

Appendix A.

Technical Notes

This appendix describes how the U.S. Energy Information Administration collects, estimates, and reports electric power data in the *Electric Power Annual*.

Data Quality and Submission

The *Electric Power Annual (EPA)* is prepared by the Office of Electricity, Renewables, and Uranium Statistics (ERUS), U.S. Energy Information Administration (EIA), U.S. Department of Energy (DOE). ERUS performs routine reviews of the data collection respondent frames, survey forms, and reviews the quality of the data received.

Data are entered directly by respondents into the ERUS Internet Data Collection (IDC) system. A small number of hard copy forms are keyed into the system by ERUS personnel. All data are subject to review via interactive edits built into the IDC system, internal quality assurance reports, and review by ERUS subject matter experts. Questionable data values are verified through contacts with respondents, and survey non-respondents are identified and contacted.

IDC edits include both deterministic checks, in which records are checked for the presence of data in required fields, and statistical checks, in which the data are checked against a range of values based on historical data values and for logical or mathematical consistency with data elements reported in the survey. Discrepancies found in the data, as a result of these checks, must either be corrected by the respondent or the respondent must enter an explanation as to why the data are correct. If these explanations are unsatisfactory the respondent is contacted by EIA for clarification or corrected data.

Those respondents unable to use the electronic reporting method provide the data in hard copy, typically via fax and email. These data are manually entered into the computerized database and are subjected to the same data edits as those performed during e-filing by the respondent.

Reliability of Data

Annual survey data have non-sampling errors. Non-sampling errors can be attributed to many sources: (1) inability to obtain complete information about all cases (i.e., non-response); (2) response errors; (3) definitional difficulties; (4) differences in the interpretation of questions; (5) mistakes in recording or coding the data; and (6) other errors of collection, response, coverage, and estimation for missing data.

Although no direct measurement of the biases due to non-sampling errors can be obtained, precautionary

steps were taken in all phases of the frame development and data collection, processing, and tabulation processes to minimize their influence.

Imputation: If the reported values appear to be in error and the data issue cannot be resolved with the respondent, or if the facility is a non-respondent, a regression methodology is used to impute for the facility. The regression methodology relies on other data to make estimates for erroneous or missing responses. The basis for the current methodology involves a 'borrowing of strength' technique for small domains.¹

Data Revision Procedure

The *EPA* presents the most current and complete data available to the EIA. The statistics may differ from those published previously in EIA publications due to corrections, revisions, or other adjustments to the data subsequent to its original release.

After data are disseminated as final, revisions will be considered if a correction would make a difference of 1 percent or greater at the national level. Revisions for differences that do not meet the 1 percent or greater threshold will be determined by the Office Director. In either case, the proposed revision will be subject to the EIA revision policy concerning how it affects other EIA products.

Sensitive Data (formerly identified as Data Confidentiality): Most of the data collected on the electric power surveys are not considered business sensitive. However, the data that are classified as sensitive are handled by ERUS consistent with EIA's "Policy on the Disclosure of Individually Identifiable Energy Information in the Possession of the EIA" (45 Federal Register 59812 (1980)).

Rounding and Percent Change Calculations

Rounding Rules for Data: To round a number to n digits (decimal places), add one unit to the nth digit if the (n+1) digit is 5 or larger and keep the nth digit unchanged if the (n+1) digit is less than 5. The symbol for a number rounded to zero is (*).

Percent Change: The following formula is used to calculate percent differences.

$$\text{Percent Change} = \left(\frac{x(t_2) - x(t_1)}{x(t_1)} \right) \times 100,$$

where $x(t_1)$ and $x(t_2)$ denote the quantity at period t_1 and subsequent period t_2 .

Data Sources for *Electric Power Annual*

Data published in the *EPA* are compiled from forms filed annually or aggregated to an annual basis from monthly forms (see figure on EIA Electric Industry Data Collection in Appendix A). The respondents to these forms include electric utilities, other generators and sellers of electricity, and North American Electric Reliability Corporation (NERC) reliability entities. The EIA forms used are:

- Form EIA-411, “Coordinated Bulk Power Supply Program Report;”
- Form EIA-860, “Annual Electric Generator Report;”
- Form EIA-861, “Annual Electric Power Industry Report;”
- Form EIA-923, “Power Plant Operations Report.”

These forms can be found on the EIA Internet website at: <http://www.eia.gov/cneaf/electricity/page/forms.html>.

Survey data from other Federal sources are also utilized for this publication. They include:

- DOE Form OE-781R, “Annual Report of International Electric Export/Import Data” (Office of Electricity Delivery and Energy Reliability);
- FERC Form 1, “Annual Report of Major Electric Utilities, Licensees, and Others;”
- U. S. Department of Agriculture (USDA) Rural Utility Service Form 7, “Financial and Statistical Report;” and
- USDA Rural Utility Service Form 12, “Operating Report – Financial.”

In addition to the above-named forms, the historical data published in the *EPA* are compiled from the following inactive forms:

- Form EIA-412, “Annual Electric Industry Financial Report,” FERC Form 423, “Cost and Quality of Fuels for Electric Plants;”
- Form EIA-423, “Monthly Cost and Quality of Fuels for Electric Plants Report;”
- Form EIA-759, “Monthly Power Plant Report;”
- Form EIA-767, “Steam-Electric Plant Operation and Design Report;”
- Form EIA-860A, “Annual Electric Generator Report–Utility;”
- Form EIA-860B, “Annual Electric Generator Report–Nonutility;”

- Form EIA-867, “Annual Nonutility Power Producer Report;”
- Form EIA-900, “Monthly Nonutility Power Report;”
- Form EIA-906, “Power Plant Report;” and
- Form EIA-920, “Combined Heat and Power Plant Report.”

Additionally, some data reported in this publication were acquired from public reports of the National Energy Board of Canada on electricity imports and exports.

Meanings of Symbols Appearing in Tables

The following symbols have the meaning described below:

- * The value reported is less than half of the smallest unit of measure, but is greater than zero.
- P Indicates a preliminary value.
- NM Data value is not meaningful, either (1) when compared to the same value for the previous time period, or (2) when a data value is not meaningful due to having a high Relative Standard Error (RSE).
- (*) Usage of this symbol indicates a number rounded to zero.

Form EIA-411

The information reported on the mandatory Form EIA-411 includes: (1) actual energy and peak demand for the preceding year and five additional years; (2) existing and future generating capacity and capacity reserve margins; (3) scheduled capacity transfers; (4) projections of capacity, demand, purchases, sales, and scheduled maintenance; (5) power flow cases; and (6) bulk power system maps. The data is collected for EIA by NERC from NERC regional reliability entities, which in turn aggregate reports from regional members. Non-member data is also included. The compiled data is reviewed and edited by NERC and submitted to EIA annually on July 15. The data undergoes additional review by EIA. EIA resolves any quality issues with NERC.

Instrument and Design History: The Form EIA-411 program was initiated under the Federal Power Commission (FPC) Docket R-362, Reliability and Adequacy of Electric Service, and Orders 383-2, 383-3, and 383-4. The DOE, established in October 1977, assumed the responsibility for this activity. The responsibility for collecting these data was delegated to the Office of Emergency Planning and Operations within the DOE and was transferred to EIA for the reporting year 1996. Until 2008, this form was voluntary. The data is collected under the authority of the Federal Power Act (Public Law 88-280), the

Federal Energy Administration Act of 1974 (Public Law 93-275), and the DOE Organization Act (Public Law 95-91).

