

<b>U.S. Department of Energy Energy Information Administration Form EIA-423 (2007)</b>	<b>MONTHLY COST AND QUALITY OF FUELS FOR ELECTRIC PLANTS REPORT</b>	<b>Form Approved OMB No. 1905-0129 Approval Expires 11/30/07</b>
<b>PURPOSE</b>	<p>Form EIA-423 collects information from selected electric generating plants in the United States. Data collected on this survey include the cost and quality of fossil fuels delivered to nonutility plants to produce electricity. These plants include independent power producers and combined heat and power (CHP) plants. The data collected on this form will appear in the following EIA reports: <i>Electric Power Monthly</i>, <i>Electric Power Annual</i>, <i>Monthly Energy Review</i>, <i>Annual Energy Review</i>, <i>Natural Gas Monthly</i>, <i>Natural Gas Annual</i>, and <i>Cost and Quality of Fuels</i>. <b>The fuel cost data reported on this form will be protected.</b> (Refer to the Information Protection Section on Page 6 for further details.)</p>	
<b>REQUIRED RESPONDENTS</b>	<p>The owner or operator of a nonutility electricity generating plant or CHP plant must file the Form EIA-423 if the plant's total fossil-fueled nameplate generating capacity is 50 or more megawatts. Respondents who are currently filing data on the FERC Form 423 (in most cases, utility steam-electric generators) are not required to submit this survey. For plants that have <b>tolling agreements</b>, all necessary data should be obtained from the fuel supplier. If the fuel supplier will not provide the data to the owner or operator, the responsibility for filing the survey rests with the fuel supplier.</p>	
<b>RESPONSE DUE DATE</b>	<p>Please submit by the 45th calendar day following the close of the month. For example, if reporting data for July, survey is due on September 15.</p>	
<b>METHOD OF FILING RESPONSE</b>	<p>Submit your data electronically using EIA's secure Internet Data Collection (IDC) system. This system uses security protocols to protect information against unauthorized access during transmission.</p> <ul style="list-style-type: none"> <li>• If you have not registered with EIA's Single Sign-On system, send an e-mail requesting assistance to: <a href="mailto:CNEAFhelpcenter@eia.doe.gov">CNEAFhelpcenter@eia.doe.gov</a></li> <li>• If you have registered with Single Sign-On, log on at <a href="https://signon.eia.doe.gov/ssoserver/login">https://signon.eia.doe.gov/ssoserver/login</a></li> <li>• If you have a technical problem with logging into or using the IDC system, contact the IDC Help Center for further information at:  E-mail: <a href="mailto:CNEAFhelpcenter@eia.doe.gov">CNEAFhelpcenter@eia.doe.gov</a>  Phone: 202-586-9595</li> <li>• If you need an alternate means of filing your response, contact the Help Center.</li> <li>• Plants that have <b>tolling agreements</b> cannot use the IDC system. Refer to instruction number 3 and contact the survey manager for further information.</li> </ul> <p>Retain a completed copy of this form for your files.</p>	
<b>CONTACTS</b>	<p><b>Internet System Questions:</b></p> <p>For questions related to the Internet Data Collection system, see the help contact information immediately above.</p> <p><b>Data Questions:</b></p> <p>For questions about the data requested on Form EIA-423, contact:</p> <p>Rebecca A. McNerney Form EIA-423 Survey Manager Telephone Number: (202) 586-4509 FAX Number: (202) 287-1944 or (202) 287-1946 E-mail: <a href="mailto:Rebecca.McNerney@eia.doe.gov">Rebecca.McNerney@eia.doe.gov</a></p>	

**INSTRUCTIONS** Submit the completed Form EIA-423 to the EIA within 45 calendar days of the close of the month.

1. Verify all information, including operator and plant names and identification numbers; plant site address; contact name, address, telephone number, FAX number, title, and e-mail address; and the contact's supervisor's name, title, phone number, and e-mail address. If incorrect, revise the incorrect entry and provide the correct information. State codes are two-character U.S. Postal Service abbreviations. Provide any missing information.

