

## Technical Notes

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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.<sup>1</sup>

## 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 changes:

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

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-826, "Monthly Electric Utility Sales and Revenues with State Distributions Report;"
- Form EIA-860, "Annual Electric Generator Report;"
- Form EIA-861, "Annual Electric Power Industry Report;"
- Form EIA-861S, "Annual Electric Power Industry Report (Short Form);"
- 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:

- 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.
- W Withheld to avoid disclosure of individual company data.
- 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 are 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 not 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 Energy 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 megawatthours of sales to ultimate consumers and/or 150,000 megawatthours 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-423<sup>2</sup> 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-826

The Form EIA 826, "Monthly Electric Utility Sales and Revenues with State Distributions Report," is a monthly collection of data from a sample of approximately 520 of the largest electric utilities (primarily investor and publicly owned) as well as a census of energy service providers with sales to ultimate consumers in deregulated States. Form EIA-861 (see below), with approximately 3,300 respondents, serves as a frame from which the Form 826 sample is drawn. Based on this sample, a model is used to estimate for the entire universe of U.S. electric utilities on a monthly basis.

**Instrument and design history:** The collection of electric power sales data and related information began in the early 1940's and was established as FPC Form 5 by FPC Order 141 in 1947. In 1980, the report was revised with only selected income items remaining and became the FERC Form 5. The Form EIA 826, "Electric Utility Company Monthly Statement," replaced the FERC Form 5 in January 1983. In January 1987, the "Electric Utility Company Monthly Statement" was changed to the "Monthly Electric



Utility Sales and Revenue Report with State Distributions.” The title was changed again in January 2002 to “Monthly Electric Utility Sales and Revenues with State Distributions Report” to become consistent with other EIA report titles. The Form EIA 826 was revised in January 1990, and some data elements were eliminated.

In 1993, EIA for the first time used a model sample for the Form EIA 826. A stratified random sample, employing auxiliary data, was used for each of the four previous years. The sample for the Form EIA 826 was designed to obtain estimates of electricity sales and average retail price of electricity at the State level by end use sector.

Starting with data for January 2001, the restructuring of the electric power industry was taken into account by forming three schedules on the Form EIA-826. Schedule 1, Part A is for full service utilities that operate as in the past. Schedule 1, Part B is for electric service providers only, and Schedule 1, Part C is for those utilities providing distribution service for those on Schedule 1, Part B. In addition, Schedule 1 Part D is for those retail energy providers or power marketers that provide bundled service. Also, the Form EIA-826 frame was modified to include all investor-owned electric utilities and a sample of companies from other ownership classes. A new method of estimation was implemented at this same time. (See Electric Power Monthly, April 2001, p.1.)

With the October 2004 issue of the Electric Power Monthly (EPM), EIA published for the first time preliminary electricity sales data for the Transportation Sector. These data are for electricity delivered to and consumed by local, regional, and metropolitan transportation systems. The data being published for the first time in the October EPM included July 2004 data as well as year-to-date. EIA’s efforts to develop these new data have identified anomalies in several States and the District of Columbia. Some of these anomalies are caused by issues such as: 1) Some respondents have classified themselves as outside the realm of the survey. The Form EIA-826 collects retail data from those respondents providing electricity and other services to the ultimate end users. EIA has experienced specific situations where, although the respondents’ customers are the ultimate end users, particular end users qualify under wholesale rate schedules. 2) The Form EIA-826 is a cutoff sample and not intended to be a census.

**Data processing and data system editing:** Monthly Form EIA-826 submission is available via an Internet Data Collection (IDC) system. The completed data are due to EIA by the last calendar day of the month following the reporting month. Nonrespondents are contacted to obtain the data. The data are edited and additional checks are completed. Following verification, imputation is run, and tables and text of the aggregated data are produced for inclusion in the EPM.

**Imputation:** Regression prediction, or imputation, is done for entities not in the monthly sample and for any nonrespondents. Regressor data for Schedule 1, Part A is the average monthly sales or revenue from the most recent finalized data from survey Form EIA-861. Beginning with January 2008 data and the finalized 2007 data, the regressor data for Schedule 1 Parts B and C is the prior month’s data.

**Formulas and methodologies:** The Form EIA 826 data are collected by end-use sector (residential, commercial, industrial, and transportation) and State. Form EIA 861 (see below) data are used as the frame from which the sample is selected and in some instances also as regressor data. Updates are made to the frame to reflect mergers that affect data processing.

With the revised definitions for the commercial and industrial sectors to include all data previously reported as 'other' data except transportation, and a separate transportation sector, all responses that would formerly have been reported under the "other" sector are now to be reported under one of the sectors that currently exist. This means there is probably a lower correlation, in general, between, say, commercial Form EIA-826 data for 2004 and commercial Form EIA-861 data for 2003 than there was between commercial Form EIA-826 data for 2003 and commercial Form EIA-861 data for 2002 or earlier years, although commercial and industrial definitions have always been somewhat nebulous due to power companies not having complete information on all customers.

Data submitted for January 2004 represent the first time respondents were to provide data specifically for the transportation end-use sector.

During 2003 transportation data were collected annually through Form EIA-861. Beginning in 2004 the transportation data were collected on a monthly basis via Form EIA-826. In order to develop an estimate of the monthly transportation data for 2003, values for both sales of electricity to ultimate customers and revenue from sales of electricity to ultimate customers were estimated using the 2004 monthly profile for the sales and revenues from the data collected via Form EIA-826. All monthly non-transportation data for 2003 (i.e. street lighting, etc.), which were previously reported in the "other" end-use sector on the Form EIA-826 have been prorated into the Commercial and Industrial end-use sectors based on the 2003 Form EIA-861 profile.

A monthly distribution factor was developed for the monthly data collected in 2004 (for the months of January through November). The transportation sales and revenues for December 2004 were assumed to be equivalent to the transportation sales and revenues for November 2004. The monthly distribution factors for January through November were applied to the annual values for transportation sales and revenues collected via Form EIA-861 to develop corresponding 2003 monthly values. The eleven month estimated totals from January through November 2003 were subtracted from the annual values obtained from Form EIA-861 in order to obtain the December 2003 values.