Issues within Historical Data Series: The Florida Reliability Coordinating Council (FRCC) separated itself from the Southeastern Electric Reliability Council (SERC) in the mid-1990s and all time series data have been adjusted. In 1998, several utilities realigned from Southwest Power Pool (SPP) to SERC. Adjustments were made to the information to account for the separation and to address the tracking of shared reserve capacity that was under long-term contracts with multiple members. Name changes altered the Mid-Continent Area Power Pool (MAPP) to the Midwest Reliability Organization (MRO) and the Western Systems Coordinating Council (WSCC) to the Western Electricity Coordinating Council (WECC). The MRO membership boundaries have altered over time, but WECC membership boundaries have not. The utilities in the associated regional entity identified as the Alaska System Coordination Council (ASCC) dropped their formal participation in NERC. (Alaska and, obviously, Hawaii are electrically interconnected with the coterminous 48 States).

At the close of calendar year 2005, the following reliability regional councils were dissolved: East Central Area Reliability Coordination Agreement (ECAR), Mid-Atlantic Area Council (MAAC), and Mid-America Interconnected Network (MAIN). On January 1, 2006, the ReliabilityFirst Corporation (RFC) came into existence as a new regional reliability council. Individual utility membership in the former ECAR, MAAC, and MAIN councils mostly shifted to RFC. However, adjustments in membership, as utilities joined or left various reliability councils, impacted MRO, SERC, and SPP. The Texas Regional Entity (TRE) was formed to handle the regional reliability responsibilities of the Electric Reliability Council of Texas (ERCOT). The revised delegation agreements covering all the regions were approved by the FERC on March 21, 2008. Reliability Councils that are unchanged include: Florida Reliability Coordinating Council (FRCC), Northeast Power Coordinating Council (NPCC), and the Western Electricity Coordinating Council (WECC). The historical time series have not been adjusted to account for individual membership shifts.

The current NERC regional entity names are as follows:

- Florida Reliability Coordinating Council (FRCC),
- Midwest Reliability Organization (MRO),
- Northeast Power Coordinating Council (NPCC),
- ReliabilityFirst Corporation (RFC),

- Southeastern Electric Reliability Council (SERC),
- Southwest Power Pool (SPP),
- Texas Regional Entity (TRE), and
- Western Electricity Coordinating Council (WECC).

Changes Introduced in 2011: Starting in 2011, NERC modified the bulk power system *reporting* regions (in contrast to regional reliability entity *organizational* boundaries) to align them with electric market operations. Consequently, reliability data will be reported for the PJM and MISO regional transmission organization areas and the MAPP area rather than for the MRO and RFC regional areas.. This new framework, along with the other NERC regions, now forms the bulk power system reliability assessment areas.

Historically the MRO, RFC, SERC, and SPP regional boundaries were altered as utilities changed reliability organizations. In published EIA reports the historical data series for these regions have not been adjusted. Instead, starting in 2011, EIA has introduced the Balance of Eastern Region category to provide a consistent trend for the Eastern interconnection.

Concept of Demand within the EIA-411: The EIA-411 uses the following categorization of electricity demand:

- **Net Internal Demand:** Internal Demand less Direct Control Load Management and Interruptible Demand.
- **Internal Demand:** To collect these data, NERC develops a Total Internal Demand that is the sum of the metered (net) outputs of all generators within the system and the metered line flows into the system, less the metered line flows out of the system. The demand of station service or auxiliary needs (such as fan motors, pump motors, and other equipment essential to the operation of the generating units) is not included nor are any requirement customer (utility) load or capacity found behind the line meters on the system.
- **Direct Control Load Management:** Demand-Side Management that is under the direct control of the system operator. DCLM may control the electric supply to individual appliances or equipment on customer premises; it does not include Interruptible Demand.
- **Interruptible Demand:** The magnitude of customer demand that, in accordance with contractual arrangements, can be interrupted at the time of the Regional Council's seasonal peak by direct control of the System

Operator or by action of the customer at the direct request of the System Operator.

For additional information on demand, refer to the NERC's Long-Term Reliability Assessments at <http://www.nerc.com/page.php?cid=4|61>.

Sensitive Data: Power flow cases and maps are considered business sensitive.

Form EIA-412 (Terminated)

The Form EIA-412 was used annually to collect accounting, financial, and operating data from publicly owned electric utilities engaged in the generation, transmission, or distribution of electricity which had 150,000 megawatt-hours of sales to ultimate consumers and/or 150,000 megawatt-hours of sales for resale for the two previous years. Data was collected annually.

Beginning with the 2001 data collection, the plant statistics reported on Schedule 9 were also collected from unregulated entities that own plants with a nameplate capacity of 10 megawatts or greater. Beginning with the 2003 collection, the transmission data reported in Schedules 10 and 11 were collected from each generation and transmission cooperative owning transmission lines having a nominal voltage of 132 kilovolts or greater.

Instrument and Design History: The FPC created the FPC Form 1M in 1961 as a mandatory survey. It became the responsibility of the EIA in October 1977 when the FPC was merged with DOE and renamed the Federal Energy Regulatory Commission (FERC). In 1979, the FPC Form 1M was superseded by the Economic Regulatory Administration (ERA) Form ERA-412 and in January 1980 by the Form EIA-412.

The criteria used to select the respondents for this survey fit approximately 500 publicly owned electric utilities. Federal electric utilities were required to file the Form EIA-412. The financial data for the U.S. Army Corps of Engineers (except for Saint Mary's Falls at Sault Ste. Marie, Michigan); the U.S. Department of Interior, Bureau of Reclamation; and the U.S. International Boundary and Water Commission were collected on the Form EIA-412 from the Federal power marketing administrations. The form was terminated after the 2003 data year.

Issues within Historical Data Series: For 2001 - 2003, the California Department of Water Resources (CDWR) Electric Energy Fund data were included in the EIA-412 data tables. In response to the energy shortfall in California, in 2001 the California State legislature authorized the CDWR, using its undamaged borrowing capability, to enter the wholesale markets on behalf of the California retail customers effective on January 17, 2001 and for the period ending December 31, 2002. Their 2001 revenue collected was \$5,501,000,000 with purchased power costs of \$12,055,000,000. Their 2002 revenue

collected was \$4,210,000,000 with purchased power costs of \$3,827,749,811. Their 2003 revenue collected was \$4,627,000,000 with purchased power costs of \$4,732,000,000. The California Public Utility Commission was required by statute to establish the procedures for retail revenue recovery mechanisms for their purchase power costs in the future.

Sensitive Data: The nonutility data collected on Schedule 9 "Electric Generating Plant Statistics" for "Cost of Plant" and "Production Expenses," are considered business sensitive.

