a) to answer queries from the Congress, other Federal and State agencies, the electric power industry, and the general public
- (b) as input to the National Energy Modeling System (NEMS)
- (c) to monitor the electric power industry's health and evaluate its future plans
- (d) to monitor the adequacy and reliability of transmission line capacity
- (e) to determine the adequacy of electricity supply in the eight NERC regions and the Nation
- (f) to monitor reliability planning for adequacy of supply, track changes in peak-load demand, review new planned transmission line additions, and determine issues affecting transmission outage rates
- (g) to analyze the adequacy of short and long-term electricity supply
- (h) to monitor the transition to open transmission line access
- (i) to evaluate transmission line constraints and system reliability
- (j) to forecasting short- and long-term electricity supply and demand
- (k) as input to the following reports issued by the EIA:
 - 1) Electric Power Annual
 - 2) Annual Energy Review
 - 3) Annual Energy Outlook.

Other data users include electricity-related trade associations; independent system operators; electric utility companies; nonutility companies; energy service providers; wholesale electricity traders; electrical equipment companies; numerous local, State, and Federal government agencies; environmental associations; consumer groups; financial analysts; and the news media.

- ***Form EIA-826, "Monthly Electric Sales and Revenue Report with State Distributions"***

The mandatory Form EIA-826 is used to collect monthly data by State from a sample consisting of approximately 450 utility and nonutility entities that have sales to end-use customers. Data are collected separately for: utilities with regulated sales; entities with market-based sales (for energy-only service); and entities that provide only energy delivery services, where the energy is supplied by another entity. Data collected on the Form EIA-826 include revenue (associated with the sale of electricity), sales (megawatthours delivered), and number of customers. The sampling methodology is described in Section B, "Collection of Information Employing Statistical Methods," Item 2, Statistical Methodology. Data are collected from entities with sales within States for use in developing monthly average price estimates by State.

Modifications:

EIA proposes to:

- (a) reduce the due date for the form from 40 to 30 calendar days after the end of the reporting month to aid in validating the data against other survey data and to release the data to the public in a timely manner, consistent with the other monthly surveys

(b) modify Schedule 1. Part C. “Sales to Ultimate Customers, Delivery Only Service Additional,” to provide the names of the energy service providers for whom distributors deliver electricity.

Uses of Data:

The information is used by the Department of Energy:

- (a) to answer queries from the Congress, other Federal and State agencies, the electric power industry, and the general public
- (b) as input to the Short-Term Integrated Forecasting System, used to forecast quarterly electricity sales for up to 8 future quarters
- (c) as input to the National Energy Modeling System (NEMS)
- (d) to estimate monthly electric sales and price data by State and sector (residential, commercial, industrial and other)
- (e) to monitor the progress of State retail competition
- (f) to evaluate industry concentration and the resulting market power of retail sellers
- (g) to monitor national and local sales and prices, by sector, including transportation data by the Federal Reserve Board, Congress, other Federal agencies, the electric power industry, and the general public
- (h) to evaluate unbundled retail electricity rates
- (i) to monitor and analyze the economic impact of industry restructuring by financial analysts
- (j) to evaluate industry concentration and the resulting market power of retail sellers by Standard & Poor’s
- (k) to use by the public utility commissions when reviewing rate cases
- (l) to verify information provided to State and other Federal agencies in other forums
- (m) to evaluate unbundled retail electricity rates
- (n) to monitor and analyzing the economic and operational impacts of industry restructuring
- (o) to monitor sales and prices of electricity for use by the Public Utility Commissions when reviewing rate cases
- (p) to monitor the progress towards retail competition
- (q) to produce the following reports issued by EIA:
 - 1) Monthly Energy Review
 - 2) Electric Power Flash
 - 3) Electric Power Monthly
 - 4) Electric Power Annual
 - 5) Short-Term Energy Outlook
 - 6) Annual Energy Outlook.

Other data users include electricity-related trade associations; independent system operators; electric utility companies; nonutility companies; energy service providers; wholesale electricity traders; electrical equipment companies; numerous local, State, and Federal government agencies; environmental associations; consumer groups; financial analysts; and the news media.

- ***Form EIA-860, “Annual Electric Generator Report”***

The Form EIA-860, “Annual Electric Generator Report,” is a mandatory annual census used to collect data on electric generators in the United States that are located at generating facilities with a total generator nameplate capacity of 1 megawatt or greater, and where the generators, or the facility where the generators reside, are connected to the grid. The Form EIA-860 is filed by approximately 2,700 companies that operate 5,500 (both existing and planned) plants containing over 17,000 generators. Data collected on the Form EIA-860 include ownership, generator capacity, fuel capability, operational status, commercial operations date and actual or planned retirement date, fuel switching and co-firing capability, generator interconnection cost information, regulatory status, and static environmental data. In addition to existing units, the form collects data on planned and modified units expected to enter commercial operation within 5 years.

Modifications:

The EIA proposes to:

(a) add the static environmental control information from the former Form EIA-767. The EIA proposes to add the following data items:

1. Schedule 1. “Identification”
 - a. whether the reporting entity is an electric utility
2. Schedule 2. “Power Plant Data”
 - a. boiler status
 - b. boiler plant type
 - c. name of the owner of the transmission or distribution system to which the power plant is interconnected and the grid voltage at the point of interconnection (for all plants).
3. Schedule 3. “Generator Information”
 - a. whether the generator is an electric utility or nonutility generator
 - b. associated boiler IDs (organic-fueled steam-electric generators only)
 - c. response to unit code required for combined cycle generators
 - d. for combined cycle steam generators, whether there is an associated duct-burner
 - e. for combined heat and power producers, whether the generators are associated with bottoming or topping cycle
 - f. leading and lagging reactive power output at net summer and at net winter capacity for generators 10 megawatts or greater (generator nameplate capacity)
 - g. start-up and flame stabilization energy sources
 - h. factors that limit the ability to switch from natural gas to oil
 - i. whether the unit can switch between oil and natural gas while operating
 - j. whether the generator is part of a site that was previously reported as indefinitely postponed or cancelled
 - k. type of technology for existing and proposed coal-fired and

petroleum coke-fired generators.

4. Schedule 6: “Boiler Information”
 - a. Part A. Plant configuration
 - b. Part B. Air emission standards, including:
 - is the boiler subject to New Source Review Requirements
 - strategies to meet nitrogen oxides requirements of Title IV of the Clean Air Act Amendments of 1990.
 - c. Part C. Design parameters
 - d. Part D. Nitrogen oxide emission controls
 - e. Part E. Mercury emission controls
 - f. Part F. Cooling system information – design parameters
 - g. Part G. Flue gas particulate collector information
 - h. Part H. Flue gas desulfurization unit – design parameters
 - i. Part I. Stack and flue information – design parameters, including seasonal flue gas exit temperature.

(b) The EIA proposes to eliminate collecting the following items:

1. Schedule 1. “Identification”
 - a. electric utility class of ownership
2. Schedule 2. “Power Plant Data”
 - a. the name of the electric utility in whose service area the plant is located (applicable only to independent power producers and combined heat and power producers)
 - b. NERC Subregion
3. Schedule 3. “Generator Information”
 - a. the EIA generator code
 - b. if any part of the generator is owned by an entity that is not an electric utility
 - c. identification of distributed generators
 - d. modes of transportation for energy sources
 - e. the requirements to explicitly report the following for existing generators:
 - proposed deactivated shutdown status
 - proposed change in ownership
 - proposed fuel change
 - proposed reactivation from retirement.

(c) The EIA proposes to change the effective date for reporting from January 1 to December 31.

(d) The EIA proposes to change the reporting of Federal Energy Regulatory Commission Qualifying Facility information from being reported at the generator level to reporting at the plant level.

