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## Appendix C

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### Technical notes

This appendix describes how the U. S. Energy Information Administration (EIA) collects, estimates, and reports electric power data in the EPM.

### Data quality

The EPM is prepared by the Office of Electricity, Renewables & Uranium Statistics (ERUS), Energy Information Administration (EIA), U. S. Department of Energy. Quality statistics begin with the collection of the correct data. To assure this, ERUS performs routine reviews of the data collected and the forms on which it is collected. Additionally, to assure that the data are collected from the correct parties, ERUS routinely reviews the frames for each data collection.

Automatic, computerized verification of keyed input, review by subject matter specialists, and follow-up with nonrespondents assure quality statistics. To ensure the quality standards established by the EIA, formulas that use the past history of data values in the database have been designed and implemented to check data input for errors automatically. Data values that fall outside the ranges prescribed in the formulas are verified by telephoning respondents to resolve any discrepancies. All survey nonrespondents are identified and contacted.

### Reliability of data

There are two types of errors possible in an estimate based on a sample survey: sampling and non-sampling. Sampling errors occur because observations are made only on a sample, not on the entire population. Non-sampling errors can be attributed to many sources in the collection and processing of data. The accuracy of survey results is determined by the joint effects of sampling and non-sampling errors. Monthly sample survey data have both sampling and non-sampling error. Annual survey data are collected by a census and are not subject to sampling error.

Non-sampling errors can be attributed to many sources: (1) inability to obtain complete information about all cases in the sample (i.e., nonresponse); (2) response errors; (3) definitional difficulties; (4) differences in the interpretation of questions; (5) mistakes in recording or coding the data obtained; and (6) other errors of collection, response, coverage, and estimation for missing data. Note that for the cutoff sampling and model-based regression (ratio) estimation that we use, data 'missing' due to nonresponse, and data 'missing' due to being out-of-sample are treated in the same manner. Therefore missing data may be considered to result in sampling error, and variance estimates reflect all 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, in an effort to minimize their influence. See the Data Processing and Data System Editing section for each EIA form for an in-depth discussion of how the sampling and non-sampling errors are handled in each case.

**Relative Standard Error:** The relative standard error (RSE) statistic, usually given as a percentage, 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 the 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 or mean. Note that reported RSEs are always estimates themselves, and are usually, as here, reported as percentages. As an example, suppose that a net generation from coal value is estimated to be 1,507 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 may represent 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. Experiments were done to see if nonresponse should be treated differently, but it was decided to treat those cases the same as out-of-sample cases.

**Relative Standard Error With Respect to a Superpopulation:** The RSESP statistic is similar to the RSE (described above). Like the RSE, it is a statistic designed to estimate the variability of data and is usually given as a percentage. However, where the RSE is only designed to estimate the magnitude of sampling error, the RSESP more fully reflects the impact of variability from sampling and non-sampling errors. This is a more complete measure than RSE in that it can measure statistical variability in a complete census in addition to a sample<sup>21,24</sup>. In addition to being a measure of data variability, the RSESP can also be useful in comparing different models that are applied to the same set of data<sup>22</sup>. This capability is used to test different regression models for imputation and prediction. This testing may include considerations such as comparing different regressors, the comparative reliability of different monthly samples, or the use of different geographical strata or groupings for a given model. For testing purposes, ERUS typically uses recent historical data that have been finalized. Typically, time-series graphics showing two or more models or samples are generated showing the RSESP values over time. In selecting models, consideration is given to total survey error as well as any apparent differences in robustness.

Imputation: For monthly data, if the reported values appeared to be in error and the data issue could not be resolved with the respondent, or if the facility was a nonrespondent, a regression methodology is used to impute for the facility. The same procedure is used to estimate ("predict") data for facilities not in the monthly sample. The regression methodology relies on other data to make estimates for erroneous or missing responses.

Estimation for missing monthly data is accomplished by relating the observed data each month to one or more other data elements (regressors) for which we generally have an annual census. Each year, when new annual regressor data are available, recent monthly relationships are updated, causing slight revisions to estimated monthly results. These revisions are made as soon as the annual data are released.

The basic technique employed is described in the paper "Model-Based Sampling and Inference<sup>16</sup>," on the EIA website. Additional references can be found on the InterStat website (<http://interstat.statjournals.net/>). The basis for the current methodology involves a 'borrowing of strength' technique for small domains.