Form EIA-423 (Replaced in 2008 by the Form EIA-923)

The Form EIA-423, "Monthly Cost and Quality of Fuels for Electric Plants Report," collected the cost and quality of fossil fuels delivered to nonutility plants to produce electricity. These plants included independent power producers (including those facilities that formerly reported on the FERC Form 423) and commercial and industrial combined heat and power (CHP) producers whose total fossil-fueled nameplate generating capacity was 50 or more megawatts (MW). (CHP plants are sometimes referred to as co-generators. They produce heat, such as steam for use in a manufacturing process, along with electricity).

Instrument and Design History: The Form EIA-423² was implemented in January 2002 to collect monthly cost and quality data for fossil fuel receipts from owners or operators of nonutility electricity generating plants. It was terminated on January 1, 2008, and replaced by the Form EIA-923, "Power Plant Operations Report."

Issues within Historical Data Series: Natural gas values do not include blast furnace gas or other gas.

Sensitive Data: Plant fuel cost data collected on the survey are considered business sensitive. State- and national-level aggregations are published if sufficient data are available to avoid disclosure of individual company and plant level costs.

FERC Form 423 (Replaced in 2008 by Form EIA-923)

The FERC Form 423, "Monthly Report of Cost and Quality of Fuels for Electric Plants," was administered by FERC. The data were downloaded from the Commission's website into an EIA database. The Form was filed by approximately 600 regulated plants. To meet the criteria for filing, a plant must have had a total steam turbine electric generating capacity and/or combined-cycle (gas turbine with associated steam turbine) generating capacity of 50 or more megawatts. Only fuel delivered for use in steam-turbine and combined-cycle units was reported. Fuel received for use in gas-turbine or internal-combustion units that was not associated with a combined-cycle operation

was not reported. The FERC Form 423 was replaced after 2007 by the Form EIA-923.

Instrument and Design History: On July 7, 1972, the FPC issued Order Number 453 enacting the New Code of Federal Regulations, Section 141.61, creating the FPC Form 423. Originally, the form was used to collect data only on fossil-steam plants, but was amended in 1974 to include data on internal-combustion and combustion-turbine units. When DOE was formed in 1977, most of FPC became FERC. The FERC Form 423 replaced the FPC Form 423 in January 1983. The FERC Form 423 dropped stand-alone combustion turbines. In addition, the generator nameplate capacity threshold was changed from 25 megawatts to 50 megawatts. This reduction in coverage eliminated approximately 50 utilities and 250 plants. All historical FPC Form 423 data in this publication were revised to reflect the new generator-nameplate-capacity threshold of 50 or more megawatts reported on the FERC Form 423. In January 1991, the collection of data on the FERC Form 423 was extended to include combined cycle units. Historical data have not been revised to include these units. On January 1, 2008, EIA assumed responsibility for collection of these data and both the utility and nonutility plants began to report their cost and quality of fuels information on Schedule 2 of Form EIA-923, "Power Plant Operations Report."

Issues within Historical Data Series: These data were collected by FERC for regulatory rather than statistical and publication purposes. EIA did not attempt to resolve any late filing issues in the FERC Form 423 survey. The data were quality reviewed by EIA and when possible quality issues were resolved with FERC.

Natural gas values for 2001 forward do not include blast furnace gas or other gas.

Due to the estimation procedure described below in the discussion of the Form EIA-923, 2003 and later data cannot be directly compared to previous years' data.

Sensitive Data: Data collected on FERC Form 423 are not business sensitive.

Form EIA-767 (Replaced by Forms EIA-860 and EIA-923)

The Form EIA-767 was used to collect data annually on plant operations and equipment design, including boiler, generator, cooling system, air pollution control equipment, and stack characteristics. Data were collected from a mandatory restricted-universe census of all electric power plants with a total existing or planned organic-fueled or combustible renewable steam-electric generator nameplate rating of 10 or more megawatts. The entire form was filed by approximately 800 power plants with a nameplate capacity of 100 or more megawatts. An additional 600

power plants with a nameplate capacity under 100 megawatts submitted information only on fuel consumption and quality, boiler and generator configuration, and nitrogen oxides, mercury, particulate matter, and sulfur dioxide controls.

Instrument and Design History: The Federal Energy Administration Act of 1974 (Public Law 93-275) defines the legislative authority to collect these data. The predecessor form, FPC-67, "Steam-Electric Plant Air and Water Quality Control Data," was used to collect data from 1969 to 1980, when the form number was changed to Form EIA-767. In 1982, the form was completely redesigned and re-titled Form EIA-767, "Steam-Electric Plant Operation and Design Report." In 1986, the respondent universe of 700 plants was increased to 900 plants to include plants with nameplate capacity from 10 megawatts to 100 megawatts. In 2002, the respondent universe was increased by almost 1,370 plants with the addition of nonutility plants.

Collection of data via the form was suspended for the 2006 data year. Starting with the collection of 2007 calendar year data, most of the Form EIA-767 information is now collected on either the revised Form EIA-860, "Annual Electric Generator Report" or the new Form EIA-923, "Power Plant Operations Report."

Estimation of EIA-767 Data: No estimation of Form EIA-767 data was performed. Normally the survey had no non-response.

Issues within Historical Data Series: As noted above, no data were collected for calendar year 2006.

Sensitive Data: Latitude and longitude data collected on the Form EIA-767 were considered business sensitive.

Form EIA-860

The Form EIA-860 is a mandatory annual census of all existing and planned electric generating facilities in the United States with a total generator nameplate capacity of 1 or more megawatts. The survey is used to collect data on existing power plants and 10-year plans for constructing new plants, as well as generating unit additions, modifications, and retirements in existing plants. Data on the survey are collected at the individual generator level. Certain power plant environmental-related data are now collected at the boiler level. These data include environmental equipment design parameters and boiler air emission standards and boiler emission controls.

Instrument and Design History: The Form EIA-860 was originally implemented in January 1985 to collect plant data on electric utilities as of year-end 1984. It was preceded by several Federal Power Commission (FPC) forms including the FPC Form 4, Form 12 and 12E, Form 67, and Form 411. In January 1999, the

Form EIA-860 was renamed the Form EIA-860A and was implemented to collect data as of January 1, 1999.

In 1989, the Form EIA-867, "Annual Nonutility Power Producer Report," was initiated to collect plant data on unregulated entities with a total generator nameplate capacity of 5 or more megawatts. In 1992, the reporting threshold of the Form EIA-867 was lowered to include all facilities with a combined nameplate capacity of 1 or more megawatts. Previously, data were collected every 3 years from facilities with a nameplate capacity between 1 and 5 megawatts. In 1998, the Form EIA-867, was renamed Form EIA-860B, "Annual Electric Generator Report – Nonutility." The Form EIA-860B was a mandatory survey of all existing and planned nonutility electric generating facilities in the United States with a total generator nameplate capacity of 1 or more megawatts.

Beginning with data collected for the year 2001, the infrastructure data collected on the Form EIA-860A and the Form EIA-860B were combined into the new Form EIA-860 and the monthly and annual versions of the Form EIA-906. The Federal Energy Administration Act of 1974 (Public Law 93-275) defines the legislative authority to collect these data.

Starting with 2007, design parameters data formerly collected on Form EIA-767 were collected on Form EIA-860. These include design parameters associated with certain steam-electric plants' boilers, cooling systems, flue gas particulate collectors, flue gas desulfurization units, and stacks and flues.