**2. Revision Policy:**

**Correcting Data.** Submit revisions to data previously reported as soon as possible after the error or omission is discovered via email to [eia-423@eia.doe.gov](mailto:eia-423@eia.doe.gov). Do not wait to revise data until the next reporting month's form is due to submit a revision. Revisions or adjustments to data should be made only to the survey month(s) to which they pertain. (Do not adjust the current month to reflect a revision or adjustment to a prior month submission.)

**Correcting Preprinted Information.** Much of the information on the form is provided by EIA. If you need to correct or add to the administrative information, e.g., contact name or e-mail address, please note that PLANT NAME, PLANT CODE, OPERATOR NAME, AND OPERATOR CODE cannot be changed. Contact the survey manager if these items are incorrect.

**If you report via Internet Secure File Transfer (see below), you may send a corrected copy of the form, but be sure to indicate in the Footnotes Section (1) that it is a revision, (2) the month that is being revised, (3) what has been revised, and (4) the date of the revision.**

3. Plants that have **tolling agreements** in place for any of the fuel received cannot use the IDC on-line system. Instead they should report via **Internet Secure File Transfer**. Log on at <https://idc.eia.doe.gov/upload/notice423.jsp> and upload your file using the form provided by the survey manager. Please check "yes" in the space provided on the form indicating that a tolling agreement is in place.

4. For **Column 'a' Purchase Type**, use the following codes for **coal and petroleum** purchases:

**C - Contract Purchase** of fuel received under a purchase order or contract that has a duration of **one year or longer**.

**NC – New Contract or Renegotiated Contract Purchase** under which deliveries were first made during the reporting month.

**S - Spot-Market Purchase** of fuel received under a purchase order or contract that has a duration of **less than one year**.

For **Column 'a' Purchase Type**, use the following codes for **gas** purchases:

**F - Firm Purchase** where contract anticipates no interruption of service.

**I - Interruptible Purchase** where either volume or pipeline capacity is made available but without a guarantee of delivery due to a prior claim by another customer or another class of service.

**S - Spot-Market Purchase** where either the volume or pipeline capacity is made available for a limited duration (daily, weekly, or monthly interval).

**INSTRUCTIONS  
continued**

5. Electric generating plants and Combined Heat and Power (CHP) plants should report all deliveries of fossil fuels received. Fuel which has been purchased but sent to a remote, off-site storage plant, should not be reported until it is actually delivered to the plant. Examples include:

- a. **Coal, which is purchased and sent to a river dock for storage before final shipment to the plant.** This coal should not be reported on the EIA-423 until it is actually delivered to the plant. The filing to EIA should show as the source of the coal the originating mine(s) if information can be obtained from the inventory accounting or estimated; otherwise, the dock should be shown as the origin source. The delivered price of the coal should be the total cost including the purchase price plus all transportation, handling and storage costs associated with moving the coal from the mine to the plant.
- b. **Natural gas, which has been purchased and injected into storage.** This gas should not be reported on the EIA-423 until it is actually delivered to the plant. The delivered price of the gas should be the total cost including the purchase price plus all transportation and storage costs associated with moving the gas to the plant.

**Coal:** Report data by supplier. Data on coal received under each purchase order or contract with a supplier should be reported separately. Aggregation of coal receipt data into a single line item is allowed if the coal is received under the same purchase order or contract and the purchase type, fuel, mine type, State of origin, county of origin, and supplier are identical for each delivery. For example, 10 trainloads of contract, surface-mined subbituminous coal from the Black Thunder mine in Campbell County, Wyoming may be reported as one line item. The reported quality and cost data would then be a weighted average of the aggregated deliveries.

**Coal received from spot-market purchases and from contract purchases should never be aggregated and reported as one line item.** If coal received under a purchase order or contract originates in more than one county and a county-level breakdown is not available, report estimates for each county. If estimates are not available, report the origin as the county where the majority of the coal originates.