Uses of Data:

These data are used by the Department of Energy:

- (a) as the primary source of information on the characteristics and capabilities of the Nation's generating fleet
- (b) as background for answering requests from the general public and Congress for power plant generator level information
- (c) as input to the National Energy Modeling System (NEMS) and the Short-Term Integrated Forecasting System (STIFS)
- (d) as input to many private sector models of the electric generating system
- (e) as a source for studies of capacity additions and fuel switching
- (f) as input to emission calculations in combination with the EPA E-GRID and Continuous Emissions Monitoring System (CEMS) data
- (g) to monitor compliance with air pollution control programs
- (h) as an electric power capacity resource for emergency planning and contingency energy source interruptions
- (i) as an electric power capacity resource to the regulatory requirements developed in accordance with the Clean Air Act
- (j) to analyze the adequacy of short and long-term electricity supply
- (k) to verify information provided to State and other Federal agencies in other forums
- (l) to forecast short- and long-term electricity supply and demand
- (m) to evaluate the need for additional electric generating capacity
- (n) to estimate stranded costs of utility generating assets
- (o) to allocate emission credits to individual generators
- (p) to design future environmental trading programs
- (q) to estimate the cost of environmental equipment to meet standards
- (r) to establish budgets and standards for air quality programs
- (s) to assess compliance with existing environmental programs
- (t) to evaluate multi-pollutant control proposals
- (u) to monitor and analyzing the economic and operational impacts of industry restructuring
- (v) to provide input to the Environmental Protection Agency's "Emissions and Generation Resource Integrated Database" (E-GRID), which is used by State regulatory authorities to evaluate their environmental programs
- (w) to assist the EPA to develop programs for the Clean Air Act's Acid Rain Program
- (x) to assist the EPA to develop regulations to comply with such statutes as the Clean Air Act, the Clean Water Act, and the Resource Conservation and Recovery Act
- (y) to model air quality rules and procedures
- (z) as input into the following reports issued by the EIA:
 1. Electric Power Monthly
 2. Electric Power Annual
 3. Annual Energy Review
 4. Renewable Energy Annual
 5. State Electricity Profiles
 6. Short-Term Energy Outlook
 7. Annual Energy Outlook.

Other data users include electricity-related trade associations; independent system operators; electric utility companies; nonutility companies; energy service providers;

wholesale electricity traders; electrical equipment companies; numerous local, State, and Federal government agencies; environmental associations; consumer groups; financial analysts; data aggregators; modelers; independent research groups; and the news media.

- ***Form EIA-860M, Monthly Update to the Annual Electric Generator Report***

The Form EIA-860M is a mandatory monthly report that collects data on the status of proposed new generators or changes to existing generators, within 1 to 12 months of the new or modified generator beginning commercial operations. The form is designed to collect information on changes to plans previously reported to the EIA on the annual Form EIA-860. The plant characteristics of interest are changes to the previously reported information on the proposed on-line date, prime mover type, capacity, and energy sources. During 2008, EIA anticipates collecting the Form EIA-860M from approximately 124 entities each month.

Modifications:

- a) The EIA proposes to eliminate collecting the following items:
 - 1. Schedule 3. "Generator Information"
 - a. modes of transportation for energy sources
 - b. the requirements to explicitly report the following for existing generators:
 - proposed deactivated shutdown status
 - proposed change in ownership
 - proposed fuel change
 - proposed reactivation from retirement.

Uses of Data:

These data are used by the Department of Energy:

- (a) as a primary source of information on the characteristics and capabilities of the Nation's existing generating fleet and the primary source for up-to-date information on new plant capacity additions and new generators proposed for initial operation within the near-term
- (b) as background for answering requests from the general public and Congress for power plant generator level information
- (c) as input to the National Energy Modeling System (NEMS) and the Short-Term Integrated Forecasting System (STIFS)
- (d) as input to many private sector models of the electric generating system
- (e) as a critical source of information for evaluating the adequacy of national and regional power supply based on up-to-date information on near-term planned new generators and changes in existing capacity
- (f) as a source of information for answering the many public and private requests for up-to-date information on proposed power plants, including public and private analysts evaluating the market for new projects
- (g) as a source for studies of capacity additions and fuel switching
- (h) as input into the following reports issued by the EIA:
 - 1) Electric Power Monthly

- 2) Electric Power Annual
- 3) Annual Energy Review
- 4) Renewable Energy Annual
- 5) Short-Term Energy Outlook
- 6) Annual Energy Outlook.

Other data users include electricity-related trade associations; independent system operators; electric utility companies; nonutility companies; energy service providers; wholesale electricity traders; electrical equipment companies; numerous local, State, and Federal government agencies; environmental associations; consumer groups; financial analysts; and the news media.

- ***Form EIA-861, “Annual Electric Power Industry Report”***

The Form EIA-861 is a mandatory annual census of approximately 3,300 regulated entities and power marketers in the United States involved in the generation, transmission, and distribution of electric energy. Data collected on the Form EIA-861 include revenues (associated with the sale of electricity), sales (megawatthours delivered), number of customers, energy sources and disposition, customer service programs, electric operating revenue, demand-side management information, demand response information, and distribution system information.

Modifications:

(a) The EIA proposes to collect the following additional items:

1. Schedule 2C. “Customer Service Programs”
 - a. green pricing revenue and volumes
2. New Schedule 2D. “Net Metering”
 - a. net metering volumes and electricity sales foregone by customers’ use of net metering
3. Schedule 6C. “Demand-side Management”
 - a. number of customers participating in incentive-based demand response programs
 - b. number of customers participating in time-based rate programs
4. Schedule 6D. “Advance Metering”
 - a. the number of billing or revenue meters
 - b. the number of advanced customer meters and associated volumes
5. Schedule 7A. “Distributed and Dispersed Generation, Number and Capacity”
 - a. the number of generators and their capacity by State that are less than 1 megawatt, and the percent of capacity owned by the respondent.

(b) The EIA proposes to eliminate:

1. Schedule 7C. “Types of Energy Sources Used” for distributed and dispersed generators.

Uses of Data:

The information is used by the Department of Energy:

- (a) to answer queries from the Congress, other Federal and State agencies, the electric power industry, and the general public
- (b) as input to the National Energy Modeling System (NEMS), sales data are used to project long-term electricity demand, sales for resale and purchases are used to validate the wholesale model results
- (c) to accurately maintain the electric power frame and to be a source from which samples are drawn for other electric power surveys, e.g. Form EIA-826
- (d) to develop and maintain time series data showing average wholesale electric power volumes and average prices by NERC region
- (e) to report time series data showing distributed and dispersed generation resources
- (f) to report the development of net metering and green pricing programs
- (g) to report annual and incremental effects of demand-side management programs and their costs
- (h) to monitor the changes in electricity prices in the various States and sectors of the economy
- (i) to assess the affect of price changes on the demand for electricity
- (j) to monitor the progress of energy service providers as they expand in the States with retail competition
- (k) to verify information provided to State and other Federal agencies in other forums
- (l) to assess the degree of market concentration in market-based applications
- (m) to evaluate unbundled retail electricity rates
- (n) to monitor and analyzing the economic and operational impacts of industry restructuring
- (o) to monitor sales and prices of electricity for use by the Public Utility Commissions when reviewing rate cases
- (p) to provide input into the following reports issued by the EIA:
 - 1) Electric Power Monthly
 - 2) Electric Power Annual
 - 3) Annual Energy Review
 - 4) Renewable Energy Annual
 - 5) State Electricity Profiles
 - 6) Electric Sales and Revenue
 - 7) Monthly Energy Review
 - 8) Annual Energy Outlook.

Other data users include electricity-related trade associations; independent system operators; electric utility companies; nonutility companies; energy service providers; wholesale electricity traders; electrical equipment companies; numerous local, State, and Federal government agencies; environmental associations; consumer groups; financial analysts; data aggregators; modelers; independent research groups; academia; consultants; and the news media.

