

OMB Control Number: 2040-XXXX  
Approval Expires: 05/dd/2013

Plant ID:   
Plant Name:



## Steam Electric Questionnaire

### PART I - ECONOMIC AND FINANCIAL DATA

#### Table of Contents

<b>Section Title</b>	<b>Tab Name</b>
Part I Instructions	Part I Instructions
Immediate Parent Economic and Financial Information	Part I Section 1
Primary Immediate Parent Firm Economic and Financial Information	Part I Section 2
Ultimate Parent Economic and Financial Information	Part I Section 3
Basic Plant Economic and Financial Information	Part I Section 4.1
Detailed Plant Financial Information	Part I Section 4.2
Basic Steam Electric Generating Unit Economic and Financial Information	Part I Section 5.1
Steam Electric Generating Unit Operating Information	Part I Section 5.2
Planned and Forced Outages and Annual Operating Cost	Part I Section 5.3
Part I Comments	Part I Comments

Plant ID: Enter Plant ID  
Plant Name: Enter Plant Name

## **PART I. ECONOMIC AND FINANCIAL DATA**

### **INSTRUCTIONS**

Complete Part I of the questionnaire for your plant. As you are completing the electronic form, note the following: When you enter your plant name and plant ID on the Part I TOC tab, all name and ID fields throughout Part I will automatically populate. Refer to the overall questionnaire instructions and the list of abbreviations for additional assistance with completing Part I. Refer to the glossary for definitions of selected economic and financial terms used in this Part.

You may wish to assemble the following documents in order to efficiently fill out this part of the questionnaire:

- (1) For the entity/entities that own your plant: income statements, balance sheet statements, and cash flow statements for the last three fiscal years.
- (2) For your plant: data on electricity generated, operating expenses, income statement, balance sheet, and other operational statements for the last three fiscal years of operation.

Please provide all free response answers in the highlighted yellow areas.

Use the Part I Comments tab to do the following: provide additional information as requested in certain questions within Part I; indicate atypical data (e.g., if the analytical data provided from the sample collection is not representative of normal operations); and note methods used to make estimates based on professional judgment in the event that exact data are not available.

In cases where a plant has multiple immediate parent firms and where it is not possible to identify a primary parent firm based on equity share, you may make copies of Section 2 of this questionnaire and provide the requested information for each immediate parent listed in Section 1.

Plant Name: Enter Plant ID  
 Plant ID: Enter Plant Name

**Part: I**  
**Section Title:** 1. Immediate Parent Economic and Financial Information

**Instructions:** Throughout Section 1, provide financial information for the *immediate parent* firm or, in case where multiple entities have financial participation or interest in the plant, for every entity with an equity stake (or any other form of financial participation or interest) in this plant. For the purpose of this questionnaire, the *immediate parent* is the first entity in the plant's ownership structure. A plant may have more than one immediate parent if more than one firm owns or has another form of financial participation or interest in the generating units located at the plant. Please provide all free response answers in the highlighted yellow areas.

**CBI?**

Yes

**I1-1.** In Table I-1, provide the following information for the *immediate parent* firm or, in case where multiple entities have financial participation or interest in the plant, for every entity with an equity stake (or any other form of financial participation or interest) in this plant. If the financial participation shares vary by generating units at the plant, please estimate the plant-level share based on the relative electricity generation capacity (nameplate capacity) of all units at this plant.

**Table I-1. Immediate Parent Firm Financial Information**

Number	Name of Immediate Parent	Mailing Address	% Ownership or Financial Interest in Plant in 2009	NAICS	DUNS Number	Fiscal Year		Year	Total Revenue ('000\$)	Revenue from Electricity Generation ('000\$)	Total Employment (FTE)	Total Electricity Sales (MWh)
						Start (mm)	End (mm)					
<b>Example</b>	<b>ABC LLC</b>	<b>123 A Street, City, State, ZIP</b>	<b>34.50%</b>	<b>2211</b>	<b>123456789</b>	January	December	<b>2007</b>	<b>1,200,000</b>	<b>800,000</b>	1,000-1,249	<b>15,400,400</b>
								<b>2008</b>	<b>1,560,000</b>	<b>851,000</b>	1,000-1,249	<b>15,851,700</b>
								<b>2009</b>	<b>1,720,000</b>	<b>867,000</b>	1,250-1,499	<b>15,110,890</b>
<b>Example</b>	<b>EFG Inc.</b>	<b>12500, Some Blvd., City, State, ZIP</b>	<b>45%</b>	<b>2211</b>	<b>587426985</b>	January	December	<b>2007</b>	<b>552,000</b>	<b>502,800</b>	250-499	<b>6,570,000</b>
								<b>2008</b>	<b>550,000</b>	<b>513,100</b>	250-499	<b>6,858,000</b>
								<b>2009</b>	<b>487,000</b>	<b>479,200</b>	250-499	<b>6,253,000</b>
<b>Example</b>	<b>XYZ Corp.</b>	<b>789 Z Street, City, State, ZIP</b>	<b>20.50%</b>	<b>2211</b>	<b>925486982</b>	April	March	<b>2007</b>	<b>126,000</b>	<b>20,000</b>	250-499	<b>235,200</b>
								<b>2008</b>	<b>120,000</b>	<b>10,000</b>	250-499	<b>259,100</b>
								<b>2009</b>	<b>89,000</b>	<b>11,500</b>	100-249	<b>231,985</b>
<b>1</b>						Month	Month	<b>2007</b>			Employment	
								<b>2008</b>			Employment	
								<b>2009</b>			Employment	
<b>2</b>						Month	Month	<b>2007</b>			Employment	
								<b>2008</b>			Employment	
								<b>2009</b>			Employment	
<b>3</b>						Month	Month	<b>2007</b>			Employment	
								<b>2008</b>			Employment	
								<b>2009</b>			Employment	