### Data revision procedure

ERUS has adopted the following policy with respect to the revision and correction of recurrent data in energy publications:

- Annual survey data are disseminated either as preliminary or final when first appearing in a data product. Data initially released as preliminary will be so noted in the data product. These data are typically released as final by the next dissemination of the same product; however, if final data are available at an earlier interval they may be released in another product.
- All monthly survey data are first disseminated as preliminary. These data are revised after the prior year's data are finalized and are disseminated as revised preliminary. No revisions are made to the published data before this or subsequent to these data being finalized unless significant errors are discovered.
- After data are disseminated as final, further revisions will be considered if they 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.
- The magnitudes of changes due to revisions experienced in the past will be included periodically in the data products, so that the reader can assess the accuracy of the data.

### Data sources for Electric Power Monthly

Data published in the EPM are compiled from the following sources:

- Form EIA-923, "Power Plant Operations Report,"
- Form EIA 826, "Monthly Electric Utility Sales and Revenues with State Distributions Report,"
- Form EIA 860, "Annual Electric Generator Report,"
- Form EIA-860M, "Monthly Update to the Annual Electric Generator Report," and

- Form EIA 861, “Annual Electric Power Industry Report.”

For access to these forms and their instructions, please see:

<http://www.eia.gov/cneaf/electricity/page/forms.html>.

In addition to the above-named forms, the historical data published in the EPM for periods prior to 2008 are compiled from the following sources:

- FERC Form 423, “Monthly Report of 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-860A, “Annual Electric Generator Report–Utility,”
- Form EIA-860B, “Annual Electric Generator Report–Nonutility,”
- Form EIA-900, “Monthly Nonutility Power Report,”
- Form EIA-906, “Power Plant Report,” and
- Form EIA-920, “Combined Heat and Power Plant Report.”

See Appendix A of the historical Electric Power Annual reports to find descriptions of forms that are no longer in use. The publications can be found from the top of the current EPA under previous issues: <http://www.eia.gov/electricity/annual>.

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

**Percent difference:** The following formula is used to calculate percent differences:

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

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

**Meanings of symbols appearing in tables:** The following symbols have the meaning described below:

P Indicates a preliminary value.

NM Data value is not meaningful, either (1) when compared to the same value for the previous time period, or (2) when a data value is not meaningful due to having a high Relative Standard Error (RSE).

## 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 500 of the largest electric utilities (primarily investor owned and publicly owned) as well as a census of energy service providers with sales to ultimate consumers in deregulated States. Form EIA-861, 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.

**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 price of electricity to ultimate consumers 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 energy providers to ultimate consumers 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 EPM April 2001, p.1.)

With the October 2004 issue of the 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 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.

Beginning with 2008 data and some annual 2007 data, the Form EIA-923 replaced Forms EIA-906, EIA-920, EIA-423, and FERC 423. In addition, several sections of the discontinued Form EIA-767 have been included in either the Form EIA-860 or Form EIA-923. See the following link for a detailed explanation. <http://www.eia.gov/cneaf/electricity/2008forms/consolidate.html>

The legislative authority to collect these data is defined in the Federal Energy Administration Act of 1974 (Public Law 93-275, Sec. 13(b), 5(a), 5(b), 52).

**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 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 the price of electricity to ultimate consumers at the State level. The estimates are accumulated separately to produce the Census division and U.S. level estimates<sup>1</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 price of electricity to ultimate consumers 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 price of electricity to ultimate consumers represents the cost per unit of electricity sold and is calculated by dividing electric revenue from ultimate consumers by the corresponding sales of electricity. The average price of electricity to ultimate consumers is calculated for all consumers and for each end-use sector.

The electric revenue used to calculate the average price of electricity to ultimate consumers 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 price of electricity to ultimate consumers 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, 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, "Annual Electric Generator Report," 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 generator level. Certain power plant environmental-related data are collected at the boiler level. These data include environmental equipment design parameters, boiler air emission standards, and boiler emission controls. The Form EIA-860 is made available in January to collect data related to the previous year.

**Instrument and design history:** The Form EIA-860 was originally implemented in January 1985 to collect data 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 EIA-411. In January 1999, the Form EIA-860 was renamed the Form EIA-860A, "Annual Electric Generator Report – Utility" and was implemented to collect data from electric utilities 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.