Data from the Form EIA-826 are used to determine estimates by sector at the State, Census division, and national level. State level sales and revenues estimates are first calculated. Then the ratio of revenue divided by sales is calculated to estimate retail price of electricity at the State level. The estimates are accumulated separately to produce the Census division and U.S. level estimates<sup>3</sup>.

Some electric utilities provide service in more than one State. To facilitate the estimation, the State service area is actually used as the sampling unit. For each State served by each utility, there is a utility State part, or "State service area." This approach allows for an explicit calculation of estimates for sales, revenue, and average retail price of electricity by end use sector at State, Census division, and national level. Estimation procedures include imputation to account for nonresponse. Non-sampling error must also be considered. The non-sampling error is not estimated directly, although attempts are made to minimize the non-sampling error.

Average retail price of electricity 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 utility. Operating revenue includes energy charges, demand charges, consumer service charges, environmental surcharges, fuel adjustments, and other miscellaneous charges. Electric utility operating revenues also include State and Federal income taxes and taxes other than income taxes paid by the utility.

The average retail price of electricity reported in this publication by sector represents a weighted average of consumer revenue and sales within sectors and across sectors for all consumers, and does not reflect the per kWh rate charged by the electric utility 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 to the electric utility for providing electrical service.

**Adjusting monthly data to annual data:** As a final adjustment based on our most complete data, use is made of final Form EIA-861 data, when available. The annual totals for Form EIA-826 data by State and end-use sector are compared to the corresponding Form EIA-861 values for sales and revenue. The ratio of these two values in each case is then used to adjust each corresponding monthly value.

**Sensitive data:** Most of the data collected on the Form EIA-826 are not considered business sensitive. However, monthly revenue, sales, and customer data collected from energy service providers (Schedule 1, Part B), which do not also provide energy delivery, are considered business sensitive and must adhere to EIA's "Policy on the Disclosure of Individually Identifiable Energy Information in the Possession of the EIA" (45Federal Register 59812 (1980)).

## 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 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:** No imputation was required for EIA-860 data.

**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.

**Prime Movers:** The Form EIA-860 sometimes represents a generator’s prime mover by using the abbreviations in the table below.

<b>Prime Mover Code</b>	<b>Prime Mover Description</b>
BA	Energy Storage, Battery
CE	Energy Storage, Compressed Air
CP	Energy Storage, Concentrated Solar Power
FW	Energy Storage, Flywheel
PS	Energy Storage, Reversible Hydraulic Turbine (Pumped Storage)
ES	Energy Storage, Other
ST	Steam Turbine, including nuclear, geothermal and solar steam (does not include combined cycle)
GT	Combustion (Gas) Turbine (including jet engine design)
IC	Internal Combustion Engine (diesel, piston, reciprocating)
CA	Combined Cycle Steam Part
CT	Combined Cycle Combustion Turbine Part
CS	Combined Cycle Single Shaft
CC	Combined Cycle Total Unit
HA	Hydrokinetic, Axial Flow Turbine
HB	Hydrokinetic, Wave Buoy
HK	Hydrokinetic, Other
HY	Hydroelectric Turbine (including turbines associated with delivery of water by pipeline)
BT	Turbines Used in a Binary Cycle (including those used for geothermal applications)
PV	Photovoltaic
WT	Wind Turbine, Onshore
WS	Wind Turbine, Offshore
FC	Fuel Cell
OT	Other

**Energy Sources:** The Form EIA-860 sometimes represents the energy sources associated with generators by using the abbreviations and/or groupings in the table below.

Energy Source Grouping	Energy Source Code	Energy Source Description
Coal	ANT	Anthracite Coal
	BIT	Bituminous Coal
	LIG	Lignite Coal
	SUB	Subbituminous Coal
	SGC	Coal-Derived Synthesis Gas
	WC	Waste/Other Coal (including anthracite culm, bituminous gob, fine coal, lignite waste, waste coal)
Petroleum Products	DFO	Distillate Fuel Oil (including diesel, No. 1, No. 2, and No. 4 fuel oils)
	JF	Jet Fuel
	KER	Kerosene
	PC	Petroleum Coke
	PG	Gaseous Propane
	RFO	Residual Fuel Oil (including No. 5, and No. 6 fuel oils, and bunker C fuel oil)
	SG	Synthesis Gas from Petroleum Coke
	WO	Waste/Other Oil (including crude oil, liquid butane, liquid propane, naphtha, oil waste, re-refined motor oil, sludge oil, tar oil, or other petroleum-based liquid wastes)
Natural Gas and Other Gases	BFG	Blast Furnace Gas
	NG	Natural Gas
	OG	Other Gas
Nuclear	NUC	Nuclear (including Uranium, Plutonium, and Thorium)
Hydroelectric Conventional	WAT (Prime Mover = HY)	Water at a Conventional Hydroelectric Turbine, and water used in Wave Buoy Hydrokinetic Technology, Current Hydrokinetic Technology, and Tidal Hydrokinetic Technology
	WAT (Prime Mover = PS)	Pumping Energy for Reversible (Pumped Storage) Hydroelectric Turbine
Wood and Wood-Derived Fuels	WDS	Wood/Wood Waste Solids (including paper pellets, railroad ties, utility poles, wood chips, bark, and wood waste solids)
	WDL	Wood Waste Liquids (excluding Black Liquor but including red liquor, sludge wood, spent sulfite liquor, and other wood-based liquids)
	BLQ	Black Liquor
Other Biomass	AB	Agricultural By-Products
	MSW	Municipal Solid Waste
	OBG	Other Biomass Gas (including digester gas, methane, and other biomass gases)
	OBL	Other Biomass Liquids
	OBS	Other Biomass Solids
	LFG	Landfill Gas
	SLW	Sludge Waste
Other Renewable Energy Sources	SUN	Solar (including solar thermal)
	WND	Wind
	GEO	Geothermal
Other Energy Sources	PUR	Purchased Steam
	WH	Waste heat not directly attributed to a fuel source
	TDF	Tire-Derived Fuels
	MWH	Electricity used for energy storage
	OTH	Other

**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. Prior to data year 2012, the survey was used to collect information on power sales and revenue data from approximately 3,300 respondents. About 3,100 are electric utilities, and the remainders are nontraditional entities such as energy service providers or the unregulated subsidiaries of electric utilities and power marketers.