**Petroleum and Gas:** Report data by supplier, or aggregate by pipeline or distributor. Aggregation of fuel deliveries from various suppliers is allowed only if the purchase type and fuel are identical. The reported cost and quality data would be the weighted average of the aggregated deliveries. Contract and spot-market purchases must be reported as separate line items. Firm, interruptible, or spot-market purchases must be reported as separate line items and should never be aggregated and reported as one delivery.

6. For **Column 'b' Expiration Date**, enter the month and the year the purchase order or contract expires if the expiration date is within 24 months of the survey-reporting month. For example, report "1105" for a November 2005 expiration date. This column should be left blank if **Column 'a' Purchase Type** contains an "S" for spot-market purchase.

**INSTRUCTIONS**  
continued

7. For **Column 'c' Fuel**, identify purchased fossil fuels (including start-up and flame stabilization fuel) using the following abbreviations:

		"Higher Heating Value" Range (Million Btu per unit of Fuel)			
	Energy Source Code	Units	Low Value	High Value	Energy Source Description
<b>Coal and Syncoal</b>	BIT	tons	20	29	Anthracite Coal, Bituminous Coal
	LIG	tons	5.5	16.6	Lignite Coal
	SC	tons	10	35	Coal-based Synfuel. Including briquettes, pellets, or extrusions, which are formed by binding materials and processes that recycle material/
	SUB	tons	15	20	Subbituminous Coal
	WC	tons	5.5	30	Waste/Other Coal. Including anthracite culm, bituminous gob fine coal lignite waste, waste coal.
<b>Petroleum Products</b>	DFO	barrels	5.5	6.2	Distillate Fuel Oil. Including all Diesel and No. 1, No. 2, and No. 4 Fuel Oils.
	JF	barrels	5	6	Jet Fuel
	KER	barrels	5.6	6.1	Kerosene
	PC	tons	24	30	Petroleum Coke
	RFO	barrels	5.8	6.8	Residual Fuel Oil. Including No. 5 and No. 6 Fuel Oils and Bunker C Fuel Oil.
	WO	barrels	3.0	5.8	Waste/Other Oil. Including Crude Oil, Liquid Butane, Liquid Propane, Oil Waste, Re-Refined Motor Oil, Sludge Oil, Tar Oil, or other petroleum-based liquid wastes.
<b>Natural Gas and Other Gases</b>	BFG	Mcf	0.07	0.12	Blast Furnace Gas
	NG	Mcf	0.8	1.1	Natural Gas
	OG	Mcf	0.32	3.3	Other Gas

8. For **Column 'd' Coal Mine Type**, insert "S" for surface-mined or "U" for underground-mined. If the coal received is a blend of surface and underground, use "S/U" or "U/S." This notation will result in a 0.67/0.33 allocation. Do not combine separate deliveries of surface-mined coal and underground-mined coal using the designation of "S/U" or "U/S." These must be reported using the corresponding "S" or "U" mine type.
9. For **Column 'e' Coal Mine State**, use the two letter U.S. Postal Service abbreviation to show the State in which the coal was mined. Do not report the location of the preparation plants or transfer facilities, but rather the location of the mine(s). Verify the State of origin with the supplier. If the origin cannot be determined, report the State of origin based on the most likely probability and footnote accordingly.

For imported coal, insert the 2-letter code shown below.

AS – Australia; CN – Canada; CL – Colombia; ID – Indonesia; PL – Poland; RS – Russia; VZ – Venezuela; OT – Other.

