



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.

The data collected on this form may appear in the following U.S. Energy Information Administration (EIA) and Office of Electricity Delivery and Energy Reliability (OE) publications: *Electric Power Annual*, *Annual Energy Review*, *Annual Energy Outlook*, *Electric Power Monthly*, and *Transactions Across International Borders*.

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

The Form EIA-111 is collected using the **Secure File Transfer**.

Instructions: Save this file to your desktop. Open the saved file in Excel and enter the data. Resave the excel file to your desktop before you send it by Secure File Transfer.

Click the link to the right to send data by Secure File Transfer: <https://signon.eia.doe.gov/upload/notice111.jsp>

There are other filing options that are not secure if you are unable to use Secure File Transfer: E-mail: eia-111@eia.gov or fax the form to: (202) 287-1959 or (202) 287-1960, Attn: EIA-111. Note that commonly used facsimile and e-mail transmission travel over ordinary telephone lines and are not considered secure electronic methods of transmitting survey data.

Please retain a copy of your submission for your files.

QUESTIONS

For questions or additional information regarding the Form EIA-111, contact the Survey Manager:

Name: Michelle Bowles
Telephone: (202) 586-2430
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



SCHEDULE 1: IDENTIFICATION INFORMATION

All Respondents must complete Schedule 1.

1 Is the preprinted entity information correct?

- Yes
- No - Continue to complete the survey form. Go to Schedule 5 and report the correct information in the comments section.

Entity Name:

Entity EIA ID: Reporting Quarter: Reporting Year:

2 Is the preprinted entity function correct?

- Yes
- No - Continue to complete the survey form. Go to Schedule 5 and report the correct entity function in the comments section.

Entity Function:

- Importing/Exporting Purchasing-Selling Entity - Complete Schedules 2A and 2B
- Organization Having U.S. Treaty Obligations - Complete Schedules 2A and 2B
 - Organizations having Treaty Obligations are those entities assigned the oversight responsibilities (U.S. Section) covering electricity and associated linked water usages.
- U.S. Border Balancing Authority - Complete Schedules 3A and 3B
- DOE Export Authorization Holder - Complete Schedule 4
- Presidential Permit Holder - Complete Schedule 4

3 Is the preprinted survey contact for your entity correct?

- The survey contact is the person that completes and submits the data.
 - Yes
 - No - Continue to complete the survey form. Go to Schedule 5 and report the correct survey contact in the comments section.

First Name: Last Name:
 Title: Telephone: Ext.
 Email: Address:
 City: State/Province: Zip Code: Country:

4 Is the preprinted supervisory contact for your entity correct?

- The supervisory contact is the person that is responsible for the accuracy of the data.
 - Yes
 - No - Continue to complete the survey form. Go to Schedule 5 and report the correct supervisory contact in the comments

First Name: Last Name:
 Title: Telephone: Ext.
 Email: Address:
 City: State/Province: Zip Code: Country:



SCHEDULE 2A: IMPORTS INTO THE U.S. FROM CANADA OR MEXICO

Importing Purchasing-Selling Entities and Organizations Having U.S. Treaty Obligations must complete Schedule 2A.

1 Did the entity have any imports this quarter?

- Yes - Complete Schedule 2A
- No - Continue to Schedule 2B

2 What are your 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.

For column A:

Select the month that corresponds to each line of data reported for the quarter.

For columns B-D:

- The information in columns B-D should be derived from and consistent with the information on interchange transaction tags submitted to the Interchange Authority.
- If the import involves only one balancing authority, report the name of the balancing authority in both columns B and C.
- If the U.S. transmitting utility does not have a Presidential Permit, enter the name of the transmission service provider in column D.

For column E:

Select the option that best describes the category of service. The options are Firm, Non-Firm, Exchange or Other.

For column F:

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 rates as mutually agreed.

For columns G-I:

Total payments (column I) is the sum of G + H. Report all transaction payments in U.S. Dollars.

Comments:

Provide any comments regarding the data reported on Schedule 5.