For data year 2012 and forward, EIA modified the frame of the Form EIA-861, “Annual Electric Power Industry Report,” from a census to a sample, and EIA is using model-based methods to estimate the sales, revenues, and customer counts by sector and state for those respondents that have been removed from the frame. EIA created a new Form EIA-861S, “Annual Electric Power Industry Report (Short Form),” for the respondents that have been removed from the Form EIA-861 frame. The form collects limited data such as total sales, revenues, and customer counts by state.

**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 Electric Power Annual reports total sales volumes (megawatthours) of electricity to ultimate consumers 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 sales of electricity to ultimate consumers 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 average 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.

**Net-Metering:** This section was expanded in 2011. Previously, customer count by sector was the only data collected and published. In 2010, the EIA-861 started collecting the capacity of the net-metered installations by sector and technology. The technology types are: photovoltaic (PV), wind and other.

**Demand-Side Management (DSM):** Prior to 2011, DSM data was separated into two categories, large and small utilities. Some tables contained data for just large utilities and others contained both categories, published separately. Starting in 2011, there is no longer a division in the data. All tables now include all DSM data from utilities; this change is also reflected in the historical data.



Starting in 2011, a new category of respondents were added to the EIA-861, non-utility DSM administrators: Efficiency Maine Trust, Energy trust of Oregon, Focus on Energy, NYSERDA and Vermont Energy Investment Corporation.

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.

**Advanced Metering:** New in 2011, Automated Meter Reading (AMR) and Advanced Metering Infrastructure (AMI), including historical data back to 2007. From 2007-2009, the count by sector is for number of customers, for 2010-2011, the count is the actual number of meters. For example; if an industrial customer had 12 meters, in 2007-2009 the count would have been 1, in 2010-2011, the count would be 12.

**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, nonutility source and disposition of electricity, combustion by-product collection and disposal, and cooling systems, as well as operational data for flue gas desulfurization, particulates, and nitrous oxide controls. 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, at combined heat and power (CHP) plants, useful thermal output. At the end of the year, the monthly respondents report their annual source and disposition of electric power (nonutilities only), operational data for air emissions controls and cooling systems, and the collection and disposal of combustion by-products on the Form EIA-923 Supplemental Form (Schedules 6, 7, and 8A to 8F). Approximately 4,200 plants, representing all generators not included in the monthly sample and with a nameplate capacity of 1 MW or more, report applicable 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. Operational data for air emissions equipment are collected annually from facilities that have a steam turbine capacity of at least 10 megawatts, and operational data on cooling systems and data on the collection and disposal of combustion by-products are collected from facilities that have a steam turbine capacity of at least 100 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). Approximately 0.02 percent of the national total generation for is imputed, although this will vary by State and energy source.

When gross generation is reported and net generation is not available, or vice versa, net or gross generation is estimated by using a fixed ratio of net to gross generation by prime-mover type and installed emissions equipment. These ratios are:

Net Generation = (Factor) x Gross Generation
<b>Prime Movers:</b>
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
<b>Environmental Equipment:</b>
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. Power plants include independent power producers, electric utilities, and commercial and industrial CHP

facilities with a total fossil-fueled nameplate capacity of 50 megawatts or more. The data on cost and quality of fuel shipments are 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, thousand cubic feet (Mcf) and million Btu per thousand cubic feet.

**Net and Gross Generation and Fuel Consumption and Stocks:** Generation data are collected in megawatthours from all power plants with a sum of nameplate capacity at least 1 MW. The fuels consumed are collected in tons (solids), barrels (liquids) and thousand cubic feet (gases). Fuels are grouped into coal, petroleum liquids, petroleum coke, natural gas, other gases, and other miscellaneous fuels. Energy consumption is not collected for nuclear, wind, solar, geothermal or other plants that do not burn fuels. For information on fuel groupings, see the instructions to the Form EIA-923 at [http://www.eia.gov/survey/form/eia\\_923/instructions.pdf](http://www.eia.gov/survey/form/eia_923/instructions.pdf). **Combustion By-Product Collection and Disposal:** Data are collected in thousand tons. Associated financial data for by-products (O&M and capital expenses and revenue) are collected in thousand dollars.

**Air Emissions Equipment:** Operational efficiencies and emission rates are collected for flue gas desulfurization, particulate matter, and nitrous oxide control equipment for steam-electric units with at least 10 MW nameplate capacity.

**Cooling Systems:** Operational data on water use is collected from steam-electric plants, including nuclear plants, with at least 100 MW nameplate capacity.

**Methodology to Estimate Biogenic and Non-biogenic Municipal Solid Waste:**<sup>4</sup> 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 consumed 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.

In 2011, the components of MSW as a percentage of the total were updated. The updated values were applied to final 2011 data and to preliminary 2012 and 2013 data. Although updated component percentages for 2006 through 2010 were available, historical EIA data series for consumption of MSW and net generation were not revised for 2005 to 2010. The tables below are the percentages applied to the EIA data for each year.

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).<sup>5</sup>

These values are used to allocate consumption of municipal solid waste and net generation published in the Electric Power Monthly tables. 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	2007	2008	2009	2010	2011
Biogenic	57	56	55	55	56	56	56	56	56	56	51
Non-biogenic	43	44	45	45	44	44	4	44	44	44	49

**Table 2. Tonnage consumption for biogenic and non-biogenic municipal solid waste (percent)**

	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Biogenic	77	77	76	76	75	75	75	75	75	75	64
Non-biogenic	23	23	24	24	25	25	25	25	25	25	36

**Useful Thermal Output (UTO):** With the implementation of the Form EIA-923, “Power Plant Operations Report,” in 2008, combined heat and power (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 Electric Power Annual (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.

