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GENERAL INFORMATION AND INSTRUCTIONS

I. Purpose

Form EIA-63B is designed to provide the data necessary for the U.S. Energy Information Administration (EIA), a part of the U.S. Department of Energy (DOE), to carry out its responsibilities for tracking photovoltaic module shipments in the photovoltaic industry and reporting information concerning the size and status of the industry. The data collected will be published annually in the *Solar Photovoltaic Module Shipments Report* and be available through EIA's Internet site at http://www.eia.gov/renewable/annual/solar_photo/.

II. Who Should Respond to This Survey

This report is mandatory and required pursuant to the authority granted to the Department of Energy (DOE) by 15 U.S.C. §772(b). Form EIA-63B is to be submitted by companies (whether U.S.- or foreign-based) that operate under the laws and regulations pertaining to the conduct of commerce within the United States and its territories and possessions and that engage in photovoltaic-related activities within the United States, its territories, and possessions. These activities include photovoltaic module manufacturing, shipping, importing, and/or exporting. Companies involved in photovoltaic-related activities during the reporting period can be classified in any of the following categories: (1) manufacturer; (2) brand name manufacturer (private label owner); (3) subsidiary or business unit of overseas manufacturer; (4) U.S. registered publicly traded overseas manufacturer; (5) importer; and (6) exporter.


Respondents representing the major companies that comprise approximately 90% of total shipments (based on prior year's data) must report on a monthly basis. The remaining relatively small participants must report annually, and are required to report only Schedule 1, Contact Information, Schedule 4, Photovoltaic Modules Source and Disposition and Schedule 7, Comments.

III. Where to Submit Completed Forms

Submit your data electronically using EIA's Internet Data Collection (IDC) system at <https://signon.eia.doe.gov/ssoserver/login>.

If you need an alternate means of filing your response or have questions about the data requested on Form EIA-63B, please contact the Survey Manager, Lolita Jamison at lolita.jamison@eia.gov or (202) 586-9567.

Please retain a completed copy of this form for your files.

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IV. When to Submit Completed Forms

Monthly respondents: The reporting month is from the first day of each month through the last day of the month. Submit the completed Form EIA-63B to EIA through the IDC system by the last business day of the month, following the reporting month. For example, April 2016 data are due the last business day of May 2016.

Annual respondents: The reporting year is from January 1 to December 31. Submit the completed Form EIA-63B to EIA through the IDC system by the last business day of April, following the reporting year end.

V. Sanctions

The timely submission of Form EIA-63B by those required to report is mandatory under 15 U.S.C. §772(b), as amended. Failure to respond may result in a civil penalty of not more than \$10,633 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. **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.**

VI. Disclosure of Information


All data on this form, other than the names of the companies included in the survey, 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 Department of Energy 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 EIA 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 non-statistical purposes such as administrative, regulatory, law enforcement, or adjudicatory purposes.

Data protection methods are not applied to the aggregate statistical data published from this survey. Some statistics may be 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 closely estimate the information reported by a specific respondent.

VII. Filing Forms with 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. Public reporting burden for this collection of information is estimated to average 2.6 hours per response for monthly respondents, 1.84 hours per response for annual respondents. Burden hours include the

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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 SW, Washington, D.C. 20585-0670, and the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

SPECIFIC INSTRUCTIONS

SCHEDULE 1: IDENTIFICATION

All respondents (monthly and annual report)

On Schedule 1, please provide and verify the following information. Contact the survey manager listed in Section III on page 1 of the instructions if any of the information needs to be updated.

Part A: Reporting company name, reporting company URL, reporting company street address, reporting company suite address, reporting company city, reporting company state, reporting company zip code, reporting company official contact name, reporting company official title, reporting company official phone number, reporting company official fax number, and reporting company official email address.


Part B: Survey contact name, survey contact title, survey contact company URL, survey contact street address, survey contact suite address, survey contact city, survey contact state, survey contact zip code, survey contact phone number, survey contact fax number, and survey contact email address.

Part C: Company supervisor name, company supervisor title, company supervisor company URL, company supervisor street address, company supervisor suite address, company supervisor city, company supervisor zip code, company supervisor phone number, company supervisor fax number, and company supervisor email address.

Part D: Parent company name, parent company official contact name, parent company URL, parent company street address, parent company suite address, parent company city, parent company state, parent company zip code, country (if outside U.S.), parent company international phone number, parent company official contact phone number, parent company official contact fax number, and parent company official email address.

Part E: Parent company contact name, parent company contact title, parent company contact URL, parent company contact street address, parent company contact suite address, parent company contact city, parent company contact state, parent company contact zip code, country (if outside U.S.), parent company contact international phone number, parent company contact phone number, parent company contact fax number, and parent company contact email address.

