



**You must have an EIA Data XChange account to use these instructions**

## EIA-111 QUARTERLY ELECTRICITY IMPORTS AND EXPORTS REPORT DATA XCHANGE INSTRUCTIONS

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### PURPOSE

Form EIA-111 collects U. S. electricity import and export data. The data collected on Form EIA-111 is used to obtain estimates of the flow of electricity into and out of the United States. U.S. entities that purchase, sell or exchange electricity, including persons authorized 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 flow limit 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.

### QUESTIONS

If you have any questions about the U.S. Energy Information Administration (EIA) form after reading the instructions, please contact the EIA Customer Service Center at 1-855-EIA-4USA (1-855-342-4872). The email address is [EIA4USA@eia.gov](mailto:EIA4USA@eia.gov)

### WHEN TO SUBMIT

Submit form EIA-111 no later than 30 days after the end of the reporting quarter. The reporting quarters are as follows: First Quarter, January 1-March 31; Second Quarter, April 1 -June 30; Third Quarter, July 1 -September 30; Fourth Quarter, October 1 -December 31.

### HOW TO SUBMIT

The form must be submitted to the EIA via electronic filing using the Data XChange Portal. The [Data XChange Portal](#) is a secure Web-based application that will enable you to enter data interactively using a web form, and validate your data online. Send your surveys using this secure method by:

- Entering the form data interactively: You may enter the required data via a web form into the Data XChange Portal. Follow the instructions on the Data Xchange portal to complete the online form.
- System to System Transfer: Should you choose to transfer your data directly from your database to a specified secure location, you will be required to format your data using the Electronic Data format provided on the Data Xchange Portal. Follow the instructions on the Data XChange portal to submit your data via system transfer.

### SURVEY QUESTIONS INSTRUCTIONS

#### RESPONDENT IDENTIFICATION

##### Entering the Form data interactively

The fields identified in the Respondent Identification section are read-only fields.

##### System to System Transfer

The fields identified in the Respondent Identification section are required if submitting data via system to system transfer. Please copy the information from the Data XChange Portal. Information MUST MATCH the information displayed in the Portal.

- Campaign Name: The name of the survey form and report period for which data are being collected.
- Account Name: Name of the company.
- Alias: Alias or secondary name of the company.
- Account City: City in which the company is located. Account State: State in which the company is located.

For definitions, refer to the glossary.

#### IMPORTS INTO THE U.S. FROM CANADA OR MEXICO

If the entity had any physical electric energy import transactions this quarter then they are to complete **Imports into the U.S. from Canada or Mexico section**. If not, then they are to continue to the **Exports from the U.S. to Canada or Mexico** section.

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.

- Report the **Month** that corresponds to each line of data reported for the quarter. Report data for each month separately. Report the **Foreign Source Balancing Authority** name. Picklist options are provided in the web form.
- Report the **U.S. Sink Balancing Authority** name. Picklist options are provided in the web form.
- Report the **Transmission Provider/Transfer Facility(ies)** providing service at the border. Picklist options are provided in the web form.
- Report the **Category of Service** of the border

crossing leg of the energy transaction. The options are: Firm, Non-Firm, Exchange or Other. See glossary for definitions.

- E. 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.
- F. Report **Energy Payments** in U.S. dollars.
- G. Report **Other Payments** in U.S. dollars.
- H. Report Total **Payments** in U.S. dollars. Total Payments is the sum of G (Energy Payments) + H (Other Payments).

## EXPORTS FROM THE U.S. TO CANADA OR MEXICO

If the entity had any physical electric energy export transactions this quarter then they are to complete **Exports from the U.S. to Canada or Mexico** section.

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 data for each month separately.
- B. Report the **DOE Export Authorization or Presidential Permit Number**. Entities that do not have a DOE Export Authorization Number should select the value of "None". Picklist options are provided in the web form.
- C. Report the **U.S. Source Balancing Authority**. Picklist options are provided in the web form. 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**. Picklist options are provided in the web form.
- E. Report the **Transmission Provider/Transfer Facility(ies)** providing service at the border. Picklist options are provided in the web form.
- F. Report the **Category of Service** of the border crossing leg of the energy transaction. The options are: Firm, Non-Firm, Exchange or Other.
- G. Report the volume of **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 e-tags.
- 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.

## METERED FLOW ON TRANSFER FACILITIES

Presidential permit holders and other U.S. owners/operators

of border crossing transmission/distribution facilities must report the metered flow of electricity on their transfer facilities crossing the U.S. border.

Report metered flow as 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.
- B. Report the **Presidential Permit #/Transfer Facility**. Picklist options are provided in the web form.
- C. Report the metered flow in to the U. S.
- D. Report the metered flow out of the U.S.

## ACTUAL INTERCHANGE

U.S. Border Balancing Authorities must report actual interchange.

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

Report metered flow or Actual Interchange as 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.
- B. Report the name of the **Foreign Balancing Authority** that is directly connected to the transfer facility. Picklist options are provided in the web form.
- C. Report the **Actual Interchange "Received"** from the foreign Balancing Authority.
- D. Report the **Actual Interchange "Delivered"** to the foreign Balancing Authority.

## IMPLEMENTED INTERCHANGE

U.S. Border Balancing Authorities must report the monthly total of Implemented Interchange crossing U.S. international borders. Implemented interchange is reported by the unique pair of source and sink Balancing Authorities.

If the respondent entity was on the transmission path at the border for any implemented interchange that crossed an international border this quarter, then they are to complete the Implemented Interchange section.

Report the total cross-international border Implemented Interchange for which this entity was on the transmission path. 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.
- B. Report the **Source Balancing Authority** name. Picklist options are provided in the web form. For an export, the name in column B will be a U.S. Balancing Authority and the name in column C will be a Foreign Balancing Authority. In some cases, the source and sink balancing authorities may be on the same side of the border. The opposite is true for an import. The information for columns B-E is available to U.S. Border Balancing Authorities on the eTag that the Interchange Authority makes available to all reliability entities involved in the interchange including balancing authorities on the transmission path.
- C. Report the **Sink Balancing Authority** name.

Picklist options are provided in the web form. The Source and Sink Balancing Authorities are those Balancing Authorities identified on the eTag submitted to the Interchange Authority to schedule the energy transfer.

- D. Report the **Transmission Provider/Transfer Facility(ies)**. The facilities reserved to
- A. Report the total of **Implemented Interchange "Delivered"** for the quarter by each corresponding month.

## EXCEEDED LIMIT EVENTS

DOE Presidential Permit Holders and DOE Export Authorization Holders that have ordering paragraphs that place limits on their use of border crossing transmission facilities must complete Exceeded Order Term Events. Holders of Presidential Permits and Export Authorizations report the instances during each month where the DOE "Order" limit terms were exceeded.

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

- A. Report the **Month** that corresponds to each line of data reported for the quarter.
- B. Report the **DOE Export Authorization or Presidential Permit Number**. Picklist options are provided in the web form. 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 of the Exceeded Event** (MM/DD/YYYY). Report the **Hours during which** order terms were exceeded.
- D. Describe the **Specific Term Order Exceeded** (e.g. EA-111-K exceeded annual transmission rate of 50,000 MWH authorized by Presidential Permit PP-66)

## 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 15 U.S.C. §772(b).

Failure to respond on Form EIA-111 may result in a civil penalty of not more than \$10,821 each day for each 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. 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

provide the transfer, as identified through the OASIS reservation number listed in the eTag are reported in column D. Picklist options are provided in the web form.

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 U.S. Energy Information Administration, Office of Survey Development and Statistical Integration, EI-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.