Plant Name: Enter Plant ID

Plant ID: Enter Plant Name

**Part: I**

**Section Title:** 2. Primary Immediate Parent Firm Economic and Financial Information

**Instructions:** Throughout Section 2, EPA is interested in obtaining financial and economic data regarding the plant owner to support a detailed evaluation of the economic impacts of the regulations on firms that own steam electric power generation assets. When answering questions in Section 2, please provide data for the immediate parent firm and not only for the steam electric plant covered in this questionnaire.

If the plant has multiple owners (*immediate parent* firms identified in Question I1-1), please report detailed information in Questions I2-1 through I2-13 only for the entity that has the largest equity stake (or the largest share of financial participation or interest) in the steam electric portion of the plant. This immediate parent firm is referred to as the “primary immediate parent” firm in the remainder of this section.

*For example, a hypothetical steam electric plant has three generation units, two of which are steam. Table I-2 below provides the distribution of plant capacity and ownership shares for this plant. Since ABC LLC has the largest ownership share in the steam electric capacity at this hypothetical plant, the detailed information requested in the remainder of this section would be provided for ABC LLC.*

**Table I-2. Distribution of Plant Capacity and Ownership Shares for Example Plant**

<b>Plant</b>	Unit 1 (non-steam)	Unit 2 (steam)	Unit 3 (steam)	Ownership Share of Plant Steam Electric Capacity <sup>(1)</sup>
<b>% of Plant Total Capacity</b>	45%	35%	20%	
<b>Immediate parent firm</b>	Ownership Share			
EFG Inc.	100%			0%
<b>ABC LLC.</b>		<b>70%</b>	<b>50%</b>	<b>63%</b>
XYZ Corp.		30%	50%	37%

<sup>(1)</sup> details of ownership share calculations:

EFG Inc. share: 0% since only has shares in non-steam generation capacity.

ABC LLC share:  $0.70 \times 0.35 / (0.35+0.20) + 0.50 \times 0.20 / (0.35+0.20) = 0.63$

XYZ Corp. share:  $0.30 \times 0.35 / (0.35+0.20) + 0.50 \times 0.20 / (0.35+0.20) = 0.37$

In cases where a plant has multiple immediate parent firms and where it is not possible to identify a primary parent firm based on equity shares, you may make copies of Section 2 of this questionnaire and provide the requested information for each immediate parent listed in Section 1. In the example above, you have the option of providing information for both ABC LLC and XYZ Corp.

**CBI?**

**I2-1.** Please indicate the type of ownership for the primary *immediate parent* firm.

Yes

Type of Ownership

Other, specify:

**CBI?**

**I2-2.** Please indicate the state in which the primary *immediate parent* firm is organized as a legal entity.

Yes

State

**CBI?**

**I2-3.** Please indicate the legal structure of the plant's ownership.

Yes

Legal Structure

**CBI?**

**I2-4.** Has the primary *immediate parent* firm engaged in revenue generating activities other than electricity generation during the period of FY 2007 through FY 2009?

Yes

**NOTE: Economic activities other than generation of electricity may include, but are not limited to, production activities or the leasing of land. Please include only those economic activities that are carried out by the plant's owner; do not include activities carried out on the plant's property by third parties for which the plant's owner does not incur cost or receive revenue.**

- Yes (Continue to Question I2-5)
- No (Skip to Question I2-6)

**CBI?**  
 Yes **I2-5.** Please provide a description of each of the entity's revenue generating activities other than generation of electricity and the revenue and costs associated with this(ese) activity(ies).

**Table I-3. Description of Each Entity's Other Revenue Generating Activities**

FY	Description of Economic Activity	Revenue ('000\$)	Costs ('000\$)
Economic activities not associated with electricity generation (e.g., manufacturing production, leasing of land)			
2007			
2008			
2009			

**CBI?**  
 Yes **I2-6.** Has the *immediate parent* firm submitted data to FERC in *Form 1* for the period of FY 2007 through FY 2009? FERC Form No. 1 (FERC Form 1) is an annual regulatory requirement for Major electric utilities, licensees and others (18 C.F.R. § 141.1) and is designed to collect financial and operational information from electric utilities, licensees and others subject to the jurisdiction of the Federal Energy Regulatory Commission. If you answer YES, please attach a copy of your FERC Form 1 report for 2009 in pdf format to your submittal to ensure that EPA has the most recent data for your firm. EPA will be using the data you already reported on your FERC Form 1 filing for 2007 and 2008 to support its economic impact and other analyses.

- Yes, attach FERC Form 1. (Skip to Question I2-12)
- FERC Form 1 is attached.
- FERC Form 1 is NOT attached. Explain why:
- No (Continue to Question I2-7)

**CBI?**  Yes **I2-7.** In Table I-4, please provide the income statement information for the *immediate parent firm*. This information may be available from SEC filings, depending on how the firm presents its statement, if your *immediate parent* firm is a publicly traded company.