SCHEDULE 2: COMPANY STATUS (Respondent Business Type) (only monthly respondents report)

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Select the business activities that best describe the responding company’s involvement in photovoltaic-related activities. The responding company may be operated as multiple business types. (See glossary entries in the glossary section.) If your company either manufactures Original Equipment Manufacturer (OEM) brands for private label owners or outsources the manufacturing of PV panels to an OEM that manufactures as a private label owner, provide contact information for the other company.

SCHEDULE 3: INDUSTRY STATUS

(only monthly respondents report)

Part A: (a-h) Report only on photovoltaic-related activities.

Part B: (a-g) Check the appropriate boxes if you are planning to introduce a new photovoltaic- related product. A new photovoltaic-related product is differentiated from a modified existing product if the "new" product is different enough to warrant a new model number and requires retesting or recertification under existing industry standards.

Part C: Enter the total number of full-time equivalent employees engaged in photovoltaic-related activities during the reporting period. (See glossary entry for "Full-time equivalent employee.")

Part D: Check the appropriate box. "Photovoltaic-related activities" includes all activities listed in Schedule 3 Part A.

Part E: For U.S. manufacturing enter the maximum annual production capacity for manufacturing PV modules. Enter any planned additions or reductions to the annual manufacturing capacity. Enter in peak kilowatts, not the number of modules.


SCHEDULE 4: PHOTOVOLTAIC MODULES SOURCE AND DISPOSITION

(monthly and annual respondents report)

If you are a contracting manufacturer, you are required to provide information about the photovoltaic modules you manufacture. Photovoltaic modules intended for applications in space programs (satellites, military projects, etc.) are to be excluded. Also exclude shipments for brand name manufacturers (private label owners) as this will cause duplication in reporting.

4.a (Product Available): (1-5) For each type of photovoltaic module, enter the quantity of peak kilowatts (not the number of modules) available in inventory at the beginning of the reporting period, manufactured and imported during the reporting period, purchased from U.S. OEM, and the cumulative total available for shipment. The cumulative total should be the sum of (1-4). The total column on the right-hand side of the form should contain the total quantity of peak kilowatts for all photovoltaic module types in a given row.

4.b (Shipments): (1-4) For each type of photovoltaic module, enter both the quantity of peak kilowatts (not the number of modules) and the number of photovoltaic systems shipped within U.S. (sold within U.S.) excluding sales for resale, shipped to U.S. OEM (for resale only), exported, and the total shipments. Total shipments should be the sum of (1-3). The total column on the right-hand side of the form should contain the

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total quantity of peak kilowatts and the total number of photovoltaic systems for all photovoltaic module types in a given row.

4.c (Revenue): (1-2) Enter the total values received for the total photovoltaic module shipments in Schedule 4.B.b.4 by type. The values reported should be the total values received for both modules and for complete systems (including balance of system components) at your company's net billing price, freight-on-board factory, including charges for cooperative advertising and warranties. Do not include excise taxes, freight and/or transportation charges. Report values to the nearest dollar. The total column on the right-hand side of the form should contain the total revenue dollars for all photovoltaic modules in a given row. Verify that the average value is equal to the dollar value of the total shipments divided by the quantity of total shipments.

4.d (Inventory): (1) For each type of photovoltaic module, enter the quantity of peak kilowatts (not the number of modules) that remain in inventory at the end of the reporting period. These values should be equal to the difference between Schedule 4.B.a.5 and Schedule 4.B.b.4. The total column on the right-hand side of the form should contain the total quantity of peak kilowatts and the total number of photovoltaic systems for all photovoltaic module types in a given row.


SCHEDULE 5: ORIGIN OF PHOTOVOLTAIC MODULES
(only monthly respondents report)

Part A: List the country or countries from which the photovoltaic modules reported in Schedule 4.B.a.3 were imported. Begin by reporting the country name for each manufacturer in column (a). In column (b) enter the name of the manufacturer that produced the imported modules. For each type of photovoltaic module, enter the quantity of peak kilowatts (not the number of modules) imported during the reporting period. The values in the total row should equal the values from Schedule 4.B.a.3. The total column on the right-hand side of the form should contain the total quantity of peak kilowatts for all photovoltaic module types in a given row.

Part B: List the state(s) in which the photovoltaic modules reported in Schedule 4.B.a.2 were manufactured. Begin by reporting the state for each manufacturer in column (a). In column (b) enter the name of the manufacturer that produced the photovoltaic modules. For each type of photovoltaic module, enter the quantity of peak kilowatts (not the number of modules) manufactured during the reporting period. The values in the total row should equal the values from Schedule 4.B.a.2. The total column on the right-hand side of the form should contain the total quantity of peak kilowatts for all photovoltaic module types in a given row.