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.

The Federal Energy Administration Act of 1974 (Public Law 93-275) defines the legislative authority to collect these data.



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

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

Prime Mover Code	Prime Mover Description
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
Petroleum Products	WC	Waste/Other Coal (including anthracite culm, bituminous gob, fine coal, lignite waste, waste coal)
	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)
Natural Gas and Other Gases	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)
	BFG	Blast Furnace Gas
Nuclear	NG	Natural Gas
	OG	Other Gas
Hydroelectric Conventional	NUC	Nuclear (including Uranium, Plutonium, and Thorium)
	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
Hydroelectric Pumped Storage	WAT (Prime Mover = PS)	Pumping Energy for Reversible (Pumped Storage) Hydroelectric Turbine
	WDS	Wood/Wood Waste Solids (including paper pellets, railroad ties, utility poles, wood chips, bark, and wood waste solids)
Wood and Wood-Derived Fuels	WDL	Wood Waste Liquids (excluding Black Liquor but including red liquor, sludge wood, spent sulfite liquor, and other wood-based liquids)
	BLQ	Black Liquor
	AB	Agricultural By-Products
Other Biomass	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
Other Renewable Energy Sources	SLW	Sludge Waste
	SUN	Solar (including solar thermal)
	WND	Wind
Other Energy Sources	GEO	Geothermal
	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-860M

The Form EIA 860M, “Monthly Update to the Annual Electric Generator Report,” is a mandatory monthly survey that collects data on the status of proposed new generators or changes to existing generators for plants that report on Form EIA-860.

The Form EIA-860M has a rolling frame based upon planned changes to capacity as reported on the previous Form EIA-860. Respondents are added to the frame 12 months prior to the expected effective date for all new units or expected retirement date for existing units. For all other types of capacity changes (including retirements, uprates, derates, repowering, or other modifications), respondents are added 1 month prior to the anticipated modification change date. Respondents are removed from the frame at the completion of the changes or if the change date is moved back so that the plant no longer qualifies to be in the frame. Typically, 150 to 200 utilities per month are required to report for 175 to 250 plants (including 250 to 400 generating units) on this form. The unit characteristics of interest are changes to the previously reported planned operating month and year, prime mover type, capacity, and energy sources.

**Instrument and design history:** The data collected on Form EIA-860M was originally collected via phone calls at the end of each month. During 2005, the Form EIA-860M was introduced as a mandatory form using the Internet Data Collection (IDC) system.

The legislative authority to collect these data is defined in the Federal Energy Administration Act of 1974 (Public Law 93-275, Sec. 13(b), 5(a), 5(b), 52).

**Data processing and data system editing:** Approximately 150 to 200 utilities are requested to provide data each month on the Form EIA 860M. These data are collected via the IDC system and automatically checked for certain errors. Most of the quality assurance issues are addressed by the respondents as part of the automatic edit check process. In some cases, respondents are subsequently contacted about their explanatory overrides to the edit checks.

**Sensitive data:** Data collected on the Form EIA-860M are not considered to be sensitive.

### Form EIA-861

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

**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.

**Data processing and data system editing:** The Form EIA 861 is made available to the respondents in January of each year to collect data as of the end of the preceding calendar year. The data are edited when entered into the interactive on line system. Internal edit checks are performed to verify that current data total across and between schedules, and are comparable to data reported the previous year. Edit checks are also performed to compare data reported on the Form EIA 861 and similar data reported on the Form EIA 826. Respondents are telephoned to obtain clarification of reported data and to obtain missing data.

Data for the Form EIA 861 are collected at the owner level from all electric utilities including energy service providers in the United States, its territories, and Puerto Rico. Form EIA 861 data in this report are for the United States only.

Average price of electricity to ultimate consumers represents the cost per unit of electricity sold and is calculated by dividing electric revenue from ultimate consumers by the corresponding sales of electricity. The average price of electricity to ultimate consumers is calculated for all consumers and for each end-use sector.

The electric revenue used to calculate the average price of electricity to ultimate consumers 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 State and Federal income taxes and other taxes paid by the utility.

The average price of electricity to ultimate consumers reported in this publication by sector represents 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 to the electric power industry participant for providing electrical service.