**INSTRUCTIONS  
continued**

10. For **Column 'f' Coal Mine County Code**, insert the three-digit Federal Information Processing Standards (FIPS) County Code, to show the county in which the coal was mined. (For IDC users, a dropdown list is provided for your convenience. Double click on the county code box to access the dropdown list.) Do not report the location of the transfer facilities, shipping facilities, preparation plants, or mining company headquarters. Use only the mine location to determine the county of origin. If the coal from the supplier originates from more than one county, use separate lines to show county of origin and appropriate quantity, quality, and cost data. For imported coal, county of origin may be left blank.
11. For **Column 'g' Supplier**, enter the name of the mine and company or the broker for all coal receipts. For petroleum receipts, enter the name of the company or broker. For gas receipts, enter the name of the pipeline, distributor, broker, or producer.
12. For **Column 'h' Quantity Received**, enter quantities in tons for coal and other solid fuels, barrels for oil and other liquid fuels, and thousands of cubic feet for gas.
13. For **Column 'i' Btu Content**, enter the average Btu content for each fuel in terms of million Btu (MMBtu) per ton for solid fuel, MMBtu per barrel for liquid fuel, and MMBtu per thousand cubic feet for gas. Show to the nearest 0.01 MMBtu.
14. For **Column 'j' Sulfur Content**, for all fuels except gas, enter the sulfur content of the fuel in terms of percent sulfur by weight. Show to the nearest 0.01 percent.
15. For **Column 'k' Ash Content**, for all fuels except gas, enter the ash content of the fuel in terms of percent ash by weight. Show to the nearest 0.1 percent. Footnote if the reported ash content for coal is an estimate.
16. For **Column 'l' Delivered Fuel Cost - Plant Purchase Price**, enter the delivered cost of the fuel in **cents** per million Btu to the nearest 0.1 cent. This cost should include all costs incurred in the purchase and delivery of the fuel to the plant. It should not include unloading costs. Do not include adjustments associated with prior month's fuel costs. The delivered price for fuel shipped under contract should include any penalties/premiums paid or expected to be paid on the fuel delivered during the month. These adjustments should be made only by revising the appropriate prior month's submissions. **The current month fuel costs should reflect only costs associated with the current month fuel deliveries.**

**Components of Price:** The price reported on the EIA-423 is a delivered price. This delivered price should include: a) the commodity cost of the fuel; and b) the transportation charges paid to move the fuel to the plant. Ancillary costs and revenues associated with either the supply purchase or transportation parts of the transaction should not be included in the delivered price. Examples of these ancillary costs and revenues include:

- a. The cost of leasing or maintaining railcars, if this expense is paid separate from the rail rate.
- b. Capacity release revenues from the sale of unused firm natural gas transportation capacity.
- c. Revenues from the sale of fuel which was purchased and resold, even if a portion of the purchase is delivered to the plant.
- d. Costs associated with unloading fuel at the plant or on-site fuel storage.
- e. Costs or revenues associated with the disposal or clean up of combustion residuals, such as ash disposal.

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<b>GLOSSARY</b>	<p>The glossary for this form is available online at the following URL:  <a href="http://www.eia.doe.gov/cneaf/electricity/page/define.html">http://www.eia.doe.gov/cneaf/electricity/page/define.html</a></p>	
<b>SANCTIONS</b>	<p>The timely submission of Form EIA-423 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. <b>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.</b></p>	
<b>REPORTING BURDEN</b>	<p>Public reporting burden for this collection of information is estimated to average 1.3 hours per response, including the time of 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, Statistics and Methods Group, EI-70 Forrestal Building, 1000 Independence Avenue SW, 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.</p>	
<b>INFORMATION PROTECTION</b>	<p>All information other than <b>Delivered Fuel Cost – Plant Purchase Price</b> reported on Form EIA-423 will not be treated as protected and may be publicly released in identifiable form. In addition to the use of the information by EIA for statistical purposes, the information may be used for any nonstatistical purposes such as administrative, regulatory, law enforcement, or adjudicatory purposes.</p> <p>The Delivered Fuel Cost – Plant Purchase Price information reported on the EIA-423 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 DOE regulations, 10 C.F.R. §1004.11, implementing the FOIA, and the Trade Secrets Act, 18 U.S.C. §1905.</p> <p>The Federal Energy Administration Act requires the 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 General Accounting 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.</p> <p>Disclosure limitation procedures are applied to the statistical data published from Form EIA-423 protected survey information to ensure that the risk of disclosure of identifiable information is very small.</p>	