• ***Form EIA-923, “Power Plant Operations Report”***

The Form EIA-923 is a new mandatory report that combines the EIA Forms EIA-423, EIA-906, and EIA-920, plus operational information from the Form EIA-767. Also, plants currently reporting on the FERC Form 423, “Monthly Report of Cost and Quality

of Fuels for Electric Plants,” would instead be required to file the information on the cost and quality of delivered fossil fuels on the Form EIA-923. The form will collect fuel consumption, electric generation, and fuel stocks of all power plants and combined heat and power producers in the United States with a generating capacity of 1 megawatt and greater (i.e., all operating plants included in the survey frame for the Form EIA-860). For fuel receipts, data to be collected include the fuel quantity received, quality (Btu, sulfur, ash, and mercury content), purchase type, cost, contract expiration date, tolling agreements, and supplier of fossil fuels delivered for the generation of electric power for facilities 50 megawatts or greater in size. In addition, for coal only, data will include mode of transportation, type of mine, and the State and county where the mine is located. The data on this survey will be collected monthly from a statistically determined sample of relatively large plants. The remaining smaller plants will be surveyed annually. (The sampling methodology is described in Section B, “Collection of Information Employing Statistical Methods,” Item 2, Statistical Methodology.)

This is a new survey. It is designed to minimize the burden for respondents and to make the EIA data collection more efficient. The form, as is the case with all of the EIA electric surveys, is intended to be used exclusively for electronic data collection. However, a paper option will be available to respondents unable or unwilling to use the Internet Data Collection System.

By merging Forms EIA-423, EIA-906, and EIA-920, and the data formerly collected on the FERC Form 423, the information can be collected and checked at the same time. For example, the previous month’s ending stocks, plus receipts, minus consumption must equal the current month’s ending stocks. The consolidation into one form is expected to facilitate reporting, and respondents will be able to review and correct their data prior to submission, thereby improving the quality and timeliness of the data.

Combining information collected by both the EIA and the Federal Energy Regulatory Commission on a single form is expected to increase the overall efficiency of the Federal program to collect monthly fuel information as well as improve the utility of the resulting information products.

The Form EIA-923 will also collect fuel consumption information at the boiler level for plants with steam turbines of 10 megawatts or greater capacity that burn fossil or organic fuels (excluding steam turbines whose source of steam is from nuclear, geothermal, or solar resources), which was formerly collected on the Form EIA-767. This will maintain the existing data series for use in analysis and reduce the burden on the monthly respondents, as they will only have to provide these data once, rather than on both the Form EIA-767 and either the former Form EIA-906 or the Form EIA-920. In addition, the other operational information collected on the Form EIA-767 will be transferred to the new Form EIA-923.

Modifications:

(a) The EIA proposes to collect the following additional items not already collected on the existing forms:

1. Schedule 2. "Plant-Level" (for all fossil-fueled plants including those who also receive and maintain a fuel inventory at a remote or off-site storage facility)
 - a. commodity cost (only for coal and natural gas) for the quantity of fuel receipts
 - b. mercury content for the quality of fuel received (only for coal)
 - c. primary and secondary mode of transportation (only for coal)
 - d. Mine Safety and Health Administration (MSHA) identification number (for coal mine type and location)
2. Schedule 7. "Plant-Level for Annual Data Sources and Disposition"
 - a. revenues associated with the resale of electricity.
3. The operational environmental information from the former Form EIA-767 to be collected on Schedule 8. "Annual Environmental Information" for steam-electric organic-fueled power plants with a total steam turbine capacity of 10 megawatts or greater
 - a. Part A. Annual Byproduct Disposition
 - b. Part B. Financial Information
 - c. Part C. Boiler Information on Nitrogen Oxide Emission Controls
 - d. Part D. Cooling System Information, Annual Operations
 - e. Part E. Flue Gas Particulate Collection Information
 - f. Part F. Flue Gas Desulfurization Unit Information, Annual Operations

Uses of Data:

The information will be used by the Department of Energy:

- (a) to answer queries from the Congress, other Federal and State agencies, the electric power industry, and the general public
- (b) as input to the Short-Term Integrated Forecasting System, used to forecast quarterly net generation and fuel consumption for up to 8 future calendar quarters
- (c) as input to calculate plant capacity factors and plant heat rates in order to evaluate efficiency and unit effectiveness
- (d) as input to intermediate- and long-term energy models such as the National Energy Modeling System (NEMS)
- (e) to monitor fuel switching during the year
- (f) to evaluate compliance with State Implementation Programs
- (g) to monitor fuel stock levels in cases of emergencies and strikes
- (h) to monitor fuel usage and the dependence on particular fuels
- (i) to calculate emissions of carbon dioxide and other air pollutants
- (j) to provide data that the EPA and State and local regulators need to develop and implement air pollution control, energy, and utility regulatory programs
- (k) to provide data that can be used to accurately gauge the need for emission allowances under cap and trade programs.
- (l) to monitor the costs of fossil fuels used to generate electricity
- (m) to evaluate the changes in the sources of the fuels and their quality to evaluate the impact of the Clean Air Act and its Amendments
- (n) to monitor the electric power industry, its sectors, and reliance on each fuel type

- (o) to monitor fuel stock inventories during energy or weather emergencies
- (p) to analyze the progress of renewable energy portfolios
- (q) to analyze the adequacy of short and long-term electricity supply
- (r) to forecast short- and long-term electricity supply and demand
- (s) to evaluate the need for additional electric generating capacity
- (t) to allocate emission credits to individual generators
- (u) to design future environmental trading programs
- (v) to estimate the cost of environmental equipment to meet standards
- (w) to establish budgets and standards for air quality programs
- (x) to assess compliance with existing environmental programs
- (y) to evaluate multi-pollutant control proposals
- (z) to monitor and analyze the economic and operational impacts of industry restructuring
- (aa) to provide input to the Environmental Protection Agency's "Emissions and Generation Resource Integrated Database" (E-GRID), which is used by State regulatory authorities to evaluate their environmental programs
- (bb) to assist the EPA to develop programs for the Clean Air Act's Acid Rain Program
- (cc) to assist the EPA to develop regulations to comply with such statutes as the Clean Air Act, the Clean Water Act, and the Resource Conservation and Recovery Act
- (dd) to model air quality rules and procedures
- (ee) to monitor the cost and quality of the fossil fuels used to generate electricity
- (ff) to monitor sales and prices of electricity for use by the Public Utility Commissions when reviewing rate cases, and
- (gg) as input to the following publications issued by the EIA:
 - 1) Monthly Energy Review
 - 2) Quarterly Coal Report
 - 3) Natural Gas Annual
 - 4) Renewable Energy Annual
 - 5) Short-Term Energy Outlook
 - 6) State Energy Data Report
 - 7) State Electricity Profiles
 - 8) Cost and Quality of Fuels
 - 9) Electric Power Flash
 - 10) Electric Power Monthly
 - 11) Electric Power Annual
 - 12) Annual Energy Review
 - 13) Annual Energy Outlook.

Other data users include electricity-related trade associations; independent system operators; electric utility companies; nonutility companies; energy service providers; wholesale electricity traders; electrical equipment companies; numerous local, State, and Federal government agencies; environmental associations; consumer groups; financial analysts; data aggregators; modelers; independent research groups; and the news media.

A.3. Use of Technology

The EIA is utilizing information technology to improve reporting options for respondents to all the electric power surveys. The EIA will continue to make all survey forms and instructions available for printing or downloading from the EIA web site.

In 2002, the EIA developed a new, completely electronic reporting option that respondents may use to complete and submit the electric power surveys via a secure, Internet browser-based system. Respondents choosing this option for filing will not have any requirements for submission of paper forms or signatures. The electronic reporting system allows respondents to enter their data directly into the EIA survey databases. The use of data communicated electronically reduces the time needed for data collection and processing, and also improves the timeliness of reporting the information to the public. The only equipment and software the respondent is required to have is a connection to the Internet and a standard industry Web Browser that supports secured socket layering, such as Microsoft Internet Explorer or Netscape.