Estimation of EIA-860 Data: EIA received forms from all 18,151 existing generators in the 2010 EIA-860 frame, so no imputation was required.

Issues within Historical Data Series Regarding Categorization of Capacity by Business Sector: There are a small number of electric utility CHP plants, as well as a small number of industrial and commercial generating facilities that are not CHP. For the purposes of this report the data for these plants are included, respectively, in the following categories: "Electricity Generators, Electric Utilities," "Combined Heat and Power, Industrial," and "Combined Heat and Power, Commercial."

Some capacity in 2001 through 2004 is classified based on the *operating company's* classification as an electric utility or an independent power producer. Starting in the *EPA 2006*, capacity by producer type was determined at the *power plant level* for 2005 and all subsequent data collections. This change required revisions to the original published 2005 data.

Issues within Historical Data Series Regarding Planned Capacity: Delays and cancellations may have occurred subsequent to respondent data reporting as of December 31 of the data year.

Issues within Historical Data Series Regarding Capacity by Energy Source: Prior to the *EPA 2005*, the capacity for generators for which natural gas or petroleum was the most predominant energy source was presented in the following three categories: petroleum only, natural gas only, and dual-fired. The dual-fired category, which was EIA's effort to infer which generators could fuel-switch between natural gas and fuel oil, included only the capacity of generators for which the most predominant energy source and second most predominant energy source were reported as natural gas or petroleum. Beginning in 2005, capacity is assigned to energy source based solely on the most predominant (primary) energy source reported for a generator. The "dual-fired" category was eliminated. Separately, summaries of capacity associated with generators with fuel-switching capability are presented for 2005 and later years. These summaries are based on data collected from new questions added to the Form EIA-860 survey that directly address the ability of generators to switch fuels and co-fire fuels.

In the *EPA 2005*, certain petroleum-fired capacity was misclassified as natural gas-fired capacity for 1995 – 2003. This was corrected in the *EPA 2006*. Corrections were noted as revised data.

Sensitive Data: The tested heat rate data collected on the Form EIA-860 are considered business sensitive.

Form EIA-861

The Form EIA-861 is a mandatory annual census of electric power industry participants in the United States. The survey is used to collect information on power sales and revenue data from approximately 3,300 respondents. About 3,200 are electric utilities, and the remainders are nontraditional entities such as energy service providers or the unregulated subsidiaries of electric utilities and power marketers.

Transportation Sector: Prior to 2003, sales of electric power for transportation (e.g., city subway systems) were included in the Other Sector, along with sales to customers for public buildings, traffic signals, public street lighting, and sales to irrigation consumers. Beginning with the 2003 data collection sales to the Transportation Sector were collected separately. The balance of the Other Sector was reclassified as Commercial Sector sales except that sales to irrigation customers, where separately identified, were reclassified to the Industrial Sector.

On the Form EIA-861, the Transportation Sector is defined as electrified rail, primarily urban transit, light rail, automated guideway, and other rail systems whose primary propulsive energy source is electricity. Electricity sales to Transportation Sector consumers whose primary propulsive energy source is not electricity (i.e., gasoline, diesel fuel, etc.) are not included.

Benchmark statistics were reviewed from outside surveys, most notably the U.S. Department of Transportation (DOT) Federal Transit Administration's National Transportation Database, a source previously used by EIA to estimate electricity transportation consumption. The DOT survey indicated the State and City locations of expected respondents. The Form EIA-861 survey methodology assumed that sales, revenue, and customer counts associated with these mass transit systems would be provided by the incumbent utilities in these areas, relying on information drawn routinely from rate schedules and classifications designed to serve the sector separately and distinctly. In 2010, 64 respondents reported transportation data in 28 States.

Data Reconciliation: The EPA reports total retail sales volumes (megawatthours) and customer counts in States with deregulated markets as the sum of bundled sales reported by full-service providers and delivery reported by transmission and distribution utilities. ERUS has concluded that the retail sales data reported by delivery utilities are more reliable than data reported by power marketers and Energy Service Providers (ESPs).

The reporting methodology change uses sales volumes and a customer count reported by distribution utilities, and modifies only an incremental revenue value, representing revenue associated with misreported sales assumed to be attributable to the ESPs that were under-represented in the survey frame.

Instrument and Design History: The Form EIA-861 was implemented in January 1985 for collection of data as of year-end 1984. The Federal Energy Administration Act of 1974 (Public Law 93-275) defines the legislative authority to collect these data.

Average Retail Price of Electricity: This value represents the cost per unit of electricity sold and is calculated by dividing retail electric revenue by the corresponding sales of electricity. The average retail price of electricity is calculated for all consumers and for each end-use sector.

The electric revenue used to calculate the average retail price of electricity is the operating revenue reported by the electric power industry participant. Operating revenue includes energy charges, demand charges, consumer service charges, environmental surcharges, fuel adjustments, and other miscellaneous charges. Electric power industry participant operating revenues also include ratepayer reimbursements for State and Federal income taxes and other taxes paid by the utility.

This computed average retail price of electricity reported in this publication by is a weighted average of consumer revenue and sales and does not equal the per kWh rate charged by the electric power industry participant to the individual consumers. Electric utilities typically employ a number of rate schedules

within a single sector. These alternative rate schedules reflect the varying consumption levels and patterns of consumers and their associated impact on the costs of the electric power industry participant for providing electrical service.

Issues within Historical Data Series: Changes from year to year in consumer counts, sales and revenues, particularly involving the commercial and industrial consumer sectors, may result from respondent implementation of changes in the definitions of consumers, and reclassifications. Utilities and energy service providers may classify commercial and industrial customers based on either NAICS codes or demands or usage falling within specified limits by rate schedule. The number of ultimate customers is an average of the number of customers at the close of each month. Also see the discussion of the Transportation Sector, above.

Demand-Side Management (DSM): The following definitions are supplied to assist in interpreting DSM data. Utility costs reflect the total cash expenditures for the year, in nominal dollars, that used to support DSM programs.

- **Actual Peak Load Reduction** is the actual reduction in annual peak load achieved by all program participants during the reporting year, at the time of annual peak load, as opposed to the installed peak load reduction capability (potential peak load reduction). Actual peak load reduction is reported by large utilities only.
- **Energy Savings** is the change in aggregate electricity use (measured in megawatthours) for consumers that participate in a utility DSM program. These savings represent changes at the consumer's meter (i.e., exclude transmission and distribution effects) and reflect only activities that are undertaken specifically in response to utility-administered programs, including those activities implemented by third parties under contract to the utility.
- **Large Utilities** are those electric utilities with annual sales to ultimate customers or sales for resale greater than or equal to 150 million kilowatthours in 1998-2009 and, for years prior, the threshold was set at 120 million kilowatthours.
- **Potential Peak Load Reduction** is the potential peak load reduction as a result of load management, and also the actual peak load reduction achieved by energy efficiency programs.

Sensitive Data: None.

