



Quarterly Electricity Imports and Exports Report Form EIA-111

PURPOSE

Form EIA-111 collects U. S. electricity import and export data. The data collected on the EIA-111 is used to obtain an accurate measure of the flow of electricity into and out of the United States. U.S. entities that purchase, sell or exchange electricity at wholesale, including persons authorized by Order to export electric energy from the United States to foreign countries, report monthly flows of electric energy received or delivered across the border and the cost associated with the transactions. U.S. Balancing Authorities that are directly interconnected with foreign Balancing Authorities report actual and implemented interchange. Persons authorized by Presidential Permit to construct, operate, maintain, or connect electric power transmission lines that cross the U.S. international border and export authorization holders report events where their DOE Order terms were exceeded.

The data collected on this form may appear in the following U.S. Energy Information Administration (EIA) publications: *Electric Power Annual*, *Annual Energy Review*, *Annual Energy Outlook*, and *Electric Power Monthly*.

REQUIRED RESPONDENTS

Form EIA-111 is mandatory pursuant to 15 U.S.C. 772 and must be completed **quarterly** by:

- Entities importing power into the U.S. and exporting power out of the U.S. at wholesale.
- Organizations that have U.S. treaty obligations involving the exchange of power between the U.S. and Canada or Mexico.
- U.S. Border Balancing Authorities that are directly interconnected with foreign electricity systems.
- Owners and Operators of international electricity transmission lines authorized by Export Authorization or Presidential Permit.

DUE DATE

The EIA-111 should be submitted to EIA within 30 days of the end of the reporting quarter.

The reporting quarters are: First Quarter, January 1 - March 31; Second Quarter, April 1 - June 30; Third Quarter, July 1 - September 30; and Fourth Quarter, October 1 - December 31.

The respective **due dates** are: April 30, July 31, October 31, and January 31.

HOW TO FILE A RESPONSE

The Form EIA-111 is collected using the **Secure File Transfer**.

Instructions: Save this file to your desktop. Open the saved file in Excel and enter the data. Resave the excel file to your desktop before you send it by Secure File Transfer.

Click the link to the right to send data by Secure File Transfer: <https://signon.eia.doe.gov/upload/notice111.jsp>

If you are unable to use Secure File Transfer e-mail the form to: eia-111@eia.gov or fax the form to: (202) 287-1959 or (202) 287-1960, Attn: EIA-111.

Please retain a copy of your submission for your files.

QUESTIONS

For questions or additional information regarding the Form EIA-111, contact the Survey Manager:

Name: Michelle Bowles
Telephone: (202) 586-2430
Email: EIA-111@eia.gov

For definitions on key terms used in this form, see the glossary on page 10.



SCHEDULE 1: IDENTIFICATION INFORMATION

All Respondents must complete Schedule 1.

1 Is the preprinted entity information correct?

- S**
- NO** - Continue to complete the survey form. Go to Schedule 3 and report the correct information in the comments section.

Entity Name: *Prefilled*

Entity EIA ID: *Prefilled* Reporting Quarter: *Prefilled* Reporting Year: *Prefilled*

2 Is the preprinted entity function correct?

- S**
- NO** - Continue to complete the survey form. Go to Schedule 3 and report the correct entity function in the comments section.

Entity Function:

- Importing/Exporting/Purchasing/Selling Entity - Complete Schedules 2A and 2B**
- Organization Having U.S. Treaty Obligations - Organizations having Treaty Obligations are those entities assigned the oversight responsibilities (U.S. Section) covering electricity and associated linked water usages.**
- U.S. Border Balancing Authority - Complete Schedules 2A and 2B**
- Domestic Production - Complete Schedules 2A and 2B**
- Holder - Complete Schedule 4**
- Complete Schedule 4**

3 Is the preprinted survey contact for your entity correct?

- The survey contact is the person that completes and submits the data.

- S**
- NO** - Continue to complete the survey form. Go to Schedule 3 and report the correct survey contact in the comments section.

First Name: _____ Last Name: _____
 Title: _____ Telephone: _____ Ext. _____
 Email: _____ Address: _____
 City: _____ State/Province: _____ Zip Code: _____ Country: _____

4 Is the preprinted supervisory contact for your entity correct?

- S**
- NO** - Continue to complete the survey form. Go to Schedule 3 and report the correct supervisory contact in the comments section.

