



PI-588

RFS2 Small Refinery Survey 2010

INSTRUCTIONS

QUESTIONS

If you have any questions about the Small Refinery Exemption Survey after reading the instructions, please contact the Policy and International Affairs (PI) Survey Manager at (202) 586-1393 or at (202) 586-1010.

PURPOSE

The purpose of this survey is to collect information to assist in determining a small refinery's eligibility for exemption from the requirements of the RFS2 (CAA § 211(o))

WHO MUST SUBMIT

This survey is optional. Small refineries may submit data to provide technical support for a determination of disproportionate economic hardship. Each refinery should fill out a separate survey.

WHEN TO SUBMIT

This is a one-time data collection.

HOW TO SUBMIT

Instructions on how to report via facsimile, secure file transfer, or e-mail are printed on PART 2 of the survey form.

- Secure File Transfer: This form may be submitted to PI by facsimile, e-mail, or secure file transfer. Should you choose to submit your data via e-mail or facsimile, we must advise you that e-mail and facsimile are insecure means of transmission because the data are not encrypted, and there is some possibility that your data could be compromised. You can also send your Excel files to PI using a secure method of transmission: HTTPS. This is an industry standard method to send information over the web using secure, encrypted processes. (It is the same method that commercial companies use to communicate with customers when transacting business on the web.) To use this service, we recommend the use of Microsoft Internet Explorer 5.5 or later or Netscape 4.77 or later. Send your surveys using this secure method to:
<https://signon.eia.doe.gov/upload/noticeoog.jsp>

COPIES OF SURVEY FORMS, INSTRUCTIONS AND DEFINITIONS

Copies in portable document format (PDF) and spreadsheet format (XLS) are available on the Office of Policy and International Affairs (PI's) website. You may access the materials by following the steps:

- Go to PI's website at www.pi.energy.gov

Files must be saved to your personal computer. Data cannot

be entered interactively on the website.

GENERAL INSTRUCTIONS

All definitions are to be construed as consistent with the Energy Information Administration's Form EI-810, "Monthly Refinery Report," EIA-815, "Monthly Bulk Terminal and Blender Report," and EI-28, "Financial Reporting System," and other forms as appropriate.

Renewable Identification Numbers (RINs) are construed as defined by [EPA](#) here. Other [definitions](#) of petroleum products and terms are available on the EIA website www.eia.doe.gov. A [Glossary](#) of terms used in the EI-28 is also available, with additional terms [here](#). Please refer to these definitions before completing the survey form.

PART 1. RESPONDENT IDENTIFICATION DATA

- Enter the 3 digit number you received with the survey form. If you do not have a number, submit your report leaving this field blank. PI will advise you of the number.
- Enter the name of the reporting company.
- Enter the Doing Business As "DBA" name if appropriate.
- Enter the refinery site name.
- Enter the Terminal Control Number (TCN) used for identification of terminals and other facilities in the IRS ExSTARS system.
- Enter the physical address of the reporting company.
- Enter the mailing address of the Contact. (Note: If the physical address and mailing address are the same, provide the information only for the physical address.)
- Enter the name, telephone number, facsimile number, and e-mail address of the person to contact concerning information shown on the report. The person listed should be the person most knowledgeable of the specific data reported.

PART 2. SUBMISSION/RESUBMISSION INFORMATION

Submission

Refer to "How to Submit" section for more details or methods for submitting data.

Resubmission

A resubmission is required whenever an error greater than 5 percent of the true value is discovered by a respondent or if requested by PI.

Enter "X" in the resubmission box if you are correcting information previously reported.

Identify only those data cells and lines which are affected by the changes. You are not required to file a complete form when you resubmit, but be sure to complete the ID number and contact information.

claiming disproportionate economic hardship.

Comments on Statement of Income (3.9). Report any items on your Balance Sheet that you judge to be noteworthy with regards to claiming disproportionate economic hardship.

SPECIFIC INSTRUCTIONS

PART 3. FINANCIAL HEALTH OF THE REFINERY

Do not report the data elements in this Part if you are a public company and the data are publicly available. Note where to locate the data items you did not report in the comments.

Balance Sheet Items

All values in thousands of dollars unless otherwise stated.

Start of Fiscal Year (3.01). Report the month the fiscal year started in 2007, 2008, 2009.

Cash and marketable securities. (3.1) Report available cash and marketable securities at the end of the fiscal year 2007, 2008 and 2009.

Current liabilities (3.2) Report current liabilities, defined as debt or obligations (including long term debt interest) due within one year at the end of the fiscal year 2007, 2008 and 2009.

Long Term Debt (3.3) Report long term debt is defined as debt due over a horizon longer than one year at the end of the fiscal year 2007, 2008 and 2009.

Statement of Income

Report for fiscal year 2007, 2008 and 2009 unless otherwise stated.

All values in thousands of dollars unless otherwise stated.