The Internet Data Collection (IDC) System collects the data via screens that closely resemble the paper form. The IDC System edits the response identifying potential errors, while still under control of the respondent. Since the IDC will identify responses that fail established edits (i.e., comparisons to some of their previous data or internal calculations compared to technically established ranges, such as Btu values), the respondent will make corrections or append explanations of unusual occurrences before submitting their data. This reduces respondent burden and the EIA workload by reducing the need for the EIA to contact the respondent to discuss the accuracy of questionable data. As of August 1, 2007, approximately 91 percent of all monthly forms and 80 percent of all annual forms were submitted via IDC. Considering that the monthly forms are submitted 12 times during a year, the EIA estimates that approximately 88 percent of all forms (over 31,000 forms) will be submitted electronically by the end of 2007. By comparison, these numbers are significantly higher than the same statistics in 2004 when EIA requested approval of their forms for the following 3 years. At that time, only about 80 percent of all monthly forms and 60 percent of all annual forms were being submitted electronically. In addition, more of the data are arriving by the established due date. In 2004, 53 percent of the annual forms and 84 percent of the monthly forms were received by the due date. In 2007, 76 percent of the annual forms and 90 percent of the monthly forms for March 2007 were received by the due date.

Also, to minimize respondent burden, the EIA electric power data collection systems are based on an "update" philosophy. That is, the EIA updates and pre-populates all previously reported static data entries. The respondent only needs to verify or correct these static data and enter any changes, as well as the data that varies year to year or month to month.

A.4. Efforts to Reduce Duplication

As part of this effort to address the data needs of a restructured industry, the EIA has had many interactions with its stakeholders. These efforts have been on-going since the industry began its transition from vertically integrated utilities to an unbundled and more competitive industry. More recent interaction has been extensive. The EIA held numerous meetings to discuss the potential for future data needs with States, industry organizations, other Federal agencies, and consumer groups.

When the EIA redesigns the electricity data collection forms to comply with changes in the industry, every effort is made to ensure that data are not collected by more than one Federal government agency. To that end, the EIA has compiled a list of significant electric power-related data collections, both in the Federal government and in private industry (Table 1). Some of the organizations collecting and publishing electric power data include:

- (a) the American Public Power Association (APPA)
- (b) the Edison Electric Institute (EEI)
- (c) the Rural Utilities Service (RUS), U.S. Department of Agriculture
- (d) the Federal Energy Regulatory Commission (FERC), U.S. Department of Energy
- (e) the Nuclear Regulatory Commission (NRC)
- (f) the DOE Office of Electricity Delivery and Energy Reliability (OEDER) and the Office of Civilian Radioactive Waste Management (RW).

Sources of data collected for specific regulatory purposes or having limited general use are not included in Table 1. An example is the FERC Form 500, "Application for License/Relicense for Hydropower Project Greater than 5 MW Capacity," used to collect data for hydroelectric licensing. Information collected by the FERC and the State Public Utility Commissions that are limited in scope and not sufficient for the purposes of the EIA electric power surveys are also not included in Table 1. It is important to note that the FERC also collects other electric power information for specific regulatory purposes, but those are not sufficient to provide aggregated information about the entire industry.

Table 1. Electric Power Data Collection Forms

Responsible Group	Form No.	Title
American Public Power Association		
	APPA PIS	Performance Indicators Survey
Edison Electric Institute		
	EI T&D	Transmission and Distribution Line Information (not published)
	EI TEB	Typical Electric Bills
	EI USR	Uniform Statistical Report
	EI WEO	Weekly Electric Output
Energy Information Administration (U.S. Department of Energy)		
	EIA-20	Weekly Telephone Survey of Coal Burning Utilities (standby form)
	EIA-411	Coordinated Bulk Power Supply Program Report
	EIA-457	Residential Energy Consumption Survey (Household Electricity Usage)
	EIA-826	Monthly Electric Sales and Revenue with State Distributions Report
	EIA-846	Manufacturing Energy Consumption Survey
	EIA-860	Annual Electric Generator Report
	EIA-860M	Monthly Update to the Annual Electric Generator Report
	EIA-861	Annual Electric Power Industry Report
	EIA-871	Commercial Buildings Energy Consumption Survey (electricity usage)
	EIA-923*	Power Plant Operations Report
Office of Electricity Delivery and Energy Reliability (U.S. Department of Energy)		
	OE-417	Electric Incident and Disturbance Report
	FE-781R	Annual Report of International Electrical Import/Export Data
Federal Energy Regulatory Commission (U.S. Department of Energy)		
	FERC-1	Annual Report of Major Electric Utilities Licensees and Others
	FERC-1-F	Annual Report of Non-major Public Utilities and Licensees
	FERC-423	Monthly Report of Cost and Quality of Fuels for Electric Plants
	FERC-516**	Electric Rate Schedule Filings
	FERC-519**	Corporate Applications
	FERC-556**	Cogeneration and Small Power Production (Qualifying Facilities Applications)
	FERC-561	Annual Report of Interlocking Positions
	FERC-566**	Report of Utility's 20 Largest Purchasers
	FERC-580	Interrogatory on Fuel and Energy Purchase Practices Pursuant to Section 205(f)(2) of the Federal Power Act
	FERC-585**	Reports on Electric Energy Shortages and Contingency Plans under PURPA 206
	FERC-714	Annual Electric Control and Planning Area Report
	FERC-715	Annual Transmission Planning and Evaluation Report
	FERC-717	Open Access Same-Time Information Systems
North American Electric Reliability Corporation		
	NERC GADS	Generating Availability Data System
Nuclear Regulatory Commission		
	NRC ODR	Operating Data Report

Responsible Group	Form No.	Title
Office of Civilian Radioactive Waste Management (U.S. Department of Energy)		
	NWPA-830G	Appendix G - Standard Remittance Advice for Payment of Fees
Rural Utilities Service (U.S. Department of Agriculture)		
	RUS-7	Financial and Statistical Report
	RUS-12	Operating Report for Electric Power Supply Borrowers and Electric Distribution Borrowers with Generating Facilities

*This includes the Forms EIA-423, EIA-906, and EIA-920 which currently exist but are proposed to be included in the Form EIA-923 beginning in 2008.

**No form. These data requirements are stated in the Code of Federal Regulations.

A.4.1. Analysis of Similar Existing Information

The EIA evaluated all known sources of data relating to the electric power industry and has found no other source as comprehensive, timely, or detailed, to replace these proposed EIA data collections surveys. The EIA has determined that other sources cannot replace or even approximate the information proposed for collection here because of differences in classification, inconsistency, incompleteness, unavailability, or lack of universal coverage. In fact, some of the EIA data collections complement, rather than duplicate, other Federal agency data collections. These efforts taken together capture the entire electric power industry and keep the burden on industry to a minimum.

The following are explanations regarding the collection of similar data and the reasons why these similarities are not duplicative collections.

- ***Form EIA-411, “Coordinated Bulk Power Supply Program Report”***

The EIA and the North American Electric Reliability Corporation (NERC) both have a need for similar information on existing and planned generating units. To avoid duplication and to keep the burden on industry to a minimum, representatives of the EIA and the NERC formed a working group to accomplish this for the Form EIA-860 and Form EIA-411. The Form EIA-860 contains information on existing generators and those planned to begin operating within five years. The Form EIA-411 provides the power supply planning projected by the members and/or a sub-regional grouping of members of the eight NERC regions for the reporting year and forthcoming five-year period. The Form EIA-411 is being proposed to be a mandatory data collection effort prepared through the regional structure of the NERC. The specific data elements are carefully identified to allow both the NERC and the DOE to meet their objectives and to keep the burden on industry to a minimum by requesting the information only once. The NERC assembles the data and passes it on to the EIA using the Form EIA-411.

The power flow case information for planned transmission facilities complements the data collected by the FERC on the FERC Form 715 for existing transmission facilities. Therefore, this requirement fills in a gap in the information that the Federal government collects, rather than duplicating data already collected. Bulk power transmission maps by

reliability region are also collected on the FERC Form 715. However, since the Form 715 maps are specific to a single utility, duplication occurs only if these individual maps are combined at the NERC regional level. In addition, the burden of providing a copy of the maps is minimal.