**Sensitive data:** Data collected on the Form EIA-861 are not considered to be sensitive.

## Form EIA-923

Form EIA-923, "Power Plant Operations Report," is a monthly collection of data on receipts and cost of fossil fuels, fuel stocks, generation, consumption of fuel for generation, and environmental data (e.g. emission controls and cooling systems). Data are collected from a monthly sample of approximately 1,900 plants, which includes a census of nuclear and pumped-storage hydroelectric plants. In addition approximately 4,050 plants, representing all other generators 1 MW or greater, are collected annually. In addition to electric power generating plants, respondents include fuel storage terminals without

generating capacity that receive shipments of fossil fuels 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. 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 all other plants, consumption is reported at the prime-mover level. For these plants, generation is reported either at the prime-mover level or, for noncombustible sources (e.g. wind, nuclear), at the prime-mover and energy source level. The source and disposition of electricity is reported annually for nonutilities at the plant level as is revenue from sales for resale. Environmental data are collected annually from facilities that have a steam turbine capacity of at least 10 megawatts.

### **Instrument and design history:**

#### *Receipts and cost and quality of fossil fuels*

On July 7, 1972, the Federal Power Commission (FPC) issued Order Number 453 enacting the New Code of Federal Regulations, Section 141.61, legally 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. The FERC Form 423 replaced the FPC Form 423 in January 1983. The FERC Form 423 eliminated peaking units, for which data were previously collected on the FPC Form 423. 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. Starting with the January 1993 data, the FERC began to collect the data directly from the respondents.

The Form EIA-423 was originally implemented in January 2002 to collect monthly cost and quality data for fossil fuel receipts from owners or operators of nonutility electricity generating plants. 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 above) 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 non-regulated power producers. Its design closely followed that of the FERC Form 423.

Both the Form EIA-423 and FERC Form 423 were superseded by Schedule 2 of the Form EIA-923 in January of 2008. At the time, the Form EIA-923 maintained the 50-megawatt threshold for these data. In January 2013, the threshold was changed to 200 megawatts for plants primarily fueled by natural gas, petroleum coke, distillate fuel oil, and residual fuel oil. The requirement to report self-produced and minor fuels, i.e., blast furnace gas, other manufactured gases, kerosene, jet fuel, propane, and waste oils was eliminated. The threshold for coal plants remained at 50 megawatts.

Not all data are collected monthly on the Form EIA-923. Beginning with 2008 data, a sample of the respondents report monthly, with the remainder reporting annually. Until January 2013, monthly fuel receipts values for the annual surveys were imputed via regression. Prior to 2008, Schedule 2 annual data were not collected or imputed.

### *Generation, consumption, and stocks*

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 Federal Power Commission (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<sup>14</sup>. In 1998, the form 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<sup>15</sup>. In 2000, the form was modified to include the production of useful thermal output data.

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 combined heat and power plants; all other plants that generate electricity continue 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.

Forms EIA-906 and EIA-920 were superseded by survey Form EIA-923 beginning in January 2008 with the collection of annual 2007 data and monthly 2008 data.

**Data processing and data system editing:** Respondents are encouraged to enter data directly into a computerized database via the Internet Data Collection (IDC) system. A variety of automated quality control mechanisms are run during this process, such as range checks and comparisons with historical data. These edit checks are performed as the data are provided, and many problems that are encountered are resolved during the reporting process. Those plants that are unable to use the electronic reporting medium provide the data in hard copy, typically via fax. These data are manually entered into the computerized database. The data are subjected to the same edits as those that are electronically submitted.

If the reported data appear to be in error and the data issue cannot be resolved by follow up contact with the respondent, or if a facility is a nonrespondent, a regression methodology is used to impute for the facility. Beginning in January 2013, imputation is not performed for fuel receipts data reported on Schedule 2.

**Imputation:** For select survey data elements collected monthly, regression prediction, or imputation, is done for missing data, including non-sampled units and any non-respondents. For data collected annually, imputation is performed for non-respondents. For gross generation and total fuel

consumption, multiple regression is used for imputation (see discussion, above). Only approximately 0.02 percent of the national total generation for 2010 is imputed, although this will vary by State and energy source.