Capital Expenditures (3.4). Report capital expenditures for the fiscal years 2007, 2008 and 2009.

Yearly operating expenditures (3.5). Report annual operational expenditures for the fiscal years 2007, 2008 and 2009.

Gross Refining Margin (dollars per barrel) (3.6) Report the difference between the revenue from the sale of petroleum products (e.g., motor gasoline) and the refinery acquisition cost of the raw materials (e.g., crude oil) used to produce the products.

Net Refinery Margin (dollars per barrel) (3.7) Report the difference between the gross refining margin and the costs of producing and selling the petroleum products (e.g., refining energy costs and selling costs). The net margin measures before-tax cash earnings from the production and sale of refined products. The net margin excludes peripheral activities such as non-petroleum product sales at convenience stores.

Comments on Balance Sheet (3.8). Report any items on your Balance Sheet that you judge to be noteworthy with regards to

Cost of Capital

All values in thousands of dollars unless otherwise stated

Current Debt/equity ratio (3.10): Report the current debt/equity ratio (fraction).

Current weighted average cost of capital (3.11). Report your weighted average cost of capital for capital expenditures (percent).

Internal Rate of Return (IRR): (3.12) Report the current required rate of return.

Anticipated cost of incremental capital (3.13). Report based on current market conditions, your weighted average cost of capital for anticipated capital expenditures (percent).

Anticipated cost of financing incremental operational expenditures. (3.14). Report based on current market conditions, your interest rate for anticipated incremental working capital (percent).

Credit rating (3.15). Report yes if the company has a credit rating by a NRSRO (e.g. Moody's).

Name of Credit Rating Company (3.16). Report the name of the credit rating company, if available.

Credit Rating (3.17). Report the rating, if available.

Debt restriction or covenants (3.18). If financing is required for future projects related to purchasing or holding RINS, report any debt loan covenants that may pose restrictions on borrowing.

Anticipated cash flow or credit issues (3.19): Report any anticipated cash flow or credit issues (such as loan covenants) that may present problems for compliance with the Renewable Fuel Standard (RFS) program

Historical Capital Improvements: Report percent of capital expenditures over last three years for

(3.20) Required environmental projects

(3.21) Required Safety projects

Use of internal funds (3.22) for historical capital improvements. Report the percent of historical capital improvements in (3.20 – 3.21) funded through internal funds.

Future environmental projects: Report anticipated capital expenditures over next three years for:

(3.23) Low (and ultra-low) sulfur diesel

(3.24) Low sulfur gasoline

(3.25) MSAT2

(3.26) Consent decrees

(3.27) Other

Use of internal funds (3.28) for future capital improvements.

Report the percent of anticipated capital improvements in (3.23 – 3.27) to be funded through internal funds.

Part 4. Market Compliance

All values in thousands of dollars unless otherwise stated.

Owned or controlled facilities (4.1). Report annual net inputs in thousands of barrels of fuel per day of owned facilities capable of blending renewable fuels. If there are multiple facilities, list names in the comment section (4.17)

(4.2) Total average daily gasoline blendstock (including GTAB, RBOB, and CBOB) net inputs in 2009 (thousands of barrels per day). (Note: I think you want net inputs – look at Table 3 of the Petroleum Supply Monthly)

(4.3) Total daily average diesel transportation fuels net inputs in 2009 (thousands of barrels per day). The term 'transportation fuel' means fuel for use in motor vehicles, motor vehicle engines, nonroad vehicles, or nonroad engines (except for ocean-going vessels).

(4.4) In-service dates.

(4.5) Total cost for all facilities.

(4.6) **Report** number of months needed to construct facility(s) to allow blending by project.

Capital expenditures required to develop blending capability. Report dollar value of facilities necessary to develop sufficient blending capability to meet the 2011 Renewable Volume Obligation listed below.

(4.7) Modify refining operations

(4.8) Modify terminal or blending operations

(4.9) Modify reporting and accounting operations to include RINS

(4.10) Estimate number of months needed to construct facility(s) to allow blending by project.

RINS generated through blending (4.11). Report number of RINS (in thousands) separated through blending renewable fuels in 2009.

Gasoline Blendstock produced. (4.12) Report total gasoline blendstock (thousands of barrels per day) anticipated to be produced in 2011.

Diesel Blendstock produced. (4.13) Report total diesel blendstock (thousands of barrels per day) anticipated to be produced in 2011

Competitive pricing (4.14) Report Yes if you believe that if your refinery blended renewable fuels, it would you be able to price the renewable fuels competitively with other conventional fuels in

the market.

Comment on competitive price (4.15). Comment on ability for competitive pricing of renewable fuels (4.14) describe above.

State and local restrictions (4.16). Report any state or local restrictions that would impede either blending renewable fuels or maintaining ownership of the generated RINS.

Comment on multiple constructed facilities (4.17). Report any additional data on cost and construction time of facilities listed in (4.1 – 4.10).