First Name: _____ Last Name: _____
 Title: _____ Telephone: _____ Ext. _____
 Email: _____ Address: _____
 City: _____ State/Province: _____ Zip Code: _____ Country: _____



SCHEDULE 3A: ACTUAL INTERCHANGE

U.S. Border Balancing Authorities must complete Schedule 3A.

U.S. Border Balancing Authorities are to report the monthly total of actual interchange with adjacent foreign balancing authorities to which the respondent is directly interconnected.

1 Report the Actual Interchange.

Note: Actual Interchange is to be measured on an hourly integrated basis in megawatt-hours (MWh).

A. Report the **Month** that corresponds to each line of data reported for the quarter. A pull down menu will be provided for the electronic version.

B. Report the name of the **Foreign Balancing Authority Area** that is directly interconnected with the U.S. Balancing Authority.

C. Report the **Actual Interchange "Received"** from the foreign Balancing Authority.

D. Report the **Actual Intechange "Delivered"** to the foreign Balancing Authority.

Provide any comments regarding the data reported on Schedule 5.

Month	Identification Directly Interconnected Canadian or Mexican Balancing Authority Area Name	Actual Interchange	
		Received (MWh)	Delivered (MWh)
A	B	C	D

EIA USE ONLY

Entity Name: Prefilled

Entity EIA ID: Prefilled Reporting Quarter: Prefilled Reporting Year: Prefilled

Entity Name: Prefilled

Entity EIA ID: Prefilled Reporting Quarter: Prefilled Reporting Year: Prefilled



SCHEDULE 4: EXCEEDED ORDER TERM EVENTS

DOE Presidential Permit Holders and DOE Export Authorization Holders must complete Schedule 4.

Holders of Presidential Permits and Export Authorizations should report the instances during the month where the DOE "Order" terms were exceeded.

1 Did the entity have an event where the terms of their DOE Order was exceeded?

YES - Complete
 NO - Continue
 to Schedule 5

2 Provide details below of events where your DOE Order terms were exceeded.

- A.** Report the **Month** that corresponds to each line of data reported for the quarter. A pull down menu will be provided for the electronic version.
- B.** Report the **Presidential Permit** or **DOE Export Authorization Number**. Most Presidential Permits begin with PP (e.g. PP-101) and most Export Authorizations begin with EA (e.g. EA-102).
- C.** Report the **Date and Hours** (duration) of the exceeded event (e.g. 05-22-2011; 2:00-4:00PM)
- D.** Describe the specific **Term Order that was** exceeded (e.g. EA-111-K exceeded annual transmission rate of 50,000 MWH authorized by Presidential Permit PP-66).

Provide any comments regarding the data reported on Schedule 5.

Month	Presidential Permit or DOE Export Authorization Number	Date and Hour(s) of Exceeded Event	Specific Order Term Exceeded
A	B	C	D



U.S. Department of Energy
U.S. Energy Information Administration
1000 Independence Ave., S.W.
Washington, DC 20585

Form Approved: XX/XX/XXXX
OMB No. XXXX-XXXX
Expiration Date: XX/XX/XXXX
Burden: 1.5 hours

SCHEDULE 5: COMMENTS

For all respondents.

Comments - enter any comments regarding the data reported on this survey. Whenever possible, relate your comments to specific Schedules and Line items.

EIA USE ONLY

Entity Name: Prefilled

Entity EIA ID: Prefilled

Reporting Quarter: Prefilled

Reporting Year: Prefilled



SANCTIONS

The terms and conditions of an electricity Export Authorization and Presidential Permit for the construction, operation, maintenance, and connection of an international electric transmission facility issued by DOE require the holder of such an authorization or permit to submit the information and data necessary to complete Form EIA-111 in a timely and accurate manner. The timely submission of Form EIA-111 by those required to report is mandatory under Section 13(b) of the Federal Energy Administration Act of 1974 (FEAA) (Public Law 93-275), as amended.