- ***Form EIA-826, “Monthly Electric Utility Sales and Revenue Report with State Distributions”***

The Form EIA-826 collects information on electric sales to and revenue from, end-user customers by State. The data are similar to data reported on the annual Form EIA-861 and the FERC Form 1 (total only, but not by State). However, the Form EIA-826 is a monthly survey of a sample of electric power entities, distributors and retailers and is the only source of monthly data. These data are essential for timely tracking of the progress of retail competition and prices while minimizing the burden on industry. The Form EIA-826 takes its sample from the universe of respondents on the annual Form EIA-861 and imputes for the other approximately xx members of the universe.

- ***Form EIA-860, “Annual Electric Generator Report”***

As stated above, the EIA and the NERC both have a need for similar information on existing and planned generating units. The Form EIA-860 serves as the “frame” of generating plants, from which samples are drawn and is used to determine the subsets of frames for other plant-based surveys. To avoid duplication and to keep the burden on industry to a minimum, the Form EIA-860 is entirely pre-populated with the most recent data reported by the respondent. The respondent is merely required to verify the data and make any updates or corrections. These data are then shared with the NERC on an on-going basis as the data are collected.

- ***Form EIA-861, “Annual Electric Power Industry Report”***

The Form EIA-861 serves as the frame of utilities from which statistical samples are drawn (e.g., Form EIA-826). Although the Form EIA-861 has data elements that are similar to other EIA forms, the Form EIA-826 surveys only a limited number of electric utilities. The Form EIA-861 also collects information about the utility’s energy balance, demand-side management, demand response, and location of distribution systems, data items that are not collected on any other EIA forms. The Form EIA-861 is the only EIA survey to collect data from all 3,300 electric power industry participants in the United States.

The FERC Form 1 collects some similar information for utilities that meet the criteria for major electric utilities. Since there are only approximately 200 FERC Form 1 respondents, most of the data on the Form EIA-861 are not collected on the FERC Form-1. Information collected on Schedule I, Schedule II column e, and (if the utility has revenue in more than one State) Schedule IV of the Form EIA-861 is not duplicative of the FERC Form 1.

To keep the burden on industry to a minimum, the Form EIA-861 survey is pre-populated with any known static information, so respondents only need to verify the static information, revise the incorrect data, and fill in the new annual data.

- ***Form EIA-923, “Power Plant Operations Report”***

By merging Forms EIA-423, FERC-423, EIA-906, and EIA-920 and certain items from Form EIA-767, any duplication is eliminated.

- ***Form EIA-846, “Manufacturing Energy Consumption Survey (MECS)”***

The Form EIA-846, (OMB No. 1905-0169), “Manufacturing Energy Consumption Survey (MECS),” collects calendar year data once every 4 years from a statistical sample of manufacturing establishments, as opposed to the monthly and annual data collected on the EIA electric power data forms. Data are collected on the quantity and cost of purchased electricity, site generation, electricity sales to utilities, transfers to other establishments, consumption, participation in demand-side management programs, breakdowns of electricity consumption by end use, and presence of selected state-of-the-art and advanced electronic technologies.

Several of the Form EIA-846 questions overlap with questions on the Forms EIA-860, EIA-767 and EIA-906. However, a number of considerations require independent efforts to collect similar data. First, the Census Bureau (the EIA collection agent for this survey) collects the Form EIA-846 data from a sample of establishments, and therefore establishment level data are confidential and not available to EIA under the provisions of Title 13 of the U.S. Code. Estimates are published for the Census regions only, and a number of those estimates are not releasable due to the confidentiality restriction. Since the location, size, and technology of individual generating facilities cannot be released, aggregates for qualifying facilities (QFs) under the Public Utility Regulatory Policies Act of 1978 (PURPA) and non-QF projects cannot be addressed. Data are also not available for analysis by electric utility service territory.

In addition, many QFs are not included in the Form EIA-846 respondent base. Few, if any, wind power facilities are located within the manufacturing sector. The same is true for many hydroelectric and solar facilities. Municipal authorities or independent operators own most of the solid waste facilities. Such facilities would not be included in the Form EIA-846 frame. The Form EIA-846 is conducted with a sample of establishments, which are defined according to specific criteria set forth in the North American Industrial Classification System. The unit of data collection for the Forms EIA-860 and EIA-923 is the plant, generator or boiler level. The Form EIA-846 collects data every 4 years, while the Form EIA-923 collects data on a monthly and annual basis. This allows the government to more closely monitor the industry’s activities. Finally, the use of a stratified statistical sample for the Form EIA-846 is not compatible with the need to obtain the status of a fixed set of facilities, particularly the QFs under the PURPA.

- ***Other EIA Forms***

The EIA has two other quadrennial consumption surveys: the Form EIA-457, “Residential Energy Consumption Survey (RECS),” (OMB No. 1905-0092), and the Form EIA-871, “Commercial Buildings Energy Consumption Survey (CBECS),” (OMB No. 1905-0145). Both the RECS and the CBECS are collected in two stages: first an interview is conducted with the household or building manager, then a survey is done of the suppliers of electricity (and other energy sources) to the households or buildings. Consumption surveys are sample surveys that are designed to collect end-use data, rather than electricity production data, for only a small (5,000-6,000) nationwide sample of households and buildings. In addition to collecting the data from users as opposed to suppliers, the data collected on these surveys are limited by frequency and coverage.

- ***Other Non-EIA Forms***

The **FERC** publishes a cumulative listing of the facilities that have sought QF status under PURPA. The data are derived from information docketed under the FERC QF program, including:

- name and address of the applicant, and location of the facility
- a brief description of the facility, including a statement indicating if it is a cogeneration or small power production facility
- primary energy source used or to be used
- percent ownership by an electric utility or by an electric utility holding company; and
- the date installation of the facility began or will begin.

These data cover only a small portion of the universe that the EIA needs and it does not capture the breadth of information that the EIA forms collect.

The **Census Bureau** collects data through their “Annual Survey of Manufactures,” (ASM) (OMB Number 0607-0449) on electricity generation, sales, and purchases from a sample of manufacturing establishments, similar to the MECS. Annual estimates from the ASM are published on purchases and on-site generation used within the establishments. The ASM purchase data include both inter-company sales and sales to electric utilities. The amount of power going to the grid cannot be separated. Since the ASM results are confidential under Title 13, many of the same limitations associated with the Form EIA-846 apply to the ASM.

The **Federal Reserve Board** (FRB) conducts the “Monthly Survey of Industrial Electricity Use,” (OMB Number 7100-0057) through its district banks. The survey is voluntary. It collects information from electric utilities on the volume of electricity sold to mining and manufacturing establishments and data from self-generators on the amount of electricity generated by such establishments for their own use. The EIA electric power data forms do not collect data on the electricity sold at that level of detail.

A.5. Provisions for Reducing Burden on Small Businesses

The EIA is mindful of the need to minimize burden on small business and, to that end, designs its data surveys, to the extent possible, so that small operations are not unduly affected. Statistical sampling for the Form EIA-826, the thresholds or cutoffs for the Form EIA-860 and Form EIA-861, and the merging of the Forms EIA-906, EIA-920, EIA-423, EIA-767, and FERC-423 are examples of the EIA concern for burden on small business. The EIA pre-populates many data elements reported on prior surveys for items that do not change frequently. This allows respondents (both large and small) to simply verify that the information has not changed as opposed to reporting it each period. In addition, use of the IDC System has reduced the burden on businesses by reducing the call-backs to verify or correct questionable data.

A.6. Consequences of Less-Frequent Reporting

The monthly data to be reported on the Form EIA-826 and the Form EIA-923 will be collected, reviewed and tabulated by the EIA and used to provide statistics on net generation; sales and revenues of electric power; consumption of fuels used to generate electricity; fuel receipts and costs; and fuel stocks for the electric power industry. These data are used to monitor the state of one of the Nation's most important industries on a monthly basis. The data appear in several agency publications. The most prominent are Electric Power Monthly, Monthly Energy Review, Electric Power Annual, Natural Gas Monthly, Natural Gas Annual, Quarterly Coal Report, Annual Coal Report, and Annual Energy Review. These EIA reports are made available through the Internet to the Congress, State and local governments, private industry, various offices of the Federal government, both within the EIA and in other agencies, and the general public. The EIA web site had over 1.7 million user sessions in June 2007. The data are also used in other EIA products such as the State Energy Data System and for EIA short-term forecast models.