**Table I-4. Income Statement Information**

	FY 2007	FY 2008	FY 2009
<b>Total revenue ('000\$)</b>			
Revenue from electric power generation and sales			
Revenue from sources indirectly related to the generation of electricity (e.g., sale of steam or ash, waste combustion)			
Other revenue (i.e., total revenue from activities described in Question I2-5)			
<b>Total expenses ('000\$)</b>			
Operation expenses			
Maintenance expenses			
Depreciation, depletion, and amortization expense			
Interest expense (Total. Firms with debt should have interest expenses)			
Income taxes (Total federal, state, and local income taxes)			
All other expenses (i.e. including total cost of activities described in Question I2-5)			
After-tax income (Subtract Total operating expenses from Total revenue)			

**CBI?**  Yes **I2-8.** In Table I-5, please provide the following balance sheet information for the *immediate parent* firm. This information may be available from SEC filings, depending on how the firm presents its statement, if your immediate parent firm is a publicly traded company.

**Table I-5. Balance Sheet Information**

	FY 2007	FY 2008	FY 2009
<b>Assets ('000\$)</b>			
Inventories (Raw materials, supplies, fuels, etc.)			
Other current assets (Prepared expenses, cash, accounts receivable, etc.)			
Non-current assets (land, buildings, equipment, machinery, other physical capital and intangibles, capital stocks and bonds, etc., including expansions and renovations and net of depreciation and amortization)			
<b>Liability/Equity ('000\$)</b>			
Current liabilities (Liabilities due for payment within the reporting year)			
Non-current liabilities (Including long-term debt, such as bonds, debentures, and bank debt)			
Owner equity (Total assets minus total (current and non-current) liabilities)			

**CBI?**  Yes **I2-9.** In Table I-6, please provide the following cash flow information for the *immediate parent* firm. This information may be available from SEC filings, depending on how the firm presents its statement, if your immediate parent firm is a publicly traded company.

**Table I-6. Cash Flow Information**

	FY 2007	FY 2008	FY 2009
<b>Cash flow from operating activities ('000\$)</b>			
Net income from operations			
Non-cash charges (credits) to income			
Depreciation and depletion			
Amortization of electricity generating plants			
Net change in accounts receivable/ accounts payable			
Change in inventories			
Net change in other current assets/current liabilities			
Net cash provided by (used in) operating activities			
<b>Cash flow from investing activities ('000\$)</b>			
Capital expenditures			
Capital expenditures for electric plant and equipment			
Investments			
Other cash flows from investing activities			
Net cash provided by (used in) investing activities			
<b>Cash flow from financing activities ('000\$)</b>			
Cash flows provided by (used in) financing activities			
<b>Net increase/decrease in cash and cash equivalents</b>			

**CBI?**  Yes **I2-10.** In Table I-7, please provide the following information regarding the *immediate parent's* sources of electric energy during each year. This information may be available from SEC filings, depending on how the firm presents its statement, if your immediate parent firm is a publicly traded company.

**Table I-7. Sources of Energy**

	FY 2007	FY 2008	FY 2009
Gross energy generation (MWh)			
Purchases from utilities and power marketers (MWh)			
Cost of purchases from utilities and power marketers ('000\$)			
Purchases from nonutilities (MWh)			
Cost of purchases from nonutilities ('000\$)			
Total sources of electric energy (MWh) <small>including net energy exchanged</small>			



**CBI?**  Yes **I2-11.** In Table I-8, please provide the following information regarding the *immediate parent's* disposition of electric energy generated, purchased, exchanged, and wheeled during each year. This information may be available from SEC filings, depending on how the firm presents its statement, if your immediate parent firm is a publicly traded company.

**Table I-8. Disposition of Electricity**

	FY 2007	FY 2008	FY 2009
Sales for resale (MWh)			
Revenue from sales for resale ('000\$)			
Sales to end users (MWh)			
Revenue from sales to end users ('000\$)			
Electric energy furnished without charge (MWh)			
Electric energy used by the parent (MWh)			
Total uses of electric energy (MWh) including energy losses			

**CBI?**  Yes **I2-12.** In Table I-9, please provide the following information regarding the fraction of the immediate parent's electricity sales (on a MWh basis) subject to different pricing terms.

**NOTE: EPA is looking for information regarding the approximate share of electricity that is sold under various terms and conditions to help in conducting economic impact and other types of analyses. You may provide approximate shares based on information readily available from immediate parent's filings and statements.**

**Table I-9. Electricity Sales**

	Example	FY 2007	FY 2008	FY 2009
% sales subject to cost-of-service based regulated pricing	60%	%	%	%
% contracted sales	30%	%	%	%
% sales subject to short-term auction pricing	10%	%	%	%
TOTAL	100%	100 %	100 %	100 %

**CBI?**  Yes **I2-13.** If the share of contracted sales indicated in Question I2-12 is greater than 0%, please indicate in Table I-10 the approximate shares of the *immediate parent's* contracted electricity sales (on a MWh basis) that are of different durations and terms.