Forms EIA-906 and EIA-920 (Replaced in 2008 by Form EIA-923)

The Form EIA-906 was used to collect plant-level data on generation, fuel consumption, stocks, and fuel heat content, from electric utilities and nonutilities. Data were collected monthly from a model-based sample of approximately 1,700 utility and nonutility electric power plants. The form was also used to collect these statistics from another 2,667 plants (i.e., all other generators 1 MW or greater) on an annual basis. The form was ended after the 2007 data collection and replaced by the Form EIA-923.

Instrument and Design History: The Bureau of Census and the U.S. Geological Survey collected, compiled, and published data on the electric power industry prior to 1936. After 1936, the FPC assumed all data collection and publication responsibilities for the electric power industry and implemented the Form FPC-4. The Federal Power Act, Section 311 and 312, and FPC Order 141 defined the legislative authority to collect power production data. The Form EIA-759 replaced the Form FPC-4 in January 1982. In 1996, the Form EIA-900 was initiated to collect sales for resale data from unregulated entities. In 1998, the Form EIA-900 was modified to collect sales for resale, gross generation, and sales to end user data. In 1999, the form was modified to collect net generation, consumption, and ending stock data. In 2000, the form was modified to include data on the production of useful thermal output (typically process steam) by combined heat and power (CHP) plants.

In January 2001, Form EIA-906 superseded Forms EIA-759 and EIA-900. In January 2004, Form EIA-920 superseded Form EIA-906 for those plants defined as CHP plants; all other plants that generated electricity continued to report on Form EIA-906. The Federal Energy Administration Act of 1974 (Public Law 93-275) defines the legislative authority to collect these data. In January 2008, the Form EIA-923 superseded this form.

Issues within Historical Data Series: A relatively small number electric commercial- and industrial-only plants are, for the purposes of this report, are included in the CHP data categories. The small number of electric utility plants that are CHP units are reported together with other utility plants. No information on the production of useful thermal output (UTO) or fuel consumption for UTO was collected or estimated for the electric utility CHP plants.

Sensitive Data: The only business sensitive data element collected on the Forms EIA-906 and EIA-920 was fuel stocks at the end of the reporting period.

Form EIA-923

Form EIA-923, "Power Plant Operations Report," is used to collect information on receipts and cost of fossil fuels, fuel stocks, generation, consumption of fuel for generation, and environmental data (e.g., emission controls and cooling systems).³ Data are collected from a monthly sample of approximately

1,900 plants, which includes a census of nuclear and pumped-storage hydroelectric plants. The plants in the monthly sample report their receipts, cost and stocks of fossil fuels, electric power generation, and the total consumption of fuels for both electric power generation and, if a CHP plant, useful thermal output.

At the end of the year, the monthly respondents report their annual source and disposition of electric power (nonutilities only), and if applicable, the environmental data on the Form EIA-923 Supplemental Form (Schedules 6, 7, and 8A to 8F). Approximately 3,900 plants, representing all generators not included in the monthly sample and with a nameplate capacity of 1 MW or more, report data on the entire form annually. In addition to electric power generating plants, respondents include fuel storage terminals without generating capacity that receive shipments of fossil fuel for eventual use in electric power generation. The monthly data are due by the last day of the month following the reporting period.

Receipts of fossil fuels, fuel cost and quality information, and fuel stocks at the end of the reporting period are all reported at the plant level. Fuel receipts and costs are collected from plants with a nameplate capacity of 50 MW or more and burn fossil fuels. Plants that burn organic fuels and have a steam turbine capacity of at least 10 megawatts report consumption at the boiler level and generation at the generator level for each month, regardless of whether the plant reports in the monthly sample or reports annually. For all other plants, consumption is reported at the prime-mover level and generation is reported at the prime-mover level or, for noncombustible sources (e.g., wind, nuclear), at the prime-mover and energy source levels (including generating units for nuclear only). The source and disposition of electricity are reported annually for nonutilities at the plant level, as is revenue from sales for resale. Additional operational data, including environmental data, are collected annually from facilities that have a steam turbine capacity of at least 10 megawatts.

Instrument and Design History: See discussion of predecessor forms (EIA-906, -920, -767, and -423, and FERC Form 423).

Imputation: For data collected monthly, regression prediction, or imputation, is done for all missing data including non-sampled units and any non-respondents. For data collected annually, imputation is performed for non-respondents. For gross generation and total fuel consumption, multiple regression is used for imputation (see discussion, above). Only approximately 0.02 percent of the national total generation for 2010 is imputed, although this will vary by State and energy source.

When gross generation is reported and net generation is not available, net generation is estimated by using a fixed ratio to gross generation by prime-mover type

and installed environmental equipment. These ratios are:

Net Generation = (Factor) x Gross Generation
<u>Prime Movers:</u>
Combined Cycle Steam - 0.97
Combined Cycle Single Shaft - 0.97
Combined Cycle Combustion Turbine - 0.97
Compressed Air - 0.97
Fuel Cell - 0.99
Gas Turbine - 0.98
Hydroelectric Turbine - 0.99
Hydroelectric Pumped Storage - 0.99
Internal Combustion Engine - 0.98
Other - 0.97
Photovoltaic - 0.99
Steam Turbine - 0.97
Wind Turbine - 0.99
<u>Environmental Equipment:</u>
Flue Gas Desulfurization - 0.97
Flue Gas Particulate 0.99
All Others - 0.97

For stocks, a linear combination of the prior month's ending stocks value and the current month's consumption and receipts values is used.

Receipts of Fossil Fuels: Receipts data, including cost and quality of fuels, are collected at the plant level from selected electric generating plants and fossil-fuel storage terminals in the United States. These plants include independent power producers, electric utilities, and commercial and industrial CHP producers whose total fossil-fueled nameplate capacity is 50 megawatts or more (excluding storage terminals, which do not produce electricity). The data on cost and quality of fuel shipments are then used to produce aggregates and weighted averages for each fuel type at the State, Census division, and U.S. levels.

The units for receipts are: 1) coal and petroleum coke, tons and million Btu per ton; 2) petroleum, barrels and million Btu per barrel.; and gases in thousand cubic feet (Mcf) and million Btu per thousand cubic foot.

Methodology to Estimate Biogenic and Non-biogenic Municipal Solid Waste:⁴ Municipal Solid Waste (MSW) consumption for generation of electric power is split into its biogenic and non-biogenic components beginning with 2001 data by the following methodology:

- The tonnage of MSW is reported on the Form EIA-923. The composition of MSW and categorization of the components were obtained from the Environmental Protection Agency (EPA) publication, *Municipal Solid Waste in the United States: 2005 Facts and*

Figures. The Btu contents of the components of MSW were obtained from various sources.

- The potential quantities of combustible MSW discards (which include all MSW material available for combustion with energy recovery, discards to landfill, and other disposal) were multiplied by their respective Btu contents. The EPA-based categories of MSW were then classified into renewable and non-renewable groupings. From this, EIA calculated how much of the energy potentially consumed from MSW was attributed to biogenic components and how much to non-biogenic components (see Table 1 and 2, below).⁵
- The percentages of biogenic and non-biogenic components of MSW are applied to the net and gross generation from MSW, splitting the generation into a renewable share (biogenic) and non-renewable share (non-biogenic). The tons of biogenic and non-biogenic components were estimated with the assumption that glass and metals were removed prior to combustion. The average Btu/ton for the biogenic and non-biogenic components is estimated by dividing the total Btu consumption by the total tons. Published net generation attributed to biogenic MSW and non-biogenic MSW is classified under Other Renewables and Other, respectively.