Eliminating the EIA's ability to provide monthly status reports on the electric power industry would deprive the Congress, State and local governments, private industry and various offices of the Federal government from monitoring a critical industry that is making sweeping changes to its operations and the progress towards competition. It would place a large burden on the State governments to collect and process their data and then try to obtain similar information from other States for comparison and monitoring purposes. It would also place a larger burden on the industry to provide its information to more than one data collection agency.

A.7. Compliance with 5 CFR 1320.5

The data are being collected consistent with the guidelines in 5 CFR 1320.5, except for requiring respondents to report information more frequently than quarterly. See item A.6 above for justification for monthly reporting.

A.8. Summary of Consultations Outside the Agency

Consultations were conducted using a Federal Register notice (FR Doc.E7—6268 covering all collections) published April 4, 2007. Copies of the notice were mailed to potential respondents, industry associations, and environmental and consumer groups for comment. It was also available on the EIA web site, along with drafts of the proposed new forms and instructions. (A crosswalk of how the Form EIA-767 data are proposed to be split between the Form EIA-860 and the Form EIA-923 was also posted on the EIA web site.) A summary of the comments received, along with the EIA responses, for the Forms are detailed in Appendix B (Comments on the Forms and Instructions).

A.9. Payments or Gifts to Respondents

No payments or gifts are made to the respondents to any of the surveys.

A.10. Provisions for Confidentiality of Information

The EIA is updating its procedure concerning the treatment of sensitive electric power data collected through the surveys contained in this information collection package. With the merging of the EIA survey forms and changes to the data elements collected on those forms, the EIA is modifying the data protection procedures for some electric power data.

The EIA requested comments from interested parties who might be affected by changes in the EIA confidentiality procedures. The proposed changes are based on the review of all comments received (Appendix B) and consideration of the applicable laws and regulations. It is the intent of the EIA to release as much information as is needed for evaluating market conditions and assessing future market demand and supply factors. The EIA weighed the concerns of the commenters with the implications of any action(s) taken, the laws governing the EIA survey collection series, and the data needed by the Congress, other federal agencies, States, and other users. The laws and regulations considered are:

1. the Trade Secrets Act, (18 U.S.C. 1905)
2. the Freedom of Information Act (FOIA), (5 U.S.C. 552)
3. the Department of Energy, Freedom of Information Act (FOIA) Regulations, (10 C.F.R. 1004)
4. the Paperwork Reduction Act, (44 U.S.C. 35)
5. the Clean Air Act, (CAAA90, Public Law 101-549)
6. the Confidential Information Protection and Statistical Efficiency Act of 2002, (CIPSEA, Title 5 of Public Law 107-347).

1. Trade Secrets Act

For purposes of the Act, a trade secret is defined in narrow terms, as a secret, commercially-valuable plan, formula, process, or device that is used for the making, preparing, compounding or processing of trade commodities and that can be said to be the end product of either innovation or substantial effort.

2. Freedom of Information Act (FOIA)

The Freedom of Information Act is an open policy favoring disclosure of information held by Federal agencies, and consequently the burden rests on the party or agency seeking non-disclosure to establish that an enumerated exemption to FOIA applies in the circumstances. One such exemption, Exemption 4, covers confidential commercial or financial information and trade secrets, the release of which would cause substantial harm to submitters in a competitive market. Exemptions to FOIA are narrowly construed, however, and the question of whether substantial competitive harm will in fact occur from public information disclosure depends on the specific facts and circumstances involving the requested information. For Exemption 4 to apply there must be actual competition in the industry and the information must be valuable commercial or financial data that are not available from other sources. Even after such a showing is made, however, an agency may balance competing interests and release contested information if the competitive danger is outweighed by the public interest in accessing the information.

3. Department of Energy (DOE), FOIA Regulations

The DOE regulations implementing FOIA allow a reevaluation of the data protections for information collected by the agency. The electric power industry is undergoing a period of widespread restructuring, and the EIA data collection and reporting requirements must necessarily keep pace reflecting these changes in the industry. The fact that the EIA did or did not at one time consider specific data elements to be confidential does not preclude a reevaluation of its position on confidentiality at any time. Even if the EIA finds that underlying data are sensitive commercial or financial information, it may yet disseminate the data at an aggregated level that does not reveal the identity of the data submitter.

4. Paperwork Reduction Act

The DOE also complies with the Paperwork Reduction Act of 1995 that provides that a Federal agency may make confidential information available to other Federal agencies if the disclosure is not inconsistent with applicable law. The Office of Legal Counsel of the Department of Justice concluded on March 20, 1991, that the Federal Energy Administration Act requires the EIA to provide company-specific data to other Federal entities for official use. However, this requirement is not applicable for data collected under the Confidential Information Protection and Statistical Efficiency Act.

5. Clean Air Act

Since 1963, a series of Clean Air legislation has been enacted to control air pollution. This includes the Clean Air Act of 1963, the Air Quality Act of 1967, the Clean Air Act Amendments of 1970 and 1977 and various additional amendments and extensions of the Clean Air Act passed in 1971, 1973, 1974, and 1976. The latest major addition to the Clean Air Act, the Clean Air Act Amendments of 1990 (CAAA90, Public Law 101-549), established new provisions designed to reduce emissions of sulfur dioxide, as well as

nitrogen oxides that are primarily emitted by fossil-fueled electric power plants, other industrial sources, and from the transportation sector. To achieve certain emissions criteria and to monitor individual and aggregate emission levels, these laws require the collection of a variety of electricity-related data and the release of it to the public during rulemaking procedures by the Environmental Protection Agency.

6. Confidential Information Protection and Statistical Efficiency Act of 2002

The primary purpose of the Confidential Information Protection and Statistical Efficiency Act (CIPSEA) is to protect information collected by the Federal government for exclusively statistical purposes from improper disclosure and to ensure that the information is not used for non-statistical purposes. To achieve this, the CIPSEA establishes limitations on the use and disclosure of the statistical data or information. Data or information acquired under a pledge of confidentiality to be used for exclusively statistical purposes cannot be disclosed for a non-statistical purpose, except with the informed consent of the respondent. The CIPSEA creates a process for agencies to share information with approved agents to be used for exclusively statistical purposes. Under the CIPSEA, a statistical agency or unit may designate agents, by contract or by entering into a special agreement containing the provisions required under section 502(2), who may perform exclusively statistical activities, subject to the limitations and penalties described in the CIPSEA.

Determination

There are no elements on the EIA electric power surveys that will be covered under the CIPSEA. Most elements are considered as non-sensitive and will be publicly released in identifiable form. For those elements, the survey respondents will be told the following:

The information elements (names of elements) reported on Form EIA-xxx will be treated as non-sensitive and may be publicly released in identifiable form. In addition to the use of the information by EIA for statistical purposes, the information may be used for any non-statistical purposes such as administrative, regulatory, law enforcement, or adjudicatory purposes.

The electric power surveys do include some elements that are considered sensitive and those elements will not be publicly released in identifiable form, although they may be shared under agreements designed to protect the information for uses approved by the EIA.

For electric power survey elements that EIA considers sensitive, the following notice is provided to survey respondents:

The information elements (name elements) reported on Form EIA-xxx will be protected and not disclosed to the public to the extent that it satisfies the criteria for exemption under the Freedom of Information Act (FOIA), 5 U.S.C. §552, the DOE regulations, 10 C.F.R. §1004.11, implementing the FOIA, and the Trade Secrets Act, 18 U.S.C. §1905.

The Federal Energy Administration Act requires the EIA to provide company-specific data to other Federal agencies when requested for official use. The information reported on this form may also be made available, upon request, to another DOE component, to any Committee of Congress, the Government Accountability Office, or other Federal agencies authorized by law to receive such information. A court of competent jurisdiction may obtain this information in response to an order. The information may be used for any non-statistical purposes such as administrative, regulatory, law enforcement, or adjudicatory purposes.