SCHEDULE 6: DESTINATION OF PHOTOVOLTAIC MODULES
(only monthly respondents report)

Part A: List the country or countries to which the photovoltaic modules reported in Schedule 4.B.b.3 were exported. For each type of photovoltaic module, enter both the quantity of peak kilowatts (not the number of modules) and the number of photovoltaic systems exported during the reporting period. The values in the total row should equal the values from Schedule 4.B.b.3. The total column on the right-hand side of the form should contain the total quantity of peak kilowatts for all photovoltaic module types in a given row.


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Part B: List each state where modules are shipped to within the United States.

U.S. Shipments (sales within the U.S. excluding sales for resale) by State: Choose the two-letter U.S. Postal Service Abbreviation of the destination state/territory from the drop down list. Provide for each type of photovoltaic module the quantity of peak kilowatts (not the number of modules) shipped to each state. The values in the total row should equal the values from Schedule 4.B.b.1. The total column on the right-hand side of the form should contain the total quantity of peak kilowatts for all photovoltaic module types in a given row.

SCHEDULE 7: COMMENTS
(monthly and annual respondents report)

Part A: Please provide any explanations and comments for this report. For clarification purposes, please identify schedule, part, line number, and column (if applicable) for each entry.

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GLOSSARY

Amorphous Silicon: An alloy of silica and hydrogen, with a disordered, non-crystalline internal atomic arrangement, that can be deposited in thin-film layers (a few micrometers in thickness) by a number of deposition methods to produce thin-film photovoltaic cells on glass, metal, or plastic substrates.

Brand Name Manufacturer (Private Label Owner): A “private labeler” is the owner of a brand or trademark on the label of a manufactured product which bears a private label. A product is considered to “bear a private label” if the product or its container is labeled with the brand or trademark of a person other than the manufacturer and the manufacturer’s brand or trademark is not on the product or container. In other words, a brand name manufacturer is a company that sells manufactured products under its name but does not produce them.

Cast Silicon: Crystalline silicon obtained by pouring pure molten silicon into a vertical mold and adjusting the temperature gradient along the mold volume during cooling to obtain slow, vertically advancing crystallization of the silicon. The polycrystalline ingot thus formed is composed of large, relatively parallel, interlocking crystals. The cast ingots are sawed into wafers for further fabrication into photovoltaic cells. Cast silicon wafers and ribbon silicon sheets fabricated into cells are usually referred to as polycrystalline photovoltaic cells.

Export (renewable equipment): A shipment of renewable equipment sent from the United States and any of its territories to a foreign country.

Full-time Equivalent Employee (FTE): A ratio that represents the number of hours that an employee works, on photovoltaic-related activities, to 40 hours. Full-time employment is generally considered to be forty hours a week. An FTE is any combination of workers that combines to forty hours per week and does not necessarily equate to headcount. For example, two, half-time (twenty hours per week) workers together amount to one FTE.

Import (renewable equipment): A shipment of renewable equipment sent into the United States and any of its territories from foreign countries.


Manufacturer: An entity in the business of manufacturing.

Peak Kilowatt: One thousand peak watts (kWp).

Peak Watt: A manufacturer's unit indicating the amount of power a photovoltaic cell or module will produce at standard test conditions (normally 1,000 watts per square meter and 25 degrees Celsius).

Photovoltaic Cell (PVC): An electronic device consisting of layers of semiconductor materials fabricated to form a junction (adjacent layers of materials with different electronic characteristics) and electrical contacts and being capable of converting incident light directly into electricity (direct current).

Photovoltaic Module: An integrated assembly of interconnected photovoltaic cells designed to deliver a selected level of working voltage and current at its output terminals, packaged for protection against environmental degradation, and suited for incorporation in photovoltaic power systems.

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Retrofit: An upgrade to an existing system. Retrofitting refers to the replacement of components of a system, but not the replacement of the entire system.

Ribbon Silicon: Crystalline silicon that is used in photovoltaic cells. Ribbon silicon is fabricated by a variety of solidification (crystallization) methods that withdraw thin silicon sheets from pools of relatively pure molten silicon.

Silicon: A semiconductor material made from silica, purified for photovoltaic applications.

Single Crystal Silicon: An extremely pure form of crystalline silicon produced by dipping a single crystal seed into a pool of molten silicon under high vacuum conditions and slowly withdrawing a solidifying single crystal boule (rod) of silicon. The boule is sawed into thin silicon wafers and fabricated into single-crystal photovoltaic cells.

Subsidiary or Business Unit of Overseas Manufacturer: An entity directly or indirectly controlled by a manufacturer that is headquartered overseas (parent company) or the logical segment of an overseas manufacturer (such as accounting, production, or marketing that represents a specific business function).

U.S. Registered Publicly Traded Overseas Manufacturer: A manufacturer that is headquartered overseas but whose stock is publicly traded on a U.S. stock exchange.