**Table I-10. Approximate shares of the Immediate Parent's Contracted Electricity Sales**

	Example	FY 2009
% contracted sales in FY 2009 subject to contract pricing under contracts of one year or less duration.	80 %	%
% sales in FY 2009 subject to contract pricing under contracts more than one year in duration	20 %	%
Contracted sales under contracts more than one year in duration that include clauses permitting price adjustments based on changes in environmental regulatory	<input checked="" type="checkbox"/> None <input type="checkbox"/> All <input type="checkbox"/> Other, specify: _____ %	<input type="checkbox"/> None <input type="checkbox"/> All <input type="checkbox"/> Other, specify: _____ %

Plant Name: Enter Plant ID  
 Plant ID: Enter Plant Name

**Part: I**

**Section Title: 3. Ultimate Parent Economic and Financial Information**

**Instructions:** Throughout Section 3, please provide information for the *ultimate parent firm* of each immediate parent firm identified in Question I1-1 or, in case of joint ownership or partnership in the immediate parent firm, for the entity having the largest equity stake in the immediate parent firm. Please provide all free response answers in the highlighted yellow areas.

For the purpose of this questionnaire, the *ultimate parent firm* is the *highest level domestic business entity* in a plant's ownership structure. A firm that is owned by another U.S. firm is not an ultimate domestic parent firm. In contrast, a U.S. firm that is owned by a foreign firm is an ultimate domestic parent firm.

**NOTE: EPA is interested in financial information about ultimate parent firm of entity(ies) that own or have financial participation or interest in your plant to conduct regulatory and economic impact analyses and to identify the relevant firm size category for corporate entities potentially affected by the regulations.**

**CBI?**

Yes

**I3-1.** Is (are) the *ultimate U.S. parent(s)* the same as the *immediate parent(s)* identified in Question I1-1?

Yes [\(Skip to Section 4.1\)](#)

No (Continue to Question I3-2)

**CBI?**

Yes

**I3-2.** In Table I-11, please provide the following information for the *ultimate parent firm* of each immediate parent firm identified in Question I1-1 or, in case of joint ownership or partnership in the immediate parent firm, for the entity having the largest equity stake in the immediate parent firm. If the ultimate parent is the same as the immediate parent, you may indicate so in column 2 and do not need to provide the information requested in columns 3 through 10 of the table. This information may be available from SEC filings, if your immediate parent firm is a publicly traded company.

**Table I-11. Ultimate Parent Firm Financial Information**

Immediate Parent (from Question I-1)	Name of Ultimate Parent	Mailing Address	% Financial Interest in Immediate Parent in 2009	NAICS	DUNS Number	Fiscal Year		Year	Total Revenue ('000\$)	Total Employment (FTE)	Total Electricity Sales (MWh)
						Start (mm)	End (mm)				
EFG Inc.	<input checked="" type="checkbox"/> Same as Immediate Parent					Month	Month	2007			
								2008			
								2009			
ABC LLC.	U.S. DIAMOND CORP <input type="checkbox"/> Same as Immediate Parent	2255 5 <sup>th</sup> Avenue, City, State, ZIP	85%	5239	885785963	October	September	2007	52,358,000	25,875	45,400,400
								2008	55,582,000	25,786	45,851,700
								2009	56,889,200	26,850	55,110,890
XYZ Corp.	<input checked="" type="checkbox"/> Same as Immediate Parent					Month	Month	2007			
								2008			
								2009			
	<input type="checkbox"/> Same as Immediate Parent					Month	Month	2007			
								2008			
								2009			
	<input type="checkbox"/> Same as Immediate Parent					Month	Month	2007			
								2008			
								2009			
	<input type="checkbox"/> Same as Immediate Parent					Month	Month	2007			
								2008			
								2009			

Plant Name: Enter Plant ID  
 Plant ID: Enter Plant Name

**Part: I**  
**Section Title:** 4.1 Basic Plant Economic and Financial Information

**Instructions:** Throughout Section 4.1, please provide the requested economic and financial information for the plant. Please provide all free response answers in the highlighted yellow areas.

**NOTE: For Section 4.1, EPA is interested in obtaining financial and economic data regarding the specific plant covered by this questionnaire.**

**CBI?**  
 Yes

**I4-1.** What is the *Fiscal Year period* covered by plant-level financial and operational information provided in this section?

Start (dd/mm)    Day  / Month (Number)   
 End (dd/mm)    Day  / Month (Number)

**CBI?**  
 Yes

**I4-2.** In Table I-12, please indicate the number of months in each fiscal year for which you have financial and operational information for your *plant*. In some cases, such as new plants, records may cover only part of a year.

**Table I-12. Number of Months in Each Fiscal Year**

	FY 2007	FY 2008	FY 2009
Number of Months			

**CBI?**  
 Yes

**I4-3.** At any time during the three reporting years, did the plant engage in revenue generating activities other than generation of electricity?

**NOTE: Economic activities other than generation of electricity may include, but are not limited to, production activities or the leasing of land. Please include only those economic activities that are carried out by the plant's owner; do not include activities carried out on the plant's property by third parties for which the plant's owner does not incur cost or receive revenue. If such third party activities are significant, you may note them in the comments section at the end of Part I.**

- Yes                      (Continue to Question I4-4)
- No                              (Skip to Question I4-7)

**CBI?**

Yes

**I4-4.** In Table A-13, please provide a description of each of the *plant's* economic activities other than electricity generation.

**Table I-13. Description of Economic Activities**

Fiscal Year	Description of Economic Activity		
	Economic activities not associated with electricity generation (e.g., manufacturing production, leasing of land)		
<b>2007</b>			
<b>2008</b>			
<b>2009</b>			

**CBI?**

Yes

**I4-5.** Is(are) this(ese) business activity(ies) associated with (a) specific generating unit(s)?

- Yes (Continue to Question I4-6)
- No (Skip to Question I4-7)

**CBI?**  
 Yes

**I4-6.** In Table I-14, please provide the following information for each of these generating units. Use steam electric generating unit IDs assigned in Table A-8.