Disclosure limitation procedures are applied to the statistical data published from the Form EIA-XXX protected survey elements to ensure that the risk of disclosure of identifiable information is very small.

After reviewing the comments received in response to the Federal Register Notice, the EIA has determined that the elements listed in Table 2 are those data elements that are considered sensitive and will not be publicly released in identifiable form. All other data elements not listed in Table 2 are considered non-sensitive and may be disclosed in identifiable form.

Table 2. Confidential Data Elements

Data Elements	Forms Affected	Proposed Changes
Delivered cost of fuels for non-utility plants	<u>EIA-923</u> -- costs of coal, natural gas and petroleum received at non-utility power plants.	Continue to withhold the nonutility data and treat it as sensitive data. Continue to treat the utility fuel cost data as non-sensitive data, consistent with the manner in which the FERC Form-423 handles these data.
Fuel inventory – stocks	<u>EIA-923</u> -- end-of-month coal and petroleum stocks.	No Change: Stocks at End of Reporting Period for both utilities and nonutilities will continue to be treated as sensitive and will not be disclosed to the public in identifiable form.
Commodity costs	<u>EIA-923</u> -- commodity costs for fossil fuels	These data have never been collected before and they are considered to be extremely sensitive to both the supplier and buyer of the fuels. They will be treated as sensitive data and not disclosed to the public in identifiable form.
Monthly electricity sales information reported for energy-only service	<u>EIA-826</u> -- monthly electric sales, revenue and number of customers reported for energy-only service or by energy-service-providers and marketers.	Data reported in Schedule 1, Part B (Energy Only Sales (Without Delivery Service)) and Part D (Bundled Service by Retail Energy Providers or Power Marketer that Provides “Bundled Service”) relating to Revenue, Megawatthours Sold, and Number of Customers will be treated as sensitive data until 9 months after the end of the reporting year and then released. As the Form EIA-861 annual data for these respondents is not sensitive, these Form EIA-826 monthly data will be released to the public 9 months after the end of the reporting year.
Tested heat rates	<u>EIA-860</u> -- tested heat rate under full load.	No change. Schedule 3, Part B, Tested Heat Rate will continue to be treated as sensitive and will not be disclosed to the public in identifiable form.
Latitude and longitude	<u>EIA-860</u> -- latitude and longitude	Latitude and longitude will no longer be treated as sensitive and may be released to the public. However, the EIA will not make the information available on its Internet site.
Power flow cases and bulk electric transmission system maps	<u>EIA-411</u> -- power flow cases and bulk electric transmission system maps	No Change. Bulk transmission facility power flow cases and bulk electric transmission system maps will be treated as sensitive and not disclosed to the public.

A.11. Justification for Sensitive Questions

There are no questions of a sensitive nature.

A.12. Estimate of Respondent Burden Hours and Cost

The overall annual burden for this package is estimated to be 98,722 burden hours (Table 3). As in the past, the burden estimate includes time for follow-up on survey responses to clarify any questions, and correct or edit information reported by respondents. The burden has been reduced by approximately 42,298 hours (30 percent) from the previous package due partly to the merging of forms, plus the EIA effort to collect data via its Internet Data Collection System.

The cost to the respondents is estimated to be \$5,890,741.74 (98,722 burden hours times \$59.67 per hour). An average cost per hour of \$59.67 is used because that is the average loaded (salary plus benefits) cost for an EIA employee. The EIA assumes that the survey respondent workforce completing surveys for the EIA is comparable with the EIA workforce.

Table 3. Electric Power Burden Information for OMB Number 1905-0129

EIA Form Number	Title	Number of Respondents Per Year	Number of Reports Annually	Total Number of Responses	Burden Hours Per Response	Annual Burden Hours
Form EIA-411	Coordinated Bulk Power Supply Report					
	NERC Regions	8	1	8	120.0	960
	Members	800	1	800	15.0	12,000
	Total			808		12,960
Form EIA-826	Monthly Electric Sales and Revenue with State Distribution Report	450	12	5,400	1.1	5,940
Form EIA-860	Annual Electric Generator Report					
	Filers with environmental information	872	1	872	11.3	9,854
	Filers without environmental information	1,782	1	1,782	6.0	10,692
	Total			2,654		20,546
Form EIA-860M	Monthly Update to the Annual Electric Generator Report	124	5.5	682	0.3	205
Form EIA-861	Annual Electric Power Industry Report	3,300	1	3,300	8.0	26,400
Form EIA-923	Power Plant Operations Report					
	Monthly	810	12	9,720	2.7	26,244
	Annual	1,690	1	1,690	3.2	5,408
	Annual with boiler level data	300	1	300	3.4	1,020
	Total			11,710		32,672
	Total Burden Hours					98,722

A.13. Annual Reporting and Record Keeping - Cost

There are no capital and start-up cost components or operations and maintenance associated with this data collection. The information is maintained in the normal course of business. Therefore, other than the cost of burden hours, there are no additional costs for generating, maintaining, and providing the information.

A.14. Annual Cost to the Federal Government

The six surveys in the clearance group are included in the Annual Operating Plan for the EIA. The annual costs, including personnel, for development/maintenance, collection, processing, analysis, and publication are estimated to be approximately \$5.5 million in FY 2007.

A.15. Changes in Burden

The currently approved burden for OMB Number 1905-0129 is 141,020 hours and the proposed burden for this request is 98,722 hours; this is a decrease of 42,298 hours (30 percent). The reasons for the burden decrease are described below.

Modifications affecting burden include adding or deleting data elements on some forms, adding or deleting respondents on some forms, merging forms, pre-populating static information on the forms, and enhancing an electronic reporting option with built-in edits that eliminates the need for any paper submissions or signatures. The modifications in the individual electric power forms are described in detail in item A.2.

The changes in burden hours for the individual forms are shown in Table 4 and are detailed below:

- **Form EIA-411** changes will result in a decrease in burden of 18 percent due to the elimination of Schedule 2. "Capacity for Existing Generators in Reporting Year." This change results in a 2,400-hour-program decrease, for a total of 12,960 hours.
- **Form EIA-423** has been cancelled and combined with the Form EIA-923. Most of the previously associated burden hours (11,544 hours) are transferred to the Form EIA-923.
- **Form EIA-767** has been cancelled with some data being transferred to the Form EIA-860 and other data being transferred to the new Form EIA-923. A portion of the previously associated burden hours (43,724 hours) are transferred to those respective forms.
- **Form EIA-826** has not changed. However, the burden hours are reduced from 6,480 hours to 5,940 hours due a 95-percent participation rate by the respondents in the Internet Data Collection system.
- **Form EIA-860M** collects monthly updates of new plants coming on line during the upcoming 12 months. Respondent participation in the Internet Data Collection option has reduced the burden to 205 hours.
- **Form EIA-860** collects data from utility and nonutility respondents. Because some data from the now-cancelled Form EIA-767 are being transferred to this form, the burden will increase to 20,546. This overall burden takes into account

savings from the use of the Internet Data Collection System. Overall, the burden will increase by 2,696 hours.

- **Form EIA-861** will collect new information on green pricing, net metering, and demand-side management programs. However, the burden will actually decrease by 330 hours (to 26,400 hours) due to the use of the Internet Data Collection System.
- **Form EIA-923**, as noted above, is a new form which is a combination of the Forms EIA-423, FERC Form 423, EIA-906, EIA-920, and EIA-767. The burden hours are estimated at 32,672 hours. This is a significant decrease in what the burden was when the forms stood alone. It contains an internal balancing formula which will greatly reduce the inconsistencies of data that were collected on the former forms, thereby reducing respondent burden and EIA processing time.