## Average Capacity Factors

This section describes the methodology for calculating capacity factors by fuel and technology type for operating electric power plants. Capacity factor is a measure (expressed as a percent) of how often an

electric generator operates over a specific period of time, using a ratio of the actual output to the maximum possible output over that time period.

The capacity factor calculation only includes operating electric generators in the Electric Power Sector (sectors 1, 2 and 3) using the net generation reported on the Form EIA-923 and the net summer capacity reported on the Form EIA-860. The capacity factor for a particular fuel/technology type is given by:

$$\text{capacity factor} = \frac{\sum_{x,m} \text{generation}_{x,m}}{\sum_{x,m} \text{capacity}_x * \text{available time}_{x,m}}$$

Where x represents generators of that fuel/technology combination and m represents the period of time (month or year). Generation and capacity are specific to a generator, and the generator is categorized by its primary fuel type as reported on the EIA-860. All generation from that generator is included, regardless of other fuels consumed. Available time is also specific to the generator in order to account for differing online and retirement dates. Therefore, these published capacity factors will differ from a simple calculation using annual generation and capacity totals from the appropriate tables in this publication.

## Air Emissions

This section describes the methodology for calculating estimated emissions of carbon dioxide (CO<sub>2</sub>) from electric generating plants for 1989 through the present, as well as the estimated emissions of sulfur dioxide (SO<sub>2</sub>) and nitrogen oxides (NO<sub>x</sub>) from electric generating plants for 2001 through the present. For a description of the methodology used for other years, see the technical notes to the EPA 2003.

**Methodology Overview:** Initial estimates of uncontrolled SO<sub>2</sub> and NO<sub>x</sub> 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<sub>x</sub> and SO<sub>2</sub> emissions. As discussed below, physical quantities are converted to millions of Btus for calculating CO<sub>2</sub> emissions.

For some fuels, the calculation of SO<sub>2</sub> 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 A.1., which lists the SO<sub>2</sub> emission factors used for this report.

In the case of SO<sub>2</sub> and NO<sub>x</sub> 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<sub>x</sub> 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.<sup>6</sup> These distinctions are shown in Tables A.1. and A.2.

For SO<sub>2</sub> and NO<sub>x</sub>, 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 SO<sub>2</sub> is the fluidized bed boiler, in which the sulfur removal process is integral with the operation of the boiler. The SO<sub>2</sub> emission factors shown in Table A.1. for fluidized bed boilers already account for 90 percent removal of SO<sub>2</sub> since, in effect, the plant has no uncontrolled emissions of this pollutant.

Although SO<sub>2</sub> and NO<sub>x</sub> 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 CO<sub>2</sub> are incomplete and are not used in this report.) The CEMS data account for the bulk of SO<sub>2</sub> and NO<sub>x</sub> emissions from the electric power industry. For those plants for which CEMS data are available, the EIA estimates of SO<sub>2</sub> and NO<sub>x</sub> 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 Electric Power Annual report features a revision in historic CO<sub>2</sub> 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.

**CO<sub>2</sub> Emissions:** CO<sub>2</sub> 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 CO<sub>2</sub> emissions, the fuel-specific emission factor from Table A.3. is multiplied by the fuel consumption in MMBtu.

The estimation procedure calculates uncontrolled CO<sub>2</sub> emissions. CO<sub>2</sub> control technologies are currently in the early stages of research and there are no commercial systems installed. Therefore, no estimates of controlled CO<sub>2</sub> emissions are made.

**SO<sub>2</sub> and NO<sub>x</sub> Emissions:** To comply with environmental regulations controlling SO<sub>2</sub> emissions, many coal-fired generating plants have installed flue gas desulfurization (FGD) units. Similarly, NO<sub>x</sub> control regulations require many fossil-fueled plants to install low-NO<sub>x</sub> burners, selective catalytic reduction systems, or other technologies to reduce emissions. It is common for power plants to employ two or even three NO<sub>x</sub> control technologies; accordingly, the NO<sub>x</sub> emissions estimation approach accounts for the combined effect of the equipment (Table A.4.). 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 fuels<sup>7</sup> 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 SO<sub>2</sub> and NO<sub>x</sub> emissions:



- For steam electric plants, uncontrolled emissions are estimated using the emission factors shown in Tables A.1. and A.2. 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 SO<sub>2</sub>, the reported efficiency of the plant's FGD units is used to convert uncontrolled to controlled emission estimates. For NO<sub>x</sub>, the reduction percentages shown in Table A.4. 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 A.1. and Table A.2. 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 A.1.<sup>8</sup>  
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 SO<sub>2</sub> or NO<sub>x</sub> 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 Factors for Propane, Petroleum Coke, and Synthesis Gases.

The quantity conversion for petroleum coke is 5 barrels (of 42 U.S. gallons each) per short ton (2,000 pounds), propane is 1.53 thousand cubic feet per barrel, coal-derived synthesis gas is 98.06 thousand cubic feet per ton, and petroleum coke-derived synthesis gas is 107.31 thousand cubic feet per ton.

### 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 Electric Power Annual and other data products, classifies nonutility power producers into the following categories:

- **Electric Utility (Sector 1):** All regulated plants with a primary purpose of selling electricity in the public markets (NAICS = 22).
- **Independent Power Producers (Sector 2):** All non-regulated plants with a primary purpose of electric power generation and a primary purpose of selling electricity in the public markets (NAICS = 22) with no ability to cogenerate heat and power.
- **Electric Power, Combined Heat and Power (Sector 3):** All non-regulated plants with a primary purpose of electric power generation and a primary purpose of selling electricity in the public markets (NAICS = 22) with the ability to cogenerate heat and power.
- **Commercial, Non-Combined Heat and Power (Sector 4):** All plants with a commercial primary purpose with no ability to cogenerate heat and power.