Table 1. Btu Consumption for Biogenic and Non-biogenic Municipal Solid Waste (percent)

	2001	2002	2003	2004	2005	2006
Biogenic	57	56	55	55	56	56
Non-biogenic	43	44	45	45	44	44

Table 2. Tonnage Consumption for Biogenic and Non-biogenic Municipal Solid Waste (percent)

	2001	2002	2003	2004	2005	2006
Biogenic	77	77	76	76	75	75
Non-biogenic	23	23	24	24	25	25

Useful Thermal Output (UTO): With the implementation of the Form EIA-923, "Power Plant Operations Report," in 2008, CHP plants were required to report total fuel consumed and electric power generation. Beginning with preliminary January 2008 data, EIA estimated the allocation of the total fuel consumed at CHP plants between electric power generation and UTO.

The estimated allocation methodology is summarized in the following paragraphs. The methodology was

retroactively applied to 2004-2007 data. Prior to 2004, UTO was collected on the Form EIA-906 and an estimated allocation of fuel for electricity was not necessary.

First, an efficiency factor is determined for each plant and prime mover type. Based on data for electric power generation and UTO collected in 2003 (on Form EIA-906, "Power Plant Report"), efficiency was calculated for each prime mover type at a plant. The efficiency factor is the total output in Btu, including electric power and UTO, divided by the total input in Btu. Electric power is converted to Btu at 3,412 Btu per kilowatthour.

Second, to calculate the amount of fuel for electric power, the gross generation in Btu is divided by the efficiency factor. The fuel for UTO is the difference between the total fuel reported and the fuel for electric power generation. UTO is calculated by multiplying the fuel for UTO by the efficiency factor.

In addition, if the total fuel reported is less than the estimated fuel for electric power generation, then the fuel for electric power generation is equal to the total fuel consumed, and the UTO will be zero.

Issues within Historical Data Series for Receipts and Cost and Quality of Fossil Fuels: Values for receipts of natural gas for 2001 forward do not include blast furnace gas or other gas.

Historical data collected on FERC Form 423 and published by EIA have been reviewed for consistency between volumes and prices and for their consistency over time. However, these data were collected by FERC for regulatory rather than statistical and publication purposes. EIA did not attempt to resolve any late filing issues in the FERC Form 423 data. In 2003, EIA introduced a procedure to estimate for late or non-responding entities that were required to report on the FERC Form 423. Due to the introduction of this procedure, 2003 and later data cannot be directly compared to previous years' data.

Prior to 2008, regulated plants reported receipts data on the FERC Form 423. These plants, along with unregulated plants, now report receipts data on Schedule 2 of Form EIA-923. Because FERC issued waivers to Form 423 filing requirements to some plants who met certain criteria, and because not all types of generators were required to report (only steam turbines and combined cycle units reported), a significant number of plants either did not submit fossil fuel receipts data or submitted only a portion of their fossil fuel receipts. Since Form EIA-923 does not have exemptions based on generator type, or reporting waivers, receipts data from 2008 and later cannot be directly compared to previous years' data for the regulated sector.

Also beginning with January 2008 data, tables for total receipts included imputed quantities for plants

with capacity one megawatt or more, to be consistent with other electric power data. Previous published receipts data were from plants at or over a 50 megawatt threshold, which was a legacy of their original collection as information for a regulatory agency, not as a survey to provide more meaningful estimates of totals for statistical purposes. Totals appeared to become smaller as more electric production came from unregulated plants, until the Form EIA-423 was created to help fill that gap. As a further improvement, estimation of all receipts for the universe normally depicted in the *EPA* (i.e., one megawatt and above), with associated relative standard errors, provides a more complete assessment of the market.

Issues within Historical Data Series for Generation and Consumption: Beginning in 2008, a new method of allocating fuel consumption between electric power generation and UTO was implemented (see above). This new methodology evenly distributes a CHP plant's losses between the two output products (electric power and UTO). In the historical data, UTO was consistently assumed to be 80 percent efficient and all other losses at the plant were allocated to electric power. This change causes the fuel for electric power to be lower while the fuel for UTO is higher as both are given the same efficiency. This results in the appearance of an increase in efficiency of production of electric power between periods.

Sensitive Data: The total delivered cost of fuel delivered to nonutilities, the commodity cost of fossil fuels, and fuel stocks are considered business sensitive.

Air Emissions

This section describes the methodology for calculating estimated emissions of carbon dioxide (CO₂) from electric generating plants for 1989 through 2009, as well as the estimated emissions of sulfur dioxide (SO₂) and nitrogen oxides (NO_x) from electric generating plants for 2001 through 2009. For a description of the methodology used for other years, see the technical notes to the *EPA 2003*.

Methodology Overview: Initial estimates of uncontrolled SO₂ and NO_x emissions for all plants are made by applying an emissions factor to fuel consumption data collected by EIA on the Form EIA-923. An emission factor is the average quantity of a pollutant released from a power plant when a unit of fuel is burned, assuming no use of pollution control equipment. The basic relationship is:

$$\text{Emissions} = \text{Quantity of Fuel Consumed} \times \text{Emission Factor}$$

Quantity is defined in physical units (e.g., tons of solid fuels, million cubic feet of gaseous fuels, and thousands of barrels of liquid fuels) for determining NO_x and SO₂ emissions. As discussed below,

physical quantities are converted to millions of Btus for calculating CO₂ emissions.

For some fuels, the calculation of SO₂ emissions requires including in the formula the sulfur content of the fuel measured in percentage of weight. Examples include coal and fuel oil. In these cases the formula is:

$$\text{Emissions} = \text{Quantity of Fuel Consumed} \times \text{Emission Factor} \times \text{Sulfur Content}$$

The fuels that require the percent sulfur as part of the emissions calculation are indicated in Table A1, which lists the SO₂ emission factors used for this report.

In the case of SO₂ and NO_x emissions, the factor applied to a fuel can also vary with the combustion system: a steam-producing boiler, a combustion turbine, or an internal combustion engine. In the case of boilers, NO_x emissions can also vary with the firing configuration of a boiler and whether or not the boiler is a wet-bottom or dry-bottom design.⁶ These distinctions are shown in Tables A1 and A2.

For SO₂ and NO_x, the initial estimate of uncontrolled emissions is reduced to account for the plant's operational pollution control equipment, when data on control equipment are available from the historical Form EIA-767 survey (i.e., data for the years 2005 and earlier) and the EIA-860 and EIA-923 surveys for the years 2007 through 2010. A special case for removal of SO₂ is the fluidized bed boiler, in which the sulfur removal process is integral with the operation of the boiler. The SO₂ emission factors shown in Table A1 for fluidized bed boilers already account for 90 percent removal of SO₂ since, in effect, the plant has no uncontrolled emissions of this pollutant.