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

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

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

**Receipts of fossil fuels:** Receipts data, including cost and quality of fuels, are collected at the plant level from selected electric generating plants and fossil-fuel storage terminals in the United States. These plants include independent power producers, electric utilities, and commercial and industrial combined heat and power producers. All plants with a total fossil-fueled nameplate capacity of 50 megawatts or more (excluding storage terminals, which do not produce electricity) were required to report receipts of fossil fuels. In January 2013, the threshold was changed to 200 megawatts for plants primarily fueled by natural gas, petroleum coke, distillate fuel oil, and residual fuel oil. The requirement to report self-produced and minor fuels, i.e., blast furnace gas, other manufactured gases, kerosene, jet fuel, propane, and waste oils was eliminated. The threshold for coal plants remained at 50 megawatts. 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.

For coal, units for receipts are in tons and units for average heat contents (A) are in million Btu per ton. For petroleum, units for receipts are in barrels and units for average heat contents (A) are in million Btu per barrel.

For gas, units for receipts are in thousand cubic feet (Mcf) and units for average heat contents (A) are in million Btu per thousand cubic foot.

**Power production, fuel stocks, and fuel consumption data:** 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 Federal Power Commission (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.

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In January 2004, Form EIA-920 superseded Form EIA-906 for those plants defined as combined heat and power plants; all other plants that generate electricity continue to report on Form EIA-906.

In January 2008, Form EIA-923 superseded both the Forms EIA-906 and EIA-920 for the collection of these data.

**Methodology to estimate biogenic and non-biogenic municipal solid waste<sup>2</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 publication, *Municipal Solid Waste in the United States: 2005 Facts and Figures*. The Btu contents of the components of MSW were obtained from various sources.

The potential quantities of combustible MSW discards (which include all MSW material available for combustion with energy recovery, discards to landfill, and other disposal) were multiplied by their respective Btu contents. The EPA-based categories of MSW were then classified into renewable and non-renewable groupings. From this, EIA calculated how much of the energy potentially consumed from MSW was attributed to biogenic components and how much to non-biogenic components (see Tables 1 and 2, below).<sup>3</sup>

These values are used to allocate net generation published in the Electric Power Monthly generation 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
Biogenic	57	56	55	55	56	57	55	54	51	50
Non-biogenic	43	44	45	45	44	43	46	46	49	50

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

	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
Biogenic	77	77	76	76	75	67	65	65	64	64
Non-biogenic	23	23	24	24	25	34	35	35	36	36

**Useful thermal output:** With the implementation of the Form EIA-923, “Power Plant Operations Report,” in 2008, combined heat and power (CHP) plants are required to report total fuel consumed and electric power generation. Beginning with the January 2008 data, EIA will estimate the allocation of the total fuel consumed at CHP plants between electric power generation and useful thermal output.

First, an efficiency factor is determined for each plant and prime mover type. Based on data for electric power generation and useful thermal output 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 useful thermal output (UTO), divided by the total input in Btu. Electric power is converted to Btu at 3,412 Btu per kilowatt-hour.

Second, to calculate the amount of fuel for electric power, the gross generation in Btu is multiplied 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.

**Conversion of petroleum coke to liquid petroleum:** The quantity conversion is 5 barrels (of 42 U.S. gallons each) per short ton (2,000 pounds).

**Conversion of propane gas to liquid petroleum:** The quantity conversion is 1.53 Mcf (thousand cubic feet) per barrel (or 42 U.S. gallons each).

**Conversion of synthesis gas from coal to coal:** The quantity conversion is 98 Mcf (thousand cubic feet) per short ton (2,000 pounds).

**Conversion of synthesis gas from petroleum coke to petroleum coke:** The quantity conversion is 107.42 Mcf (thousand cubic feet) per short ton (2,000 pounds).

**Issues within historical data series:**

*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 due 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. In January 2013, this estimation procedure was dropped.

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 the FERC 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. Furthermore, there may be a notable increase in fuel receipts beginning with January 2008 data.

Starting with the revised data for 2008, tables for total receipts begin to reflect estimation for all plants with capacity over 1 megawatt, to be consistent with other electric power data. Previous receipts data published have been 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 EPM (i.e., 1 megawatt and above), with associated relative standard errors, provides a more complete assessment of the market.

*Generation and consumption*

Beginning in 2008, a new method of allocating fuel consumption between electric power generation and useful thermal output (UTO) was implemented. This new methodology evenly distributes a combined heat and power (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 decreased while the fuel for UTO is increased 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:** Most of the data collected on the Form EIA-923 are not considered business sensitive. However, the cost of fuel delivered to nonutilities, commodity cost of fossil fuels, and reported fuel stocks at the end of the reporting period 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)).