- **Commercial, Combined Heat and Power (Sector 5):** All plants with a commercial primary purpose with the ability to cogenerate heat and power.
- **Industrial, Non-Combined Heat and Power (Sector 6):** All plants with an industrial primary purpose with no ability to cogenerate heat and power.
- **Industrial, Combined Heat and Power (Sector 7):** All plants with an industrial primary purpose with the ability to cogenerate heat and power.

The following is a list of the North American Industry Classification System (NAICS) classifications used by EIA.

	<b>Agriculture, Forestry, Fishing and Hunting</b>
111	Crop Production
112	Animal Production
113	Forestry and Logging
114	Fishing, Hunting and Trapping
115	Support Activities for Agriculture and Forestry
	<b>Mining, Quarrying, and Oil and Gas Extraction</b>
211	Oil and Gas Extraction
2121	Coal Mining
2122	Metal Ore Mining
2123	Nonmetallic Mineral Mining and Quarrying
	<b>Utilities</b>
22	Electric Power Generation, Transmission and Distribution (other than 2212, 2213, 22131, 22132 or 22133)
2212	Natural Gas Distribution
22131	Water Supply and Irrigation Systems
22132	Sewage Treatment Facilities
22133	Steam and Air-Conditioning Supply
	<b>Manufacturing</b>
311	Food Manufacturing
312	Beverage and Tobacco Product Manufacturing
313	Textile Mills (Fiber, Yarn, Thread, Fabric, and Textiles)
314	Textile Product Mills
315	Apparel Manufacturing
316	Leather and Allied Product Manufacturing
321	Wood Product Manufacturing
322	Paper Manufacturing (other than 322122 or 32213)
322122	Newsprint Mills
32213	Paperboard Mills
323	Printing and Related Support Activities
324	Petroleum and Coal Products Manufacturing (other than 32411)
32411	Petroleum Refineries
325	Chemical Manufacturing (other than 32511, 32512, 325193, 325188, 3252 325211, 3253 or 325311)
32511	Petrochemical Manufacturing
32512	Industrial Gas Manufacturing
325193	Ethyl Alcohol Manufacturing (including Ethanol)
325188	Industrial Inorganic Chemicals
3252	Resin, Synthetic Rubber, and Artificial Synthetic Fibers and Filaments Manufacturing (other than

325211)
   
325211 Plastics Material and Resin Manufacturing
   
3253 Pesticide, Fertilizer, and Other Agricultural Chemical Manufacturing (other than 325311)
   
325311 Nitrogenous Fertilizer Manufacturing
   
326 Plastics and Rubber Products Manufacturing
   
327 Nonmetallic Mineral Product Manufacturing (other than 32731)
   
32731 Cement Manufacturing
   
331 Primary Metal Manufacturing (other than 331111 or 331312)
   
331111 Iron and Steel Mills
   
331312 Primary Aluminum Production
   
332 Fabricated Metal Product Manufacturing
   
333 Machinery Manufacturing
   
334 Computer and Electronic Product Manufacturing
   
335 Electrical Equipment, Appliance, and Component Manufacturing
   
336 Transportation Equipment Manufacturing
   
337 Furniture and Related Product Manufacturing
   
339 Miscellaneous Manufacturing

421 **Wholesale Trade**

441 **Retail Trade**

**Transportation and Warehousing**

481 Air Transportation
   
482 Rail Transportation
   
483 Water Transportation
   
484 Truck Transportation
   
485 Transit and Ground Passenger Transportation
   
486 Pipeline Transportation
   
487 Scenic and Sightseeing Transportation
   
488 Support Activities for Transportation (other than 4881, 4882, 4883 or 4884)
   
4881 Support Activities for Air Transportation (including Airports)
   
4882 Support Activities for Rail Transportation (including Rail Stations)
   
4883 Support Activities for Water Transportation (including Marinas)
   
4884 Support Activities for Road Transportation
   
491 Postal Service
   
492 Couriers and Messengers
   
493 Warehousing and Storage

**Information**

511 Publishing Industries (except Internet)
   
512 Motion Picture and Sound Recording Industries
   
515 Broadcasting (except Internet)
   
517 Telecommunications
   
518 Data Processing, Hosting, and Related Services
   
519 Other Information Services

521 **Finance and Insurance**

53 **Real Estate and Rental and Leasing (including Convention Centers and Office Buildings)**

541 **Professional, Scientific, and Technical Services**

55 **Management of Companies and Enterprises**

	<b>Administrative and Support and Waste Management and Remediation Services</b>
561	Administrative and Support Services
562	Waste Management and Remediation Services (other than 562212 or 562213)
562212	Solid Waste Landfill
562213	Solid Waste Combustors and Incinerators
611	<b>Educational Services</b>
	<b>Health Care and Social Assistance</b>
621	Ambulatory Health Care Services
622	Hospitals
623	Nursing and Residential Care Facilities
624	Social Assistance
	<b>Arts, Entertainment, and Recreation</b>
711	Performing Arts, Spectator Sports, and Related Industries
712	Museums, Historical Sites, and Similar Institutions
713	Amusement, Gambling, and Recreation Industries
	<b>Accommodation and Food Services</b>
721	Accommodation
722	Food Services and Drinking Places
	<b>Other Services (except Public Administration)</b>
811	Repair and Maintenance
812	Personal and Laundry Services
813	Religious, Grantmaking, Civic, Professional, and Similar Organizations
814	Private Households
	<b>Public Administration (other than 921, 922, 92214 or 928)</b>
92	Executive, Legislative, and Other General Government Services
921	Executive, Legislative, and Other General Government Services
922	Justice, Public Order and Safety Activities (other than 92214)
92214	Correctional Facilities
928	National Security and International Affairs (including Military Bases)

## Multiple Survey Programs- Small Scale PV Solar Estimation of Generation

Monthly generation from small scale PV solar resources is an estimation of the generation produced from PV solar resources and not the results of a data collection effort for generation directly, with the exception of “Third Party Owned” or (TPO) solar installations which has direct data collection. TPO data however is not comprehensive. TPOs do not operate in every state, TPO collected data is not a large portion of the estimated amount, and the data has been collected for limited period of time. The generation estimate is based on data collected for PV solar capacity.