Although SO₂ and NO_x emission estimates are made for all plants, in many cases the estimated emissions can be replaced with actual emissions data collected by the U.S. Environmental Protection Agency's (U.S. EPA's) Continuous Emissions Monitoring System (CEMS) program. (CEMS data for CO₂ are incomplete and are not used in this report.) The CEMS data account for the bulk of SO₂ and NO_x emissions from the electric power industry. For those plants for which CEMS data are available, the EIA estimates of SO₂ and NO_x emissions are employed for the limited purpose of allocating emissions by fuel, since the CEMS data itself do not provide a detailed breakdown of plant emissions by fuel. For plants for which CEMS data are unavailable, the EIA-computed values are used as the final emissions estimates.

There are a number of reasons why the historical data are periodically revised. These include data revisions, revisions in emission and technology factors, and changes in methodology. For instance, the 2008 EPA report features a revision in historic CO₂ values. This revision occurred due to a change in the accepted

methodology regarding adjustments made for the percentage combustion of fuels.

The emissions estimation methodologies are described in more detail below.

CO₂ Emissions: CO₂ emissions are estimated using the information on fuel consumption in physical units and the heat content of fuel collected on the Form EIA-923 and predecessors. Heat content information is used to convert physical units to millions of Btu (MMBtu) consumed. To estimate CO₂ emissions, the fuel-specific emission factor from Table A3 is multiplied by the fuel consumption in MMBtu.

The estimation procedure calculates uncontrolled CO₂ emissions. CO₂ control technologies are currently in the early stages of research and there are no commercial systems installed. Therefore, no estimates of controlled CO₂ emissions are made.

SO₂ and NO_x Emissions: To comply with environmental regulations controlling SO₂ emissions, many coal-fired generating plants have installed flue gas desulfurization (FGD) units. Similarly, NO_x control regulations require many fossil-fueled plants to install low-NO_x burners, selective catalytic reduction systems, or other technologies to reduce emissions. It is common for power plants to employ two or even three NO_x control technologies; accordingly, the NO_x emissions estimation approach accounts for the combined effect of the equipment (Table A4). However, control equipment information is available only for plants that reported on the Form EIA-923 and for historical data from the Form EIA-767. The Form EIA-860, EIA-923, and the historical EIA-767 surveys are limited to plants with boilers fired by combustible fuels⁷ with a minimum generating capacity of 10 megawatts (nameplate). Pollution control equipment data are unavailable from EIA sources for plants that did not report on the historical EIA-767 survey, or the Forms EIA-860 and EIA-923.

The following method is used to estimate SO₂ and NO_x emissions:

- For steam electric plants, uncontrolled emissions are estimated using the emission factors shown in Tables A1 and A2 as well as reported data on fuel consumption, sulfur content, and boiler firing configuration. Controlled emissions are then determined when pollution control equipment is present. Although information on control equipment was not collected in 2006, updates for new installations during this period were made based on EPA data. Beginning in 2007, these data were collected on the Forms EIA-860 and EIA-923. For SO₂, the reported efficiency of the plant's FGD units is used to convert uncontrolled to controlled emission estimates. For NO_x, the reduction percentages shown in Table A4 are applied to the uncontrolled estimates.

- For plants and prime movers not reported on the historical Form EIA-767 survey or Forms EIA-860 and EIA-923, uncontrolled emissions are estimated using the Table A1 and Table A2 emission factors and the following data and assumptions:
 - Fuel consumption is taken from the Form EIA-923 and predecessors.
 - The sulfur content of the fuel is estimated from fuel receipts for the plant reported on the Form EIA-923. When plant-specific sulfur content data are unavailable, the national average sulfur content for the fuel, computed from the Form EIA-923 is applied to the plant.
 - As noted earlier, the emission factor for plants with boilers depends in part on the type of combustion system, including whether a boiler is wet-bottom or dry-bottom, and the boiler firing configuration. However, this boiler information is unavailable for steam electric plants that did not report on the historical Forms EIA-767 or EIA-860. For these cases, the plant is assumed to have a dry-bottom, non-cyclone boiler using a firing method that falls into the “All Other” category shown on Table A1.⁸
 - For the plants that did not report on the historical Form EIA-767 or EIA-860, pollution control equipment data are unavailable and the uncontrolled estimates are not reduced.
- If actual emissions of SO₂ or NO_x are reported in the EPA’s CEMS data, the EIA estimates are replaced with the CEMS values, using the EIA estimates to allocate the CEMS plant-level data by fuel. If CEMS data are unavailable, the EIA estimates are used as the final values.

Conversion of Petroleum Coke to Liquid Petroleum

The quantity conversion is 5 barrels (of 42 U.S. gallons each) per short ton (2,000 pounds).

Relative Standard Error

The relative standard error (RSE) statistic, usually given as a percent, describes the magnitude of sampling error that might reasonably be incurred. The RSE is the square root of the estimated variance, divided by the variable of interest. The variable of interest may be the ratio of two variables, or a single variable.

The sampling error may be less than the non-sampling error. In fact, large RSE estimates found in preliminary work with these data have often indicated non-sampling errors, which were then identified and corrected. Non-sampling errors may be attributed to many sources, including response errors, definitional difficulties, differences in the interpretation of questions, mistakes in recording or coding data obtained, and other errors of collection, response, or coverage. These non-sampling errors also occur in complete censuses.

Using the Central Limit Theorem, which applies to sums and means such as are applicable here, there is approximately a 68-percent chance that the true total or mean is within one RSE of the estimated total. Note that reported RSEs are always estimates, themselves, and are usually, as here, reported as percents. As an example, suppose that a net generation from coal value is estimated to be 1,507 total million kilowatthours with an estimated RSE of 4.9 percent. This means that, ignoring any non-sampling error, there is approximately a 68-percent chance that the true million kilowatthour value is within approximately 4.9 percent of 1,507 million kilowatthours (that is, between 1,433 and 1,581 million kilowatthours). Also under the Central Limit Theorem, there is approximately a 95-percent chance that the true mean or total is within 2 RSEs of the estimated mean or total.

Note that there are times when a model may not apply, such as in the case of a substantial reclassification of sales, when the relationship between the variable of interest and the regressor data does not hold. In such a case, the new information represents only itself, and such numbers are added to model results when estimating totals. Further, there are times when sample data may be known to be in error, or are not reported. Such cases are treated as if they were never part of the model-based sample, and values are imputed.

Business Classification

Nonutility power producers consist of entities that own or operate electric generating units but are not subject to direct economic regulation of rates, such as by state utility commissions. Nonutility power producers do not have a designated franchised service area. In addition to entities whose primary business is the production and sale of electric power, entities with other primary business classifications can and do sell electric power. These can consist of, for example, manufacturing facilities and paper mills.

The EIA, in the *EPA* and other data products, classifies nonutility power producers into the following categories:

- The Electric Power Sector consists of the combination of utilities and independent power producers (IPPs) whose primary

business is selling electricity in the public markets.

- The Industrial Sector are power producers whose primary business falls under NAICS⁹ classifications of Agriculture, Forestry, Fishing, Mining, Construction, or Manufacturing.
- The Commercial Sector are those facilities where the primary business falls under NAICS classifications of Transportation and Public (non-electric) Utilities, Wholesale Trade, Retail Trade, Finance, Insurance, Services, Public Administration, and Real Estate.

Each of these nonutility sectors is further divided into facilities which do or do not operate as CHP plants.