Failure to respond may result in a penalty of not more than \$2,750 per day for each civil violation, or a fine of not more than \$5,000 per day for each criminal violation. The Government may bring a civil action to prohibit reporting violations, which may result in a temporary restraining order or a preliminary or permanent injunction without bond. In such civil action, the court may also issue mandatory injunctions commanding any person to comply with these reporting requirements. Title 18 U.S.C. 1001 makes it a criminal offense for any person knowingly and willingly to make to any Agency or Department of the United States any false, fictitious, or fraudulent statements as to any matter within its jurisdiction.

Obtaining a valid Order from DOE authorizing the export of electricity under section 202(e) of the Federal Power Act (FPA) is a necessary condition before engaging in the export. Failure to obtain such an Order, or continuing to export after the expiration of such an Order, may result in a denial of authorization to export in the future and subject the exporter to sanctions and penalties under the FPA. Also, a violation of any terms or conditions of the Order authorizing the electricity export, including the failure to submit timely and accurate reports, may result in the loss of authority to export electricity and subject the holder of such authorization to sanctions and penalties under the FPA.

REPORTING BURDEN

Public reporting burden for this collection of information is estimated to average 1.5 hours per quarter per respondent, including 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 the Energy Information Administration, Survey Development Team, E-21, 1000 Independence Avenue S.W., Forrestal Building, Washington, D.C. 20585-0670; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503. A person is not required to respond to the collection of information unless the form displays a valid OMB number.

DISCLOSURE OF INFORMATION

Information reported on Form EIA-111 will be considered public information and may be publicly released in identifiable form.



GLOSSARY

Note: these definitions are primarily adapted from those used in the North American Electric Reliability Corp. publication, Interchange Reference Document (http://www.nerc.com/docs/oc/rfwg/Interchange_Reference_Document.pdf). Not all of the following terms are used in this form, but are included to provide clarity.

Balancing Authority - the responsible entity that integrates resource plans ahead of time, maintains load-interchange-generation balance within a Balancing Authority Area, and supports interconnection frequency in real time.

Adjacent Balancing Authority - a Balancing Authority Area that is directly interconnected to another Balancing Authority Area.

Balancing Authority Area - the collection of generation, transmission, and loads within the metered boundaries of the Balancing Authority. The Balancing Authority maintains load-resource balance within this area.

Sink Balancing Authority - The Balancing Authority in which the load (sink) is located for an Interchange Transaction. (This will also be a Receiving Balancing Authority for the resulting Interchange Schedule.)

Source Balancing Authority - the Balancing Authority in which the generation (source) is located for an Interchange Transaction. (This will be the sending Balancing Authority for the resulting interchange schedule.)

Interchange Schedule - An agreed-upon Interchange Transaction size (megawatts), start and end time, beginning and ending ramp times and rate, and type required for delivery and receipt of power and energy between the Source and Sink Balancing Authorities involved in the Transaction.

Category of Service - key trade characteristic of a transmission service agreement

Exchange - an agreement where the U.S. entity accepts delivery of imports or makes delivery of exports and later repays a foreign supplier in-kind or is being repaid in-kind for an earlier export, at times and amounts as mutually agreed.

Firm - transmission service that a supplier is obligated to provide to customers that can be curtailed or interrupted only due to an emergency.

Non-Firm - transmission service that is reserved on an as-available basis and is subject to curtailment or interruption.

Other - transmission service that is not classified as Firm, Non-firm, or Exchange.

Interchange - electricity that flows from one balancing authority area to another.

Actual Interchange - metered electricity that flows from one balancing authority area to another.

Arranged Interchange - the point in the implementation of an interchange (i.e., the "state" of the interchange) where the Interchange Authority has received the Interchange information (initial or revised).

Confirmed Interchange - the point in the implementation of an interchange (i.e., the "state" of the interchange) where the Interchange Authority has verified the Arranged Interchange.

Implemented Interchange - point in the implementation of an interchange (i.e., the "state" of the interchange) where the Balancing Authority enters the Confirmed Interchange into its Area Control Error equation.

Interchange Authority - the responsible entity that authorizes implementation of valid and balanced Interchange Schedules between Balancing Authority Areas, and ensures communication of Interchange information for reliability assessment purposes.