Capacity of PV solar resources is collected directly from respondents. These data are collected on several EIA forms and from several types of respondents. Monthly data for net-metered PV solar capacity is reported on the Form EIA-826. Form EIA-826 is a cutoff sample drawn from the annual survey Form EIA-861 which collects this data from all respondents. Using data from both of these surveys we have a regression model to impute for the non-sampled monthly capacity.

The survey instruments collect solar net metering capacity from reporting utilities by state and customer class. There are four customer classes: residential, commercial, industrial and transportation. However, the estimation process included only the residential, commercial and industrial customers.<sup>1</sup> Data for these customer classes were further classified by U.S. Census Regions, to ensure adequate number of customer observations in for each estimation group.

**Estimation Model:** The total PV capacity reported by utilities in the annual EIA-861 survey is the single primary input (regressor) to the monthly estimation of PV capacity by state. The model tested for each Census Region was of the form:

$$y_{i,2015,m} = \beta_1 x_{i,2013} + w_i^{-1/2} e_i, \text{ where}$$

$x_{i,2013}$  is the  $i^{\text{th}}$  utility's 2013 (or the last published year) solar PV capacity

$y_{i,2015,m}$  is the  $i^{\text{th}}$  utility's month  $m$ , 2015 (or the current year) reported solar PV capacity

$w_i$  is the weight factor, which is the inverse of  $x_{i,2013}$

$\beta_1$  is effectively the growth rate of reported month  $m$  solar PV capacity

$e_i$  is the error term

The model checks for outliers and removes them from the regression equation inputs. The model calculates RSEs by sector, state, census region, and US total. Once we have imputed for all of the monthly net-metered PV solar capacity we add to total net metered capacity, the PV solar capacity collected on the Form EIA-861 for distributed and dispersed resources that are not net metered.

We use a second model to estimate the generation using this capacity as an input. The original methodology was developed for the "Annual Energy Outlook" based on our "NEMS" modelled projections several years ago. The original method underwent a calibration project designed to develop PV production levels for the NEMS projections consistent with simulations of a National Renewable Energy Laboratory model called PVWatts, which is itself embedded in PC software under the umbrella of the NREL's System Advisor Model (SAM).

The PVWatts simulations require, panel azimuth orientations and tilts, something that the NEMS projections do not include. Call the combinations of azimuths and tilts "orientations." The orientation and solar insolation (specific to a location) have a direct effect on the PV production level. The calibration project selected the 100 largest population Metropolitan Statistical Areas (MSAs) and relied on weights derived from orientation data from California Solar Initiative dataset to develop typical outputs for each of the 100 MSAs. It then was expanded from an annual estimate to a monthly estimate. A further description of this model is located here. A listing of the MSAs are included in Appendix 1.

Using Form EIA-861 data for service territories, which lists the counties that each electric distribution company (EDC) provides service, and NREL solar insolation data by county a simple average of insolation values by EDC is calculated.

Using the estimation model, we produce by utility, by state and by sector an estimate of generation. All the utilities' capacity and generation estimates are summed by state and sector and a KWh/KW rate by state and sector is calculated.

Capacity from the Form EIA-860 that is net metered is subtracted from the total capacity by state and sector as well as the capacity reported on the EIA-826 from TPOs, resulting in a new "net" capacity amount. This capacity amount is multiplied by the KWh/KW rate to produce the non-TPO generation estimate and then it is added to the TPO reported sales to ultimate customers from the EIA-826 to obtain a final estimate for generation and a blended KWh/KW rate is calculated. The estimate for generation is aggregated by US census regions and US totals. The RSEs for capacity are checked for level of error and if they pass, the summary data by state, US census region and US total are reported in the EPM.

Appendix 2 contains a flow diagram of the data inputs, data quality control checks and data analysis required to perform this estimation.

