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.


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
You will be contacted about how to file a response.

QUESTIONS
For questions or additional information regarding the Form EIA-111, contact the Survey Manager:
Name: William Booth
Telephone: (202) 586-5611
Email: EIA-111@eia.gov

For questions or additional information regarding regulatory issues:
Name: Christopher Lawrence
Telephone: (202) 586-5260
Email: Christopher Lawrence@hq.doe.gov
Instructions for Schedule 2A: Imports into the U.S. From Canada or Mexico

1. Did the entity have any imports this quarter?
   - Yes – Complete Schedule 2A.
   - No – Continue to Schedule 2B.

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.
   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 glossary for definitions.
      - Firm - transmission service that a power supplier is obligated to provide under a filed rate schedule that anticipates no planned interruptions.
      - Non-Firm - transmission service that is reserved on an as available basis and is subject to curtailment or interruption.
      - Exchange - is when the U.S. 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 rates mutually agreed.
      - Other – provide other category of service if applicable.
   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.
   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 comments on Schedule 5.
Instructions for Schedule 2B: Exports from the U.S. to Canada or Mexico

1. Did the entity have exports this quarter?
   ☐ Yes – Complete Schedule 2B
   ☐ No – Continue to Schedule 5

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 (EA). If the entity does not have a DOE EA, 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.
      Firm - transmission service that a power supplier is obligated to provide under a filed rate schedule that anticipates no planned interruptions.
      Non-Firm - transmission service that is reserved on an as available basis and is subject to curtailment or interruption.
      Exchange - is when the U.S. 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 rates mutually agreed.
      Other - provide other category of service if applicable.
   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.
   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 comments on Schedule 5.
Instructions for 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 Interchange "Delivered" to the foreign Balancing Authority.

   **Provide comments on Schedule 5.**
Instructions for 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?

☐ Yes – Complete Schedule 3B.
☐ No - Continue to Schedule 5.

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.

      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.

      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.

   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 comments on Schedule 5.
Instructions for 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 Schedule 4.
   - [ ] 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 comments on Schedule 5.
Instructions for Schedule 5 – Comments.

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