

## 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: <u>https://signon.eia.doe.gov/upload/notice111.jsp</u>

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.

U.S. Energy	ment of Energy / Information Administration endence Ave., S.W. n, DC 20585			Form Approved: XX/XX/XXXX OMB No. XXXX-XXXX Expiration Date: XX/XX/XXXX Burden: 1.5 hours
SCHEDULE 1: IDENTIFIC All Respondents must com				
the correct	information in the	-		υ από τοροιτ
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Entity EIA ID: Prefilled	d	Reporting Quarter:	Prefilled	Reporting Year: Prefilled
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Title:		Telephone:		Ext.
Email:		Address:		
City:	State/Province:	Zip Code:	Country:	

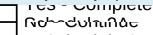


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## SCHEDULE 2A: IMPORTS INTO THE U.S. FROM CANADA OR MEXICO

Importing Purchasing-Selling Entities and Organizations Having U.S. Treaty Obligations must complete Schedule 2A.

#### 1 Did the entity have any imports this quarter?



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2 Report the import purchases and exchange transactions. Use as many rows as needed to report import purchases and transaction payments for each month in the reporting quarter.

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

The information in columns B-D should be derived from and consistent with the information on interchange transaction schedule submitted to the Interchange Authority.

B. Report the Foreign Source Balancing Authority Area Name. A pull down menu will be provided for the electronic version.

C. Report the U.S. Sink Balancing Authority Area name.

D. Report the Transfer Facility's Presidential Permit (PP) Number. If the facility does not have a PP, report the Transmission Service Provider's Name.

E. Report the Category of Service . The options are: Firm, Non-Firm, Exchange or Other. See glosssary for definitions.

F. Report the volume of Energy Purchases or Exchange Imports in megawatt-hours (MWh). In an exchange agreement, the U.S. entity accepts delivery of imports 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. The volume of sales or exchange exported should be based on implemented interchange as reported on e-tags.

G. Report Energy Payments in U.S. dollars.

H. Report Other Payments in U.S. dollars.

I. Report Total Payments in U.S. dollars. Total payments is the sum of G (Energy Payments) + H (Other Payments).

#### Provide any comments regarding the data reported on Schedule 5.

	Identification			I	mports	Tran	saction Payn	nents
Month	Foreign Source Balancing Authority Area	U.S. Sink Balancing Authority Area	Transfer Facility Presidential Permit Number	Category of Service	Energy Purchases or Exchange Imported (MWh)	Energy Payments (\$US)	Other Payments (\$US)	Total Payments (\$US)
A	В	С	D	E	F	G	н	Į

EIA USE ONLY	Entity Name:	Prefilled				
	Entity EIA ID:	Prefilled	Reporting Quarter:	Prefilled	Reporting Year:	Prefilled
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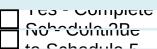


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## SCHEDULE 2B: EXPORTS FROM THE U.S. TO CANADA OR MEXICO

Exporting Purchasing-Selling Entities and Organizations Having U.S. Treaty Obligations must complete Schedule 2B.

#### 1 Did the entity have any exports this quarter?



2 Report sales to Canada and Mexico and exchange transactions. Use as many rows as needed to report export sales and transaction revenues for each month in the reporting quarter.

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

B. Report the DOE Export Authorization Number. Entities that do not have a DOE Export Authorization number should leave the column blank.

**C.** Report the U.S. **Source Balancing Authority.** A pull down menu will be provided for the electronic version. If the export involves only one Balancing Authority, report the name of that Balancing Authority in columns C and D.

Note: Information reported in columns C-E should be derived from and consistent with the information on the e-tags submitted to the Interchange coordinator.

#### D. Report the Foreign Sink Balancing Authority.

E. Report the Transfer Facility's Presidential Permit Number. If the facility does not have a Presidential Permit number report the name of the Transmission Service Provider.

F. Report the Category of Service. The options are Firm, Non-Firm, Exchange or Other. See glossary for definitions.

**G.** Report the volume of sales (**Energy Sales**) or **Exchange Exported**. In an exchange agreement, the U.S. entity exports energy and later accepts delivery from a foreign supplier in-kind, at times and amounts as mutually agreed. The volume of sales or exchange exported should be based on implemented interchange as reported on the transaction schedule.

H. Report Energy Revenues in U.S. dollars.

I. Report Other Revenues in U.S. dollars.

J. Report Total Revenues in U.S. dollars. Total Revenues is the sum of (H) Energy Revenues + (I) Other Revenues.

#### Provide any comments regarding the data reported on Schedule 5.

	Identification				E	Exports	Tran	saction Reve	nues
Month	DOE Export Authorization Number	U.S. Source Balancing Authority	Foreign Sink Balancing Authority	Transfer Facility Presidential Permit Number		Energy Sales or Exchange Exported (MWh)	Energy Revenues (\$US)	Other Revenues (\$US)	Total Revenues (\$US)
А	В	С	D	E	F	G	Н	I	J

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Entity Name:



## 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.

	Identification	Actual Inte	rchange
Month	Directly Interconnected Canadian or Mexican Balancing Authority Area Name	Received (MWh)	Delivered (MWh)
А	В	С	D

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Entity Name: Prefilled

Prefilled

Entity EIA ID:

Reporting

Reporting Year: Prefilled

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## SCHEDULE 3B: IMPLEMENTED INTERCHANGE

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

U.S. Border Balancing Authorities are to report the monthly total of Implemented Interchange. Implemented interchange is reported by the unique pair of source and sink Balancing Authorities.

#### 1 Was this entity on the transmission path for any implemented interchange that crossed an international border this quarter?

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2 Report the total cross-international border Implemented Interchange for which this entity was on the transmission path. Use as many rows as needed to report the data for the months in the reporting quarter.

#### Note: Implemented 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 of the form.

The information for columns B-E is available to U.S. Border Balancing Authorities on interchange transaction schedule that the Interchange Authority makes available to all reliability entities involved in the interchange including balancing authorities on the transmission path.

#### B. Report the Source Balancing Authority Area Name. See Balancing Authorities.

For an export, the name in column B will be an U.S. Balancing Authority and the name in column C will be a Foreign Balancing Authority. The opposite is true for an import.

#### C. Report the Sink Balancing Authority Area Name.

The Source and Sink Balancing Authorities are those Balancing Authorities identified on the interchange transaction schedule submitted to the Interchange Authority to schedule the energy transfer.

# **D.** Report the **Transfer Facility's Presidential Permit Number (PP)**. If the facility does not have a PP, report the name of the **Transmission Service Provider**.

The facilities reserved to provide the transfer, as identified through the OASIS reservation number listed in the interchange transaction tag is reported in column D by either the Presidential Permit Number (if it has one) or the name of the Transmission Service Provider (if there is no Presidential permit number).

#### E. Report the total of Implemented Interchange "Delivered" for the quarter by each corresponding month.

#### Provide any comments regarding the data reported on Schedule 5.

	Identif	ication	Implemented Interchange		
Month	Source Balancing Authority Area Name	Sink Balancing Authority Area Name	Transfer Facility Presidential Permit Number	Delivered (MWh)	
А	В	С	D	E	

EIA USE ONLY	Entity Name:	Prefilled				
	Entity EIA ID:	Prefilled	Reporting Quarter:	Prefilled	Reporting Year:	Prefilled
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## 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?

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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
А	В	С	D

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Entity Name: Prefilled

Entity EIA ID: Prefilled

Reporting Year: Prefilled



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## **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.

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Entity Name: Entity EIA ID: Prefilled

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.



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## 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 inkind 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.