Month	Identification			Imports		Transaction Payments		
	Foreign Source Balancing Authority Area	U.S. Sink Balancing Authority Area	Transfer Facility Presidential Permit Number or Transmission Service Provider Name	Category of Service	Energy Purchases or Exchange Imported (MWh)	Energy Payments (\$US)	Other Payments (\$US)	Total Payments (\$US)
A	B	C	D	E	F	G	H	I



SCHEDULE 2B: EXPORTS FROM THE U.S. TO CANADA OR MEXICO

Exporting Purchasing-Selling Entities and Organizations Having U.S. Treaty Obligations must complete Schedule 2B.

1 Did the entity have any exports this quarter?

- Yes - Complete Schedule 2B
- No - Continue to Schedule 5

2 What are your export sales and exchange transactions?

• Use as many rows as needed to report export sales and transaction revenues for each month in the reporting quarter.

For column A:

• Select the month that corresponds to each line of data reported for the quarter.

For column B:

• Entities that do not have a DOE Export authorization number should leave column B blank.

For columns C-E:

• Information reported in columns C-E should be consistent with information reported on interchange transaction tags submitted to the Interchange Authority.

- If the export involves only one balancing authority, report the name of that balancing authority in both columns C and D.
- If the U.S. transmitting facility does not have a Presidential permit, enter the name of the transmission service provider in column E instead.

For column F:

• Select the option that best describes the category of service. The options are Firm, Non-Firm, Exchange or Other.

For column G:

• In an exchange agreement, the U.S. entity that makes delivery of exports and later receives compensation from the foreign supplier in kind, at times and rates and in amounts as mutually agreed.

For columns H-J:

• Total payments (column J) is the sum of H + I. Report all transaction payments in U.S. Dollars.

Comments:

• Provide any comments regarding the data reported on Schedule 5.

Month	Identification				Exports		Transaction Revenues		
	DOE Export Authorization Number	U.S. Source Balancing Authority	Foreign Sink Balancing Authority	Transfer Facility Presidential Permit Number or Transmission Service Provider Name	Category of Service	Energy Sales or Exchange Exported (MWh)	Energy Revenues (\$US)	Other Revenues (\$US)	Total Revenues (\$US)
A	B	C	D	E	F	G	H	I	J



SCHEDULE 3A: ACTUAL INTERCHANGE

U.S. Border Balancing Authorities must complete Schedule 3A.

- U.S. Border Balancing Authorities are to report the actual interchange with adjacent foreign balancing authorities.

1 What is the actual interchange?

For column A:

- Select the month that corresponds to each line of data reported for the quarter.

For column B:

- Report the Balancing Authority Area Name.

For columns C-D:

- Actual interchange is to be measured on an hourly integrated basis in megawatt-hours.

Comments:

- Provide any comments regarding the data reported on Schedule 5.

Month	Identification	Actual Interchange	
	Directly Interconnected Canadian or Mexican Balancing Authority Area Name	Received (MWh)	Delivered (MWh)
A	B	C	D



SCHEDULE 4: EXCEEDED ORDER TERM EVENTS

Presidential Permit Holders and DOE Export Authorization Holders must complete Schedule 4.

1 Did the entity have an event where the terms of the 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.

For column A:

- Select the month that corresponds to each line of data reported for the quarter.

For column B:

- Report the Presidential Permit or DOE Export Authorization Number in column B. Most Presidential Permits begin with PP (e.g. PP-101) and all DOE Export Authorizations begin with EA (e.g. EA-102).

For column C:

- Report the date and duration of the exceeded event (e.g. 05-22-2011; 2:00 – 4:00 PM)

For column D:

- Provide 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).

Comments:

- Provide any comments regarding the data reported on Schedule 5.

Month	Presidential Permit or DOE Export Authorization Number	Date and Hour(s) of Exceeded Event	Specific Order Term Exceeded
A	B	C	D



SCHEDULE 5: COMMENTS

For all respondents.

1 Do you have any comments regarding the data reported in this survey?

[Empty response area]



GLOSSARY

Some terms found on this form are defined at:

www.nerc.com/files/glossary_12Feb08.pdf (NERC Glossary of Terms used in Reliability Standards)

www.eia.doe.gov/glossary/index.html (EIA Energy Glossary)

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 6 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.