**Table I-14. Financial Data by Steam Electric Unit**

SE Unit ID		Revenue ('000\$)	Costs ('000\$)
Steam Electric Unit ID	FY 2007		
	FY 2008		
	FY 2009		
Steam Electric Unit ID	FY 2007		
	FY 2008		
	FY 2009		
Steam Electric Unit ID	FY 2007		
	FY 2008		
	FY 2009		
Steam Electric Unit ID	FY 2007		
	FY 2008		
	FY 2009		
Steam Electric Unit ID	FY 2007		
	FY 2008		
	FY 2009		
Steam Electric Unit ID	FY 2007		
	FY 2008		
	FY 2009		

**CBI?**  
 Yes

**I4-7.** In Table I-15, please provide information on total *plant* employment in terms of full-time equivalent employees (FTE).

**Table I-15. Plant Employment Information**

	FY 2007	FY 2008	FY 2009
Total Employment (FTE)			

**CBI?**

Yes

**I4-8.** In Table I-16, please provide gross and net electricity generated by the *plant* on a fiscal year basis.

**NOTE: If your fiscal year coincides with the calendar year, please indicate so below and skip this question. The requested information is already provided in Question A1-14 of questionnaire on a calendar year basis.**

This plant's fiscal year coincides with calendar years (i.e., fiscal year period is January 1 – December 31). Refer to answer to Question A1-14 for the requested data.

**Table I-16. Gross and Net Electricity Generated by Plant**

	FY 2007	FY 2008	FY 2009
Gross Electricity Generated (MWh)			
Net Electricity Generated (MWh)			

**CBI?**

Yes

**I4-9.** In Table I-17, please provide information regarding capital outlays for plant and equipment for the plant.

**Table I-17. Capital Outlays for Plant**

	FY 2007	FY 2008	FY 2009
Capital outlays for plant and equipment ('000\$)			

Plant Name: Enter Plant ID  
 Plant ID: Enter Plant Name

**Part: I**  
**Section Title: 4.2 Detailed Plant Financial Information**

**Instructions:** In Section 4.2, please provide financial information for the plant. Your parent firm may not customarily compile financial reports at the level of the plant. In that case, you may estimate plant-level information from data reported at the level of reporting closest to your plant. This may be a division, the immediate parent firm, or some other business unit. You should report information about your plant either from existing reports or by estimating plant-level data. If you have to estimate plant-level data, you may use any method and information that, in your judgment, will yield the best estimate of plant-level data and describe the method in Question XX. If no such method or information is available, you may follow the default methodology outlined below.

Default Methodology: Please estimate plant-level data by using aggregate data from the financial reports for the business unit that is closest to your plant in terms of business activity performed. Please estimate plant data by multiplying that business unit's numbers corresponding to electricity generation activities by the ratio of your plant's net generation to the business unit's net generation. For example, if you have aggregate data for a business unit consisting of three plants, each with 100 MWh in net generation, the plant-level data are estimated based on 1/3 of the aggregate data.

**CBI?**

Yes

**14-10.** In Table I-18, please provide the following balance sheet information for the *plant*. As needed, you may estimate plant-level data based on balance sheet information for the relevant business unit or immediate parent.

Plant-level balance sheet data have been estimated for the purpose of answering this questionnaire. Provide details in Question I4-12.

**Table I-18. Balance Sheet Information for Plant**

	FY 2007	FY 2008	FY 2009
<b>Assets ('000\$)</b>			
Inventories (Raw materials, supplies, fuels, etc.)			
Other current assets (Prepared expenses, cash, accounts receivable, etc.)			
Land and buildings (Original land cost and cost of buildings, including expansions and renovations, net of depreciation)			
Other non-current assets (Equipment, machinery, other physical capital and intangibles, capital stocks and bonds, etc., net of depreciation and amortization)			

<b>Liability/Equity ('000\$)</b>			
Current liabilities (Liabilities due for payment within the reporting year)			
Non-current liabilities (Including long-term debt, such as bonds, debentures, and bank debt)			
Owner equity (Total assets minus total (current and non-current) liabilities)			

**CBI?**

Yes

**I4-11.** In Table I-19, please provide the following income statement information for the *plant*. As needed, you may estimate plant-level data based on income statement information for the relevant division, business unit or immediate parent.

Plant-level income statement data have been estimated for the purpose of answering this questionnaire. Provide details in Question I4-12.

**Table I-19. Income Statement for Plant**

	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>
<b>Total revenue ('000\$)</b>			
Revenue from electric power generation and sales			
Revenue from sources indirectly related to the generation of electricity (e.g., sale of steam or ash, waste combustion)			
Other revenue (i.e., total revenue from the economic activities described in Question I4-4) (describe below)			
<b>Total expenses ('000\$)</b>			
Fuel expenses			
Other operating expenses			
Total maintenance expenses			
Total sales and customer accounts, service, and informational expenses			
Cost of contract work			
Interest expense			
Taxes			
Depreciation			
All other expenses, including fixed expenses (describe below)			



**CBI?**

Yes

**I4-12.** If you estimated balance sheet and/or income statement for the plant in questions I4-10 and I4-11, please indicate the methodology used.