### 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:

$$CapacityFactor = \left( \frac{\sum_{x,m} Generation_{x,m}}{\sum_{x,m} Capacity_{x,m} * AvailableTime_{x,m}} \right)$$

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.

### NERC classification

The Florida Reliability Coordinating Council (FRCC) separated itself from the Southeastern Electric Reliability Council (SERC) in the mid-1990s. In 1998, several utilities realigned from Southwest Power Pool (SPP) to SERC. Name changes altered both the Mid-Continent Area Power Pool (MAPP) to the Midwest Reliability Organization (MRO) and the Western Systems Coordinating Council (WSCC) to the Western Energy 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. Both the States of Alaska and Hawaii are not contiguous with the other continental States and have no electrical interconnections. At the close of calendar year 2005, the following reliability regional councils were dissolved: East Central Area Reliability Coordinating 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 from a delegation of authority from NERC to handle the regional responsibilities of the Electric Reliability Council of Texas (ERCOT). The revised delegation agreements covering all the regions were approved by the Federal Energy Regulatory Commission on March 21, 2008. Reliability Councils that are unchanged include: Florida Reliability Coordinating Council (FRCC), Northeast Power Coordinating Council (NPCC), and the Western Energy Coordinating Council (WECC)

The new NERC Regional Council 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).

## Business classification

Nonutility power producers consist of corporations, persons, agencies, authorities, or other legal entities that own or operate facilities for electric generation but are not electric utilities. This includes qualifying cogenerators, small power producer, and independent power producers. Furthermore, 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 manufacturing, agricultural, forestry, transportation, finance, service and administrative industries, based on the Office of Management and Budget's Standard Industrial Classification (SIC) Manual. In 1997, the SIC Manual name was changed to North American Industry Classification System (NAICS). The following is a list of the main classifications and the category of primary business activity within each classification.

### Agriculture, Forestry, and Fishing

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

### Mining

- 211 Oil and gas extraction
- 2121 Coal mining
- 2122 Metal mining

2123 Mining and quarrying of nonmetallic minerals except fuels

**Construction**

23

**Manufacturing**

311 Food and kindred products  
3122 Tobacco products  
314 Textile and mill products  
315 Apparel and other finished products made from fabrics and similar materials  
316 Leather and leather products  
321 Lumber and wood products, except furniture  
322 Paper and allied products (other than 322122 or 32213)  
322122 Paper mills, except building paper  
32213 Paperboard mills  
323 Printing and publishing  
324 Petroleum refining and related industries (other than 32411)  
32411 Petroleum refining  
325 Chemicals and allied products (other than 325188, 325211, 32512, or 325311)  
32512 Industrial organic chemicals  
325188 Industrial Inorganic Chemicals  
325211 Plastics materials and resins  
325311 Nitrogenous fertilizers  
326 Rubber and miscellaneous plastic products  
327 Stone, clay, glass, and concrete products (other than 32731)  
32731 Cement, hydraulic  
331 Primary metal industries (other than 331111 or 331312)  
331111 Blast furnaces and steel mills  
331312 Primary aluminum  
332 Fabricated metal products, except machinery and transportation equipment  
333 Industrial and commercial equipment and components except computer equipment  
3345 Measuring, analyzing, and controlling instruments, photographic, medical, and optical goods, watches and clocks  
335 Electronic and other electrical equipment and components except computer equipment  
336 Transportation equipment  
337 Furniture and fixtures  
339 Miscellaneous manufacturing industries

## **Transportation and Public Utilities**

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

## **Wholesale Trade**

421 to 422

## **Retail Trade**

441 to 454

## **Finance, Insurance, and Real Estate**

521 to 533

## **Services**

- 512 Motion pictures
- 514 Business services
  - 514199 Miscellaneous services
- 541 Legal services
- 561 Engineering, accounting, research, management, and related services
- 611 Education services
- 622 Health services
- 624 Social services
- 712 Museums, art galleries, and botanical and zoological gardens
- 713 Amusement and recreation services
- 721 Hotels
- 811 Miscellaneous repair services
- 8111 Automotive repair, services, and parking
- 812 Personal services
- 813 Membership organizations
- 814 Private households