# Appendix 1- MSAs

## TMY3 (1991-2005) Weather Stations by MSA

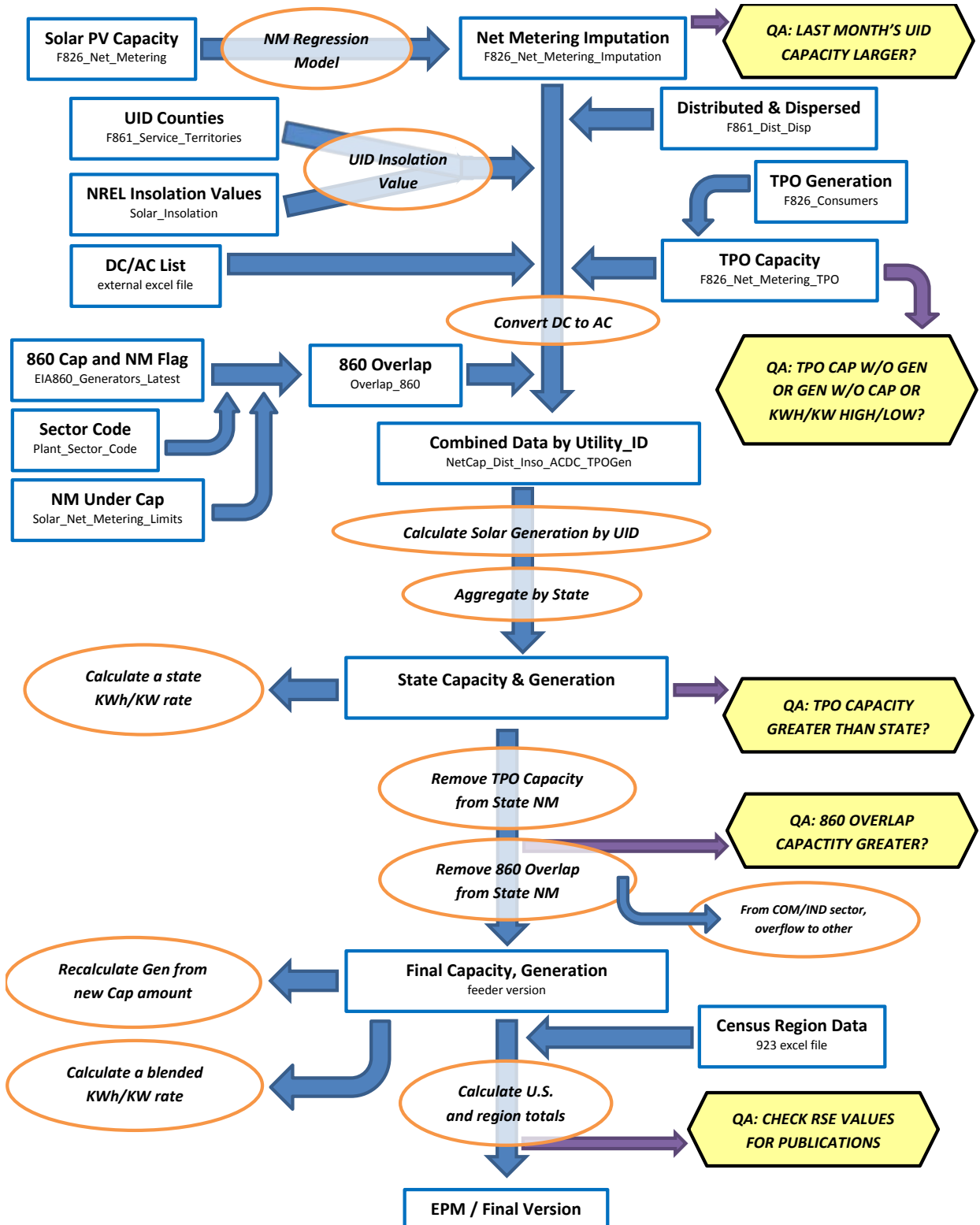
Site	Weather Location	MSA
1	USA NY New York Central Park Obs.	New York-Newark-Jersey City, NY-NJ-PA MSA
2	USA CA Los Angeles Intl Airport	Los Angeles-Long Beach-Anaheim, CA MSA
3	USA IL Chicago Midway Airport	Chicago-Naperville-Elgin, IL-IN-WI MSA
4	USA TX Dallas-fort Worth Intl Airport	Dallas-Fort Worth-Arlington, TX MSA
5	USA TX Houston Bush Intercontinental	Houston-The Woodlands-Sugar Land, TX MSA
6	USA PA Philadelphia Int'l Airport	Philadelphia-Camden-Wilmington, PA-NJ-DE-MD MSA
7	USA VA Washington Dc Reagan Airport	Washington-Arlington-Alexandria, DC-VA-MD-WV MSA
8	USA FL Miami Intl Airport	Miami-Fort Lauderdale-West Palm Beach, FL MSA
9	USA GA Atlanta Hartsfield Intl Airport	Atlanta-Sandy Springs-Roswell, GA MSA
10	USA MA Boston Logan Int'l Airport	Boston-Cambridge-Newton, MA-NH MSA
11	USA CA San Francisco Intl Airport	San Francisco-Oakland-Hayward, CA MSA
12	USA AZ Phoenix Sky Harbor Intl Airport	Phoenix-Mesa-Scottsdale, AZ MSA
13	USA CA Riverside Municipal Airport	Riverside-San Bernardino-Ontario, CA MSA
14	USA MI Detroit City Airport	Detroit-Warren-Dearborn, MI MSA
15	USA WA Seattle Seattle-Tacoma Intl Airport	Seattle-Tacoma-Bellevue, WA MSA
16	USA MN Minneapolis-St. Paul Int'l Arp	Minneapolis-St. Paul-Bloomington, MN-WI MSA
17	USA CA San Diego Lindbergh Field	San Diego-Carlsbad, CA MSA
18	USA FL Tampa Int'l Airport	Tampa-St. Petersburg-Clearwater, FL MSA
19	USA MO St Louis Lambert Int'l Airport	St. Louis, MO-IL MSA
20	USA MD Baltimore-Washington Int'l Airport	Baltimore-Columbia-Towson, MD MSA
21	USA CO Denver Centennial [Golden - NREL]	Denver-Aurora-Lakewood, CO MSA
22	USA PA Pittsburgh Allegheny Co Airport	Pittsburgh, PA MSA
23	USA NC Charlotte Douglas Intl Airport	Charlotte-Concord-Gastonia, NC-SC MSA
24	USA OR Portland Hillsboro	Portland-Vancouver-Hillsboro, OR-WA MSA
25	USA TX San Antonio Intl Airport	San Antonio-New Braunfels, TX MSA
26	USA FL Orlando Intl Airport	Orlando-Kissimmee-Sanford, FL MSA
27	USA CA Sacramento Executive Airport	Sacramento-Roseville-Arden-Arcade, CA MSA
28	USA OH Cincinnati Municipal Airport	Cincinnati, OH-KY-IN MSA
29	USA OH Cleveland Hopkins Intl Airport	Cleveland-Elyria, OH MSA
30	USA MO Kansas City Int'l Airport	Kansas City, MO-KS MSA
31	USA NV Las Vegas McCarran Intl Airport	Las Vegas-Henderson-Paradise, NV MSA
32	USA OH Columbus Port Columbus Intl A	Columbus, OH MSA
33	USA IN Indianapolis Intl Airport	Indianapolis-Carmel-Anderson, IN MSA
34	USA CA San Jose Intl Airport	San Jose-Sunnyvale-Santa Clara, CA MSA
35	USA TX Austin Mueller Municipal Airport	Austin-Round Rock, TX MSA
36	USA TN Nashville Int'l Airport	Nashville-Davidson-Murfreesboro-Franklin, TN MSA