- Used default methodology described in Instructions to Section 4.2 (i.e., based on ratio of net generation)
- Used alternative methodology (describe below)

Methodology description:

**CBI?**

Yes

**I4-13.** In Table I-20, please provide the following information regarding the cost of steam electricity generation for the *plant*. If the information for steam electricity generation is the same as reported above for the plant as a whole, please indicate so below and skip this question.

- Expenses for steam electricity generation are the same as for the plant as a whole.

**NOTE: This information represents a subset of the total expenses reported in Question I4-11; the data are for steam electricity generation more specifically.**

**Table I-20. Cost of Steam Electricity Generation**

	FY 2007	FY 2008	FY 2009
Fuel expenses			
Other operating expenses			
Total maintenance expenses			
Total sales and customer accounts, services, and informational expenses			
Taxes			
Depreciation			
Total administrative and general expenses			

Plant Name: Enter Plant ID  
 Plant ID: Enter Plant Name

**Part: I**  
**Section Title:** 5.1 Basic Steam Electric Generating Unit Economic and Financial Information

**Instructions:** Please provide the economic and financial information requested for each steam electric generating unit at your plant. Use steam electric generating unit IDs assigned in Table A-8. Please provide all free response answers in the highlighted yellow areas.

**CBI?**  
 Yes

**15-1.** In Table I-21, please provide information for each non-retired (as of January 1, 2007) steam electric generating unit of your plant. Use steam electric generating unit IDs assigned in Table A-8.

**NOTE:** If a generating unit is owned by more than one entity, please provide the name(s) of the *immediate parent* firm(s) and their respective equity shares (or financial participation or interest) in this generating unit.

**Table I-21. Basic Financial Steam Electric Generating Information**

SE Unit ID	Remaining undepreciated value ('000\$)		Immediate parent firm(s) in 2009	Nonutility status of each steam electric generating unit
<i>Example</i>	FY 2007	250,000	ABC LLC. (70%) XYZ Corp. (30%)	<input type="checkbox"/> Cogenerator <input type="checkbox"/> FERC qualifying cogenerator <input type="checkbox"/> FERC qualifying small power producer <input type="checkbox"/> FERC exempt wholesale generator <input type="checkbox"/> Cogenerator not qualified under PURPA <input type="checkbox"/> Other (specify): _____ <input checked="" type="checkbox"/> Check here if not applicable
	FY 2008	225,000		
	FY 2009	200,000		
Steam Electric Unit ID ▼	FY 2007			<input type="checkbox"/> Cogenerator <input type="checkbox"/> FERC qualifying cogenerator <input type="checkbox"/> FERC qualifying small power producer <input type="checkbox"/> FERC exempt wholesale generator <input type="checkbox"/> Cogenerator not qualified under PURPA <input type="checkbox"/> Other (specify): _____ <input type="checkbox"/> Check here if not applicable
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			<input type="checkbox"/> Cogenerator <input type="checkbox"/> FERC qualifying cogenerator <input type="checkbox"/> FERC qualifying small power producer <input type="checkbox"/> FERC exempt wholesale generator <input type="checkbox"/> Cogenerator not qualified under PURPA <input type="checkbox"/> Other (specify): _____ <input type="checkbox"/> Check here if not applicable
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			<input type="checkbox"/> Cogenerator <input type="checkbox"/> FERC qualifying cogenerator <input type="checkbox"/> FERC qualifying small power producer <input type="checkbox"/> FERC exempt wholesale generator <input type="checkbox"/> Cogenerator not qualified under PURPA <input type="checkbox"/> Other (specify): _____ <input type="checkbox"/> Check here if not applicable
	FY 2008			
	FY 2009			

Steam Electric Unit ID ▼	FY 2007			<input type="checkbox"/> Cogenerator <input type="checkbox"/> FERC qualifying cogenerator <input type="checkbox"/> FERC qualifying small power producer <input type="checkbox"/> FERC exempt wholesale generator <input type="checkbox"/> Cogenerator not qualified under PURPA <input type="checkbox"/> Other (specify): <span style="background-color: yellow; display: inline-block; width: 100px; height: 1em;"></span> <input type="checkbox"/> Check here if not applicable
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			<input type="checkbox"/> Cogenerator <input type="checkbox"/> FERC qualifying cogenerator <input type="checkbox"/> FERC qualifying small power producer <input type="checkbox"/> FERC exempt wholesale generator <input type="checkbox"/> Cogenerator not qualified under PURPA <input type="checkbox"/> Other (specify): <span style="background-color: yellow; display: inline-block; width: 100px; height: 1em;"></span> <input type="checkbox"/> Check here if not applicable
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			<input type="checkbox"/> Cogenerator <input type="checkbox"/> FERC qualifying cogenerator <input type="checkbox"/> FERC qualifying small power producer <input type="checkbox"/> FERC exempt wholesale generator <input type="checkbox"/> Cogenerator not qualified under PURPA <input type="checkbox"/> Other (specify): <span style="background-color: yellow; display: inline-block; width: 100px; height: 1em;"></span> <input type="checkbox"/> Check here if not applicable
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			<input type="checkbox"/> Cogenerator <input type="checkbox"/> FERC qualifying cogenerator <input type="checkbox"/> FERC qualifying small power producer <input type="checkbox"/> FERC exempt wholesale generator <input type="checkbox"/> Cogenerator not qualified under PURPA <input type="checkbox"/> Other (specify): <span style="background-color: yellow; display: inline-block; width: 100px; height: 1em;"></span> <input type="checkbox"/> Check here if not applicable
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			<input type="checkbox"/> Cogenerator <input type="checkbox"/> FERC qualifying cogenerator <input type="checkbox"/> FERC qualifying small power producer <input type="checkbox"/> FERC exempt wholesale generator <input type="checkbox"/> Cogenerator not qualified under PURPA <input type="checkbox"/> Other (specify): <span style="background-color: yellow; display: inline-block; width: 100px; height: 1em;"></span> <input type="checkbox"/> Check here if not applicable
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			<input type="checkbox"/> Cogenerator <input type="checkbox"/> FERC qualifying cogenerator <input type="checkbox"/> FERC qualifying small power producer <input type="checkbox"/> FERC exempt wholesale generator <input type="checkbox"/> Cogenerator not qualified under PURPA <input type="checkbox"/> Other (specify): <span style="background-color: yellow; display: inline-block; width: 100px; height: 1em;"></span> <input type="checkbox"/> Check here if not applicable
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			<input type="checkbox"/> Cogenerator <input type="checkbox"/> FERC qualifying cogenerator <input type="checkbox"/> FERC qualifying small power producer <input type="checkbox"/> FERC exempt wholesale generator <input type="checkbox"/> Cogenerator not qualified under PURPA <input type="checkbox"/> Other (specify): <span style="background-color: yellow; display: inline-block; width: 100px; height: 1em;"></span> <input type="checkbox"/> Check here if not applicable
	FY 2008			
	FY 2009			