Table 4. Change in Burden Hours

EIA Form Number	Old Burden	New Burden	Change	Reason for Change
Form EIA-411	15,720	12,960	-2,760	Eliminated Schedule 2
Form EIA-412	1	0	-1	Survey cancelled
Form EIA-423	11,544	0	-11,544	Survey cancelled and combined with Form EIA-923
Form EIA-767	43,724	0	-43,724	Survey cancelled and split between Forms EIA-860 and EIA-923
Form EIA-826	6,480	5,940	-540	No change in form, savings from Internet submissions
Form EIA-860	17,850	20,546	2,696	Questions from the former Form EIA-767 offset by savings from Internet submissions
Form EIA-860M	270	205	-65	Reduced sample in survey and all submissions on Internet
Form EIA-861	26,730	26,400	-330	Added demand-side management questions offset by savings from Internet submissions
Form EIA-906	13,014	0	-13,014	Survey cancelled and combined with Form EIA-923
Form EIA-920	5,687	0	-5,687	Survey cancelled and combined with Form EIA-923
Form EIA-923	0	32,672	32,672	Combination of Forms EIA-423, FERC-423, EIA-906, EIA-920 and EIA-767 and savings from Internet submissions
Total overall change	141,020	98,722	-42,298	An overall decrease of 30 percent in respondent burden for electricity surveys

With the increased use of the Internet for the respondents to submit their data, the burden estimates have been reduced. This is because with the use of the Internet, the accuracy of the data is increased by the respondent. Built-in edits alert the respondent when their data are out of customary ranges. They then correct the data before submitting it. This substantially reduces the amount of call-backs that are needed to research and correct the data. Internet submission rates (in percentage terms) have increased as shown in Table 5.

**Table 5. Internet Data Collection Submissions, 2007
(Percent)**

EIA Form Number	2004	2007
Form EIA-411	0	0
Form EIA-826	80	95
Form EIA-860	59	86
Form EIA-860M	0	100
Form EIA-861	53	89
Form EIA-906	72	87
Form EIA-920	80	80

A.16. Collection, Tabulation, and Publication Plans

The data collected on these six forms by the electric power program are released in EIA reports, and are available on the EIA web site. Detailed information on the data elements collected on each form and their associated collection, tabulation and publication time schedules are contained in Table 6 and Table 7, respectively.

Table 6. Proposed Electric Power Data Collection by EIA Form

Form	Date Notified	Form Due Date	Period	Elements Collected	Level of Detail
EIA-411	12/1	To NERC: 4/30 To EIA: 7/15	Annual	Actual energy and peak demand for prior year plus next 5 years; existing and future generating capacity; scheduled capacity transfers; projections of capacity, demand, purchases, sales, and scheduled maintenance; transmission line outages; and bulk electric transmission system maps.	Utility and NERC Region
EIA-826	27 th of each month	30 calendar days following the end of the month	Monthly	Revenue, electricity sales by residential, commercial, industrial, and transportation sectors, and number of customers.	Company/State
EIA-860	12/15	2/15	Annual	Existing and planned capacity additions and retirements; and new generator interconnection costs; environmental control information.	Boiler/Generator/Plant/Company
EIA-860M	27 th of each month	15 calendar days after the end of the reporting month	Monthly	Changes to proposed plant additions or changes in next 12 months.	Generator/Plant/Company
EIA-861	1/15	4/30	Annual	Energy sources, disposition, peak load, sales, revenue, number of customers, demand-side management information, and names of counties with utility distribution equipment.	Company/State
EIA-923 Monthly	27 th of each month	30 calendar days following the end of the month	Monthly	Fuel purchase type, expiration date, energy source, supplier, quantity received, quality (Btu, sulfur, ash, and mercury content), fuel cost, net generation by energy source, consumption of fossil fuels, end-of-month stocks of coal and petroleum, and heat content of fuel, and for coal only: mine type, State & county of origin; method of transportation, and MSHA ID.	Boiler/Generator/Primer Mover/Plant
EIA-923 Annual	1/15	3/30	Annual	Fuel purchase type, expiration date, energy source, supplier, quantity received, quality (Btu, sulfur, ash, and mercury content), fuel cost, net generation by energy source, consumption of fossil fuels, end-of-month stocks of coal and petroleum, and heat content of fuel; and for coal only: mine type, State & county origin, method of transportation, and MSHA ID. Also, operational environmental information and annual electricity balance of nonutilities.	Boiler/Generator/Primer Mover/Plant

Table 7. Publications Using Proposed Electric Power Data by Form

Form	Elements Published	Level of Detail
Electric Power Monthly – 75 days after reporting month		
EIA-826	Revenue and electricity sales by residential, commercial, industrial and transportation sectors.	National, Census Division, State
EIA-860 EIA-860M	Existing and planned capacity additions and retirements; environmental control information.	National, Census Division, State
EIA-923	Energy source, quantity received, quality (Btu content, sulfur content, ash content), fuel cost, net generation by energy source, consumption and heat content of fossil fuels, end-of-month stocks of coal and petroleum, and useful thermal output, and for coal only: mine type, and State & county origin.	National, Census Division, State
Monthly Flash Estimates of Electric Power Data – 50 days after reporting month		
EIA-826	Revenue and electricity sales by residential, commercial, industrial and transportation sectors.	National, Census Division
EIA-923	Net generation by energy source, consumption, and end-of-month stocks of coal and petroleum	National, Census Division
Electric Power Annual and supporting EXCEL spreadsheets – November		
EIA-411	Non-coincidental peak load, net internal demand, planned capacity resources and capacity margins.	National, NERC Region
EIA-860 EIA-860M	Existing and planned capacity additions and retirements; Design parameters and annual operations data regarding the plants' boilers, generators, cooling systems, flue gas particulate collectors, flue gas desulfurization units, and stacks and flues.	National
EIA-861	Electricity sales, revenue, and number of customers; number of net metering and green pricing customers; demand-side management information; distributed and dispersed generator information.	National
EIA-923	Energy source, quantity received, quality (Btu content, sulfur content, ash content), fuel cost, net generation by energy source, consumption and heat content of fossil fuels, end-of-month stocks of coal and petroleum, and useful thermal output, and for coal only: mine type, State & county origin.	National
Cost and Quality of Fuels for Electric Power Plants (Annual) – October		
EIA-923	Energy source, quantity received, quality (Btu content, sulfur content, ash content), fuel cost. For coal only: mine type, State & county.	National, Census Division, State
Monthly Energy Review – 3 months after reporting month		
EIA-826	Revenue and electricity sales by residential, commercial, industrial and transportation sectors.	National
EIA-923	Energy source and fuel cost; Net generation by energy source, consumption and heat content of fossil fuels, end-of-month stocks of coal and petroleum, and thermal output.	National
Annual Energy Review - June		
EIA-411	Non-coincidental peak load, net internal demand, planned capacity resources and capacity margins.	National
EIA-860 EIA-860M	Existing and planned capacity additions and retirements and emissions equipment and estimates.	National
EIA-861	Electricity sales and retail price of electricity; demand-side management information.	National
EIA-923	Energy source, quantity received, Btu content, fuel cost; net generation by energy source, consumption and heat content of fossil fuels, end-of-year stocks of coal and petroleum, and thermal output.	National
Quarterly Coal Report – 3 months after reporting month		
EIA-923	Consumption and end-of-month stocks of coal.	National
Annual Coal Report – September		

Form	Elements Published	Level of Detail
EIA-923	Coal consumption and end-of-year stocks of coal.	National, Census Division, State
Renewable Energy Annual – December		
EIA-860 EIA-860M	Existing and planned capacity additions and retirements.	National, State
EIA-861	Number of green pricing and net metering customers.	National, State
EIA-923	Net generation by energy source.	National, State
Natural Gas Monthly – 4 months after reporting month		
EIA-923	Natural gas fuel cost and consumption.	National, State
Natural Gas Annual – December		
EIA-923	Natural gas fuel cost and consumption.	National State

A.17. OMB Number and Expiration Date

The OMB number and expiration date are displayed on each form.

A.18. Certification Statement

This submission meets all certification requirements of the "Certification for Paperwork Reduction Act Submissions," for OMB Form 83-11.