The following is a list of the main NAICS classifications and the category of primary business activity within each classification.

Agriculture, Forestry, and Fishing

- 111 Agriculture production-crops
- 112 Agriculture production, livestock and animal specialties
- 113 Forestry
- 114 Fishing, hunting, and trapping
- 115 Agricultural services

Mining

- 211 Oil and gas extraction
- 2121 Coal mining
- 2122 Metal mining
- 2123 Mining and quarrying of nonmetallic minerals except fuels

Construction

23

Manufacturing

- 311 Food and kindred products
- 3122 Tobacco products
- 314 Textile and mill products
- 315 Apparel and other finished products made from fabrics and similar materials
- 316 Leather and leather products
- 321 Lumber and wood products, except furniture
- 322 Paper and allied products (other than 322122 or 32213)
- 322122 Paper mills, except building paper
- 32213 Paperboard mills
- 323 Printing and publishing
- 325 Chemicals and allied products (other than 325188, 325211, 32512, or 325311)
- 32512 Industrial organic chemicals
- 325188 Industrial Inorganic Chemicals
- 325211 Plastics materials and resins

- 325311 Nitrogenous fertilizers
- 324 Petroleum refining and related industries (other than 32411)
- 32411 Petroleum refining
- 326 Rubber and miscellaneous plastic products
- 327 Stone, clay, glass, and concrete products (other than 32731)
- 32731 Cement, hydraulic
- 331 Primary metal industries (other than 331111 or 331312)
- 331111 Blast furnaces and steel mills
- 331312 Primary aluminum
- 332 Fabricated metal products, except machinery and transportation equipment
- 333 Industrial and commercial equipment and components except computer equipment
- 3345 Measuring, analyzing, and controlling instruments, photographic, medical, and optical goods, watches and clocks
- 335 Electronic and other electrical equipment and components except computer equipment
- 336 Transportation equipment
- 337 Furniture and fixtures
- 339 Miscellaneous manufacturing industries

Transportation and Public Utilities

- 22 Electric, gas, and sanitary services
- 2212 Natural gas transmission
- 2213 Water supply
- 22131 Irrigation systems
- 22132 Sewerage systems
- 481 Transportation by air
- 482 Railroad transportation
- 483 Water transportation
- 484 Motor freight transportation and warehousing
- 485 Local and suburban transit and interurban highway passenger transport
- 486 Pipelines, except natural gas
- 487 Transportation services
- 491 United States Postal Service
- 513 Communications
- 562212 Refuse systems

Wholesale Trade

421 to 422

Retail Trade

441 to 454

Finance, Insurance, and Real Estate

521 to 533

Services

- 512 Motion pictures
- 514 Business services
- 514199 Miscellaneous services
- 541 Legal services
- 561 Engineering, accounting, research, and management
- 611 Education services

622	Health services
624	Social services
712	Museums, art galleries, and botanical and zoological gardens
713	Amusement and recreation services
721	Hotels
811	Miscellaneous repair services
8111	Automotive repair, services, and parking
812	Personal services
813	Membership organizations related services
814	Private households

Public Administration

92

¹ The basic technique employed is described in the paper "Model-Based Sampling and Inference," on the EIA website. Additional references can be found on the InterStat website (<http://interstat.statjournals.net/>). See the following sources: Knaub, J.R., Jr. (1999a), "Using Prediction-Oriented Software for Survey Estimation," InterStat, August 1999, <http://interstat.statjournals.net/>; Knaub, J.R. Jr. (1999b), "Model-Based Sampling, Inference and Imputation," EIA web site:

<http://www.eia.gov/cneaf/electricity/forms/eiawebme.pdf>; Knaub, J.R., Jr. (2005), "Classical Ratio Estimator," InterStat, October 2005, <http://interstat.statjournals.net/>; Knaub, J.R., Jr. (2007a), "Cutoff Sampling and Inference," InterStat, April 2007, <http://interstat.statjournals.net/>; Knaub, J.R., Jr. (2008), "Cutoff Sampling." Definition in Encyclopedia of Survey Research Methods, Editor: Paul J. Lavrakas, Sage, to appear; Knaub, J.R., Jr. (2000), "Using Prediction-Oriented Software for Survey Estimation - Part II: Ratios of Totals," InterStat, June 2000, <http://interstat.statjournals.net/>; Knaub, J.R., Jr. (2001), "Using Prediction-Oriented Software for Survey Estimation - Part III: Full-Scale Study of Variance and Bias," InterStat, June 2001, <http://interstat.statjournals.net/>.

² Due to the restructuring of the electric power industry, many plants which had historically submitted this information for utility plants on the FERC Form 423 (see subsequent section) were being transferred to the nonutility sector. As a result, a large percentage of fossil fuel receipts were no longer being reported. The Form EIA-423 was implemented to fill this void and to capture the data associated with existing nonregulated power producers. Its design closely follows that of the FERC Form 423.

³ The Form EIA-923 superseded Forms EIA-906, EIA-920, EIA-423, FERC Form 423, and part of Form EIA-767 in 2008. However, it was used to collect certain 2007 data including environmental data that previously were collected on the Form EIA-767, and utility and nonutility data collected annually on the Forms EIA-906 and EIA-920.

⁴ See the following sources: Bahillo, A. et al. Journal of Energy Resources Technology, "NOx and N2O Emissions During Fluidized Bed Combustion of Leather Wastes." Volume 128, Issue 2, June 2006. pp. 99-103; U.S. Energy Information Administration. *Renewable Energy Annual 2004*. "Average Heat Content of Selected Biomass Fuels." Washington, DC, 2005; Penn State Agricultural College Agricultural and Biological Engineering and Council for Solid Waste Solutions. Garth, J. and Kowal, P. Resource Recovery, Turning Waste into Energy, University Park, PA, 1993; Utah State University Recycling Center Frequently Asked Questions. Published at <http://www.usu.edu/recycle/faq.htm>. Accessed December 2006.

⁵ Biogenic components include newsprint, paper, containers and packaging, leather, textiles, yard trimmings, food wastes, and wood. Non-biogenic components include plastics, rubber and other miscellaneous non-biogenic waste.

⁶ A boiler's firing configuration relates to the arrangement of the fuel burners in the boiler, and whether the boiler is of conventional or cyclone design. Wet- and dry-bottom boilers use different methods to collect a portion of the ash that results from burning coal. For information on wet- and dry-bottom boilers, see the EIA Glossary at <http://www.eia.gov/glossary/index.html>. Additional information on wet- and dry-bottom boilers and on other aspects of boiler design and operation, including the differences between conventional and cyclone designs, can be found in Babcock and Wilcox, *Steam: Its Generation and Use*, 41st Edition, 2005.

⁷ Boilers that rely entirely on waste heat to create steam, including the heat recovery portion of most combined cycle plants, did not report on the historical Form EIA-767 or EIA-923.

⁸ The "All Other" firing configuration category includes, for example, arch firing and concentric firing. For a full list of firing method options for reporting on the historical Form EIA-767, see the form instructions, page xi, at <http://www.eia.gov/cneaf/electricity/forms/eia767.pdf>.

⁹ Business classifications are based on the North American Industry Classification System (NAICS).