Plant Name: Enter Plant ID  
 Plant ID: Enter Plant Name

**Part: I**  
**Section Title:** 5.2 Steam Electric Generating Unit Operating Information

**Instructions:** Throughout Section 5.2, please provide information regarding operations for each steam electric generating unit. Please provide all free response answers in the highlighted yellow areas.

**CBI?**  
 Yes

**I5-2.** In Table I-22, please provide the following information regarding operations for each steam electric generating unit. Use steam electric generating unit IDs assigned in Table A-8.

**Table I-22. Steam Electric Generating Unit Operating Information**

SE Unit ID	Fiscal Year	Primary Energy Source	Number of Days in Operation	Plan to Continue Operating the Unit During the Next FY?	Capacity Utilization (% of rated capacity)	Gross Electricity Generated (MWh)	Net Electricity Generated (MWh)	Net Peak Demand on Unit – MW (60 minutes)	Quantity of Fuel Burned (Units) <sup>a</sup>	Average Cost of Fuel Per Unit of Fuel Burned (\$/unit)
Steam Electric U ▼	FY 2007									
	FY 2008									
	FY 2009			Yes/No ▼						
Steam Electric U ▼	FY 2007									
	FY 2008									
	FY 2009			Yes/No ▼						
Steam Electric U ▼	FY 2007									
	FY 2008									
	FY 2009			Yes/No ▼						
Steam Electric U ▼	FY 2007									
	FY 2008									
	FY 2009			Yes/No ▼						
Steam Electric U ▼	FY 2007									
	FY 2008									
	FY 2009			Yes/No ▼						
Steam Electric U ▼	FY 2007									
	FY 2008									
	FY 2009			Yes/No ▼						
Steam Electric U ▼	FY 2007									
	FY 2008									
	FY 2009			Yes/No ▼						
Steam Electric U ▼	FY 2007									
	FY 2008									
	FY 2009			Yes/No ▼						
Steam Electric U ▼	FY 2007									
	FY 2008									
	FY 2009			Yes/No ▼						

a – (coal in tons of 2,000 lbs; oil in barrels of 42 gals; gas in mcf; nuclear or other – indicate)

Plant Name: Enter Plant ID

Plant ID: Enter Plant Name

**Part: I**  
**Section Title:** 5.3 Planned and Forced Outages and Annual Operating Cost

**Instructions:** In Section 5.3, please provide information on the duration of planned and forced outages and annual operating cost for each steam electric generating unit. Please provide all free response answers in the highlighted yellow areas.

**CBI?**  Yes **I5-3.** In Table I- 23, please provide information on the duration of planned and forced outages for each steam electric generating unit. Use steam electric generating unit IDs assigned in Table A-8.

**Table I-23. Planned and Forced Outages**

SE Unit ID	Fiscal Year	Total Duration of Planned/Scheduled Routine Maintenance Outages (hours/year)	Total Duration of Outages Planned/Scheduled to Address Major Upgrades <sup>a</sup> (hours/year)	Duration of Forced/Unscheduled Outages for this Unit (hours/year)
Steam Electric Unit ID ▼	FY 2007			
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			
	FY 2008			
	FY 2009			
Steam Electric Unit ID ▼	FY 2007			
	FY 2008			
	FY 2009			

Steam Electric Unit ID	▼	<b>FY 2007</b>			
		<b>FY 2008</b>			
		<b>FY 2009</b>			
Steam Electric Unit ID	▼	<b>FY 2007</b>			
		<b>FY 2008</b>			
		<b>FY 2009</b>			
Steam Electric Unit ID	▼	<b>FY 2007</b>			
		<b>FY 2008</b>			
		<b>FY 2009</b>			
Steam Electric Unit ID	▼	<b>FY 2007</b>			
		<b>FY 2008</b>			
		<b>FY 2009</b>			
Steam Electric Unit ID	▼	<b>FY 2007</b>			
		<b>FY 2008</b>			
		<b>FY 2009</b>			

a – Such as repowering, FGD/SCR installation, etc.