Part 5. Market Issues

Gasoline Blendstock produced. (5.1) Report total gasoline blendstock (thousands of barrels per day) produced at your refinery that could accept renewable fuels (i.e. ethanol) in 2007, 2008, and 2009.

Diesel Blendstock produced. (5.2) Report total diesel blendstock (thousands of barrels per day) produced at your refinery that could accept renewable fuels in 2007, 2008, and 2009.

Share of supply for gasoline (5.3) Report your market share (in percent) of gasoline supplied in your primary market in 2007, 2008, and 2009.

Description of gasoline market (5.4) Define your primary market consistent with (5.3). Examples are a city, metropolitan area, or a maximum distance from the supply point.

Share of supply for diesel (5.5) Report your market share (in percent) of transportation diesel fuels supplied in your primary market in 2007, 2008, and 2009. The term 'transportation fuel' means fuel for use in motor vehicles, motor vehicle engines, nonroad vehicles, or nonroad engines (except for ocean-going vessels).

Description of diesel market (5.6) Define your primary market for diesel consistent with (5.5). Examples are a city, metropolitan area, or a maximum distance from the supply point.

Contractual arrangements (5.7) Report the number (in thousands of RINS) and share (percent) of (5.1) of any contracts in which you sell gasoline blendstock and retained the RINS separated 2009.

Contractual arrangements (5.8) Report the number (in thousands of RINS) and share (percent) of (5.2) of any contracts in which you sell diesel blendstock and retained the RINS separated in 2009

Sales for resale of gasoline (5.9) Report the share (percent of (5.1)) of sales to resellers in 2007, 2008, and 2009.

Sales for resale of transportation diesel (5.10) Report the share (percent of (5.2)) of sales to resellers of transportation diesel in 2007, 2008, and 2009. The term 'transportation fuel' means fuel for use in motor vehicles, motor vehicle engines, nonroad vehicles, or nonroad engines (except for ocean-going vessels).

Pipeline sales of gasoline (5.11) Report the volume (in thousands of barrels per day) and share (percent of (5.1)) of pipeline sales (sales where custody changes at the refinery gate or pipeline) through common carrier pipelines in 2007, 2008, and 2009.

Pipeline sales of diesel (5.12) Report the volume (in thousands of barrels per day) and share (percent of (5.1)) of pipeline sales (sales where custody changes at the refinery gate or pipeline) through common carrier pipelines in 2007, 2008, and 2009.

Retail sales of gasoline (5.13) Report the share (percent of (5.1)) of retail sales through your company-owned (including lessee-dealers) or operated retail outlets in 2007, 2008, and 2009.

Retail sales of diesel (5.14) Report the share (percent of (5.1)) of retail sales through your company-owned (including lessee-dealers) or operated retail outlets in 2007, 2008, and 2009.

For (5.15) and (5.16) ethanol and biodiesel are measured in thousands of gallons per day and gasoline blendstock and diesel are measured in thousands of barrels per day for 2009. Biomass-based diesel includes both biodiesel and renewable diesel

Owned or controlled facilities (refinery rack) (5.15) Report the volume of shipments from owned rack for ethanol, gasoline blendstock, biodiesel and total diesel for 2009. Note: For ethanol and biomass diesel, the form asks for volume blended. For Gasoline blendstock and diesel, the form asks for throughput)

Owned or controlled facilities (terminal) (5.16) Report the volume (in thousands of barrels) of shipments from owned rack for ethanol gasoline blendstock, biodiesel and total diesel for 2009.

Comments (5.17): Report any additional information for Part 5.

PROVISIONS REGARDING CONFIDENTIALITY OF INFORMATION

The information reported on this form 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 DOE 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 component of the Department of Energy (DOE); 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 nonstatistical purposes such as administrative, regulatory, law enforcement, or adjudicatory purposes.

Disclosure limitation procedures are not applied to the statistical data published from this survey's information. Thus, there may be some statistics that are based on data from fewer than three respondents, or that are dominated by data from one or two large respondents. In these cases, it may be possible for a knowledgeable person to estimate the information reported by a specific respondent.

Company specific data are also provided to other DOE offices for the purpose of examining specific petroleum operations in the context of emergency response planning and actual emergencies.

The data collected on Form PI-588, "Small Refinery Survey 2010" are used to report aggregate statistics on and conduct analyses of the operation of U.S. petroleum refineries.

FILING FORMS WITH THE FEDERAL GOVERNMENT AND ESTIMATED REPORTING BURDEN

Respondents are not required to file or reply to any Federal collection of information unless it has a valid OMB control number. This is a one time survey. Public reporting burden for this collection of information is estimated to average 30 hours per response. This includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information including suggestions for reducing this burden to: Policy and International and Affairs, PI-42, 1000 Independence Avenue, S.W., Washington, D.C. 20585; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.