37	USA VA Norfolk Int'l Airport	Virginia Beach-Norfolk-Newport News, VA-NC MSA
38	USA RI Providence T F Green State	Providence-Warwick, RI-MA MSA
39	USA WI Milwaukee Mitchell Intl Airport	Milwaukee-Waukesha-West Allis, WI MSA
40	USA FL Jacksonville Craig	Jacksonville, FL MSA
41	USA TN Memphis Int'l Airport	Memphis, TN-MS-AR MSA
42	USA OK Oklahoma City Will Rogers	Oklahoma City, OK MSA
43	USA KY Louisville Bowman Field	Louisville/Jefferson County, KY-IN MSA
44	USA VA Richmond Int'l Airport	Richmond, VA MSA
45	USA LA New Orleans Alvin Callender	New Orleans-Metairie, LA MSA
46	USA CT Hartford Bradley Intl Airport	Hartford-West Hartford-East Hartford, CT MSA
47	USA NC Raleigh Durham Int'l	Raleigh, NC MSA
48	USA UT Salt Lake City Int'l Airport	Salt Lake City, UT MSA
49	USA AL Birmingham Municipal Airport	Birmingham-Hoover, AL MSA
50	USA NY Buffalo Niagara Intl Airport	Buffalo-Cheektowaga-Niagara Falls, NY MSA
51	USA NY Rochester Greater Rochester	Rochester, NY MSA
52	USA MI Grand Rapids Kent County Int'l Airport	Grand Rapids-Wyoming, MI MSA
53	USA AZ Tucson Int'l Airport	Tucson, AZ MSA
54	USA HI Honolulu Intl Airport	Urban Honolulu, HI MSA
55	USA OK Tulsa Int'l Airport	Tulsa, OK MSA
56	USA CA Fresno Yosemite Intl Airport	Fresno, CA MSA
57	USA CT Bridgeport Sikorsky Memorial	Bridgeport-Stamford-Norwalk, CT MSA
58	USA MA Worcester Regional Airport	Worcester, MA-CT MSA
59	USA NM Albuquerque Intl Airport	Albuquerque, NM MSA
60	USA NE Omaha Eppley Airfield	Omaha-Council Bluffs, NE-IA MSA
61	USA NY Albany County Airport	Albany-Schenectady-Troy, NY MSA
62	USA CA Bakersfield Meadows Field	Bakersfield, CA MSA
63	USA CT New Haven Tweed Airport	New Haven-Milford, CT MSA
64	USA TN Knoxville McGhee Tyson Airport	Knoxville, TN MSA
65	USA SC Greenville Downtown Airport	Greenville-Anderson-Mauldin, SC MSA
66	USA CA Oxnard Airport	Oxnard-Thousand Oaks-Ventura, CA MSA
67	USA TX El Paso Int'l Airport	El Paso, TX MSA
68	USA PA Allentown Lehigh Valley Intl	Allentown-Bethlehem-Easton, PA-NJ MSA
69	USA LA Baton Rouge Ryan Airport	Baton Rouge, LA MSA
70	USA TX McCallen Miller Intl Airport	McAllen-Edinburg-Mission, TX MSA
71	USA OH Dayton Int'l Airport	Dayton, OH MSA
72	USA SC Columbia Metro Airport	Columbia, SC MSA
73	USA NC Greensboro Piedmont Triad Int'l Airport	Greensboro-High Point, NC MSA
74	USA FL Sarasota Bradenton	North Port-Sarasota-Bradenton, FL MSA
75	USA AR Little Rock Adams Field	Little Rock-North Little Rock-Conway, AR MSA
76	USA SC Charleston Intl Airport	Charleston-North Charleston, SC MSA
77	USA OH Akron Akron-canton Reg. Airport	Akron, OH MSA
78	USA CA Stockton Metropolitan Airport	Stockton-Lodi, CA MSA

79	USA CO Colorado Springs Muni Airport	Colorado Springs, CO MSA
80	USA NY Syracuse Hancock Int'l Airport	Syracuse, NY MSA
81	USA FL Fort Myers Page Field	Cape Coral-Fort Myers, FL MSA
82	USA NC Winston-Salem Reynolds Airport	Winston-Salem, NC MSA
83	USA ID Boise Air Terminal	Boise City, ID MSA
84	USA KS Wichita Mid-continent Airport	Wichita, KS MSA
85	USA WI Madison Dane Co Regional Airport	Madison, WI MSA
86	USA MA Worcester Regional Airport	Springfield, MA MSA
87	USA FL Lakeland Linder Regional Airport	Lakeland-Winter Haven, FL MSA
88	USA UT Ogden Hinkley Airport	Ogden-Clearfield, UT MSA
89	USA OH Toledo Express Airport	Toledo, OH MSA
90	USA FL Daytona Beach Intl Airport	Deltona-Daytona Beach-Ormond Beach, FL MSA
91	USA IA Des Moines Intl Airport	Des Moines-West Des Moines, IA MSA
92	USA GA Augusta Bush Field	Augusta-Richmond County, GA-SC MSA
93	USA MS Jackson Int'l Airport	Jackson, MS MSA
94	USA UT Provo Muni	Provo-Orem, UT MSA
95	USA PA Wilkes-Barre Scranton Intl Airport	Scranton-Wilkes-Barre-Hazleton, PA MSA
96	USA PA Harrisburg Capital City Airport	Harrisburg-Carlisle, PA MSA
97	USA OH Youngstown Regional Airport	Youngstown-Warren-Boardman, OH-PA MSA
98	USA FL Melbourne Regional Airport	Palm Bay-Melbourne-Titusville, FL MSA
99	USA TN Chattanooga Lovell Field Airport	Chattanooga, TN-GA MSA
100	USA WA Spokane Int'l Airport	Spokane-Spokane Valley, WA MSA

## Appendix 2 – Flow diagram of data sources and analysis



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<sup>1</sup> 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/>.

<sup>2</sup> 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.

<sup>3</sup> 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/>.

<sup>4</sup> 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

<sup>5</sup> 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.

<sup>6</sup> 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*, 41<sup>st</sup> Edition, 2005.

<sup>7</sup> 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.

<sup>8</sup> 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/survey/form/eia\\_767/instructions\\_form.pdf](http://www.eia.gov/survey/form/eia_767/instructions_form.pdf).