**CBI?**  
 Yes

**15-4.** In Table I-24, please provide the following annual operating cost information for each generating unit (use steam electric generating unit IDs assigned in Table A-8).

**Table I-24. Annual Operating Cost**

SE Unit ID	Fiscal Year	Total Costs (\$) <sup>a</sup>	Fuel Costs (\$)	Variable O&M Costs (\$) <sup>b</sup>
Steam Electric Unit ID	FY 2007			
	FY 2008			
	FY 2009			
Steam Electric Unit ID	FY 2007			
	FY 2008			
	FY 2009			
Steam Electric Unit ID	FY 2007			
	FY 2008			
	FY 2009			
Steam Electric Unit ID	FY 2007			
	FY 2008			
	FY 2009			
Steam Electric Unit ID	FY 2007			
	FY 2008			
	FY 2009			
Steam Electric Unit ID	FY 2007			
	FY 2008			
	FY 2009			
Steam Electric Unit ID	FY 2007			
	FY 2008			
	FY 2009			

Steam Electric Unit ID		<b>FY 2007</b>			
	▼	<b>FY 2008</b>			
		<b>FY 2009</b>			
Steam Electric Unit ID		<b>FY 2007</b>			
	▼	<b>FY 2008</b>			
		<b>FY 2009</b>			
Steam Electric Unit ID		<b>FY 2007</b>			
	▼	<b>FY 2008</b>			
		<b>FY 2009</b>			

a - Total costs may include other operating costs (other than fuel costs of variable O&M) such as the scheduled maintenance of boiler and electric plant and the scheduled maintenance of generating and electric equipment, which are considered fixed O&M for the purpose of this questionnaire.

b - Refer to the glossary for a list of costs to be considered as variable O&M costs (e.g., fuel handling and steam expense and electric expense (other than other direct costs)).



Plant Name: Enter Plant ID  
 Plant ID: Enter Plant Name

**Part: I**  
**Section Title:** Part I Comments

**Instructions:** Cross reference your comments by question number and indicate the confidential status of your comment by checking the box next to "Yes" under "CBI?" (Confidential Business Information).

Question Number	Comment
CBI? <input type="checkbox"/> Yes	
CBI? <input type="checkbox"/> Yes	
CBI? <input type="checkbox"/> Yes	
CBI? <input type="checkbox"/> Yes	
CBI? <input type="checkbox"/> Yes	
CBI? <input type="checkbox"/> Yes	
CBI? <input type="checkbox"/> Yes	
CBI? <input type="checkbox"/> Yes	
CBI? <input type="checkbox"/> Yes	
CBI? <input type="checkbox"/> Yes	
CBI? <input type="checkbox"/> Yes	
CBI? <input type="checkbox"/> Yes	

<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		
<b>CBI?</b> <input type="checkbox"/> Yes		

**Part I Drop Downs**

Month
Month
Select
January
February
March
April
May
June
July
August
September
October
November
December

Yes/No
Yes/No
Select
Yes
No

Day
Day
Select
01
02
03
04
05
06
07
08
09
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31

Type of Ownership
Type of Ownership
Select
Cooperative
Federal
Investor-owned
Municipality
Political Subdivision
State
Other, specify below

State
State
Select
ALABAMA
ALASKA
AMERICAN SAMOA
ARIZONA
ARKANSAS
CALIFORNIA
COLORADO
CONNECTICUT
DELAWARE
DISTRICT OF COLUMBIA
FEDERATED STATES OF MICRONESIA
FLORIDA
GEORGIA
GUAM
HAWAII
IDAHO
ILLINOIS
INDIANA
IOWA

KANSAS
KENTUCKY
LOUISIANA
MAINE
MARSHALL ISLANDS
MARYLAND
MASSACHUSETTS
MICHIGAN
MINNESOTA
MISSISSIPPI
MISSOURI
MONTANA
NEBRASKA
NEVADA
NEW HAMPSHIRE
NEW JERSEY
NEW MEXICO
NEW YORK
NORTH CAROLINA
NORTH DAKOTA
NORTHERN MARIANA ISLANDS
OHIO
OKLAHOMA
OREGON
PALAU
PENNSYLVANIA
PUERTO RICO
RHODE ISLAND
SOUTH CAROLINA
SOUTH DAKOTA
TENNESSEE
TEXAS
UTAH
VERMONT
VIRGIN ISLANDS
VIRGINIA
WASHINGTON
WEST VIRGINIA
WISCONSIN
WYOMING

Month (Number)
Month (Number)
Select
01
02
03
04
05
06
07
08
09
10
11
12

Steam Electric Unit ID
Steam Electric Unit ID
Select
SE Unit-1
SE Unit-2
SE Unit-3
SE Unit-4
SE Unit-5
SE Unit-6
SE Unit-7
SE Unit-8
SE Unit-9
SE Unit-10

Employment
Employment
Select
less than 50
50-99
100-249
250-499
500-749
750-999
1,000-1,249
1,250-1,499
1,500 or greater

Legal Structure
Legal Structure
Select
C corporation (income taxed at the level of the corporation)
S corporation (income taxed at the level of the individual owners)
Joint venture/partnership of other companies
Other Limited Liability Company or other non-corporate structure not taxed at the entity level