## Public Administration

92

### 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

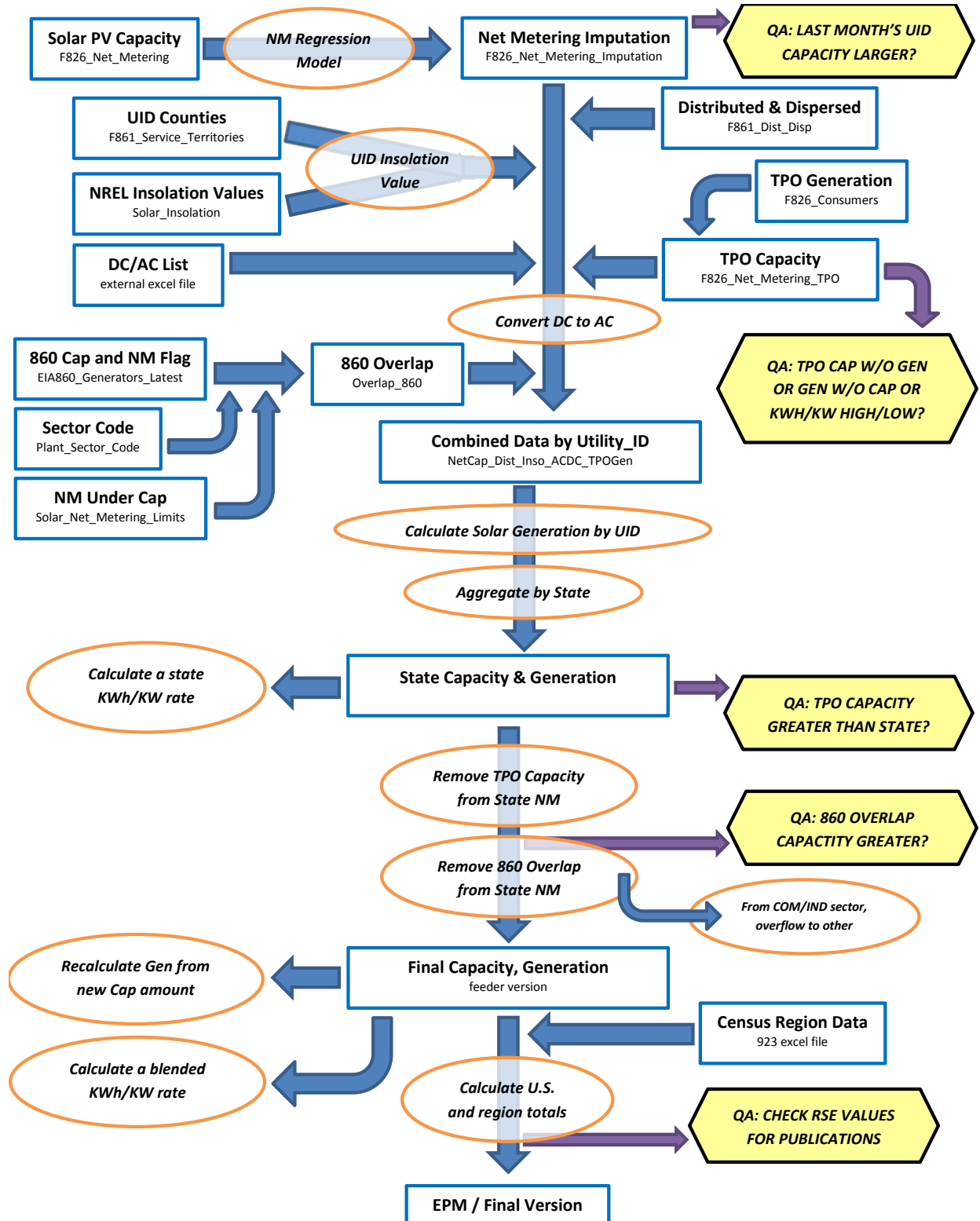
Site	Weather Location	MSA
1	USA NY New York Central Park Obs.	New York-Newark-Jersey City, NY-NJ-PA MSA
2	USA CA Los Angeles Intl Airport	Los Angeles-Long Beach-Anaheim, CA MSA
3	USA IL Chicago Midway Airport	Chicago-Naperville-Elgin, IL-IN-WI MSA
4	USA TX Dallas-fort Worth Intl Airport	Dallas-Fort Worth-Arlington, 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

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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



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

<sup>3</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.