

<b>U.S. Department of Energy Energy Information Administration Form EIA-423 (2004)</b>	<b>MONTHLY COST AND QUALITY OF FUELS FOR ELECTRIC PLANTS REPORT</b>	<b>Form Approved OMB No. 1905-0129 Approval Expires 11/30/04</b>
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**GENERAL INFORMATION**

**PURPOSE**  
Form EIA-423 collects information from selected electric generating plants in the United States. Data collected on this survey include the cost and quality of fossil fuels delivered to unregulated plants to produce electricity. These plants include combined heat and power (CHP) plants. The data collected on this form will appear in the following EIA publications: *Electric Power Monthly*, *Electric Power Annual*, *Monthly Energy Review*, and *Annual Energy Review*. Because fuel cost data are proprietary, that data will only be included at an aggregate level that will protect the information of individual facilities from disclosure.

**REQUIRED RESPONDENTS**  
The owner or operator of an electricity generating plant or CHP plant must file the Form EIA-423 if the plant's total fossil-fueled nameplate generating capacity is 50 or more megawatts. Respondents who are currently filing data on the FERC Form 423 (in most cases, regulated utility steam-electric generators) are not required to submit this survey. For plants that have tolling agreements, all necessary data should be obtained from the fuel supplier. If the fuel supplier will not provide the data to the owner or operator, the responsibility for filing the survey rests with the fuel supplier.

**SANCTIONS**  
Form EIA-423 is to be completed monthly, within 45 days of the close of the business month. The timely submission of Form EIA-423 by those required to report is mandatory under Section 13(b) of the Federal Energy Administration Act of 1974 (FEAA) (Public Law 93-275), as amended. Failure to respond may result in a penalty of not more than \$2,750 per day for each civil violation, or a fine of not more than \$5,000 per day for each criminal violation. The government may bring a civil action to prohibit reporting violations, which may result in a temporary restraining order or a preliminary or permanent injunction without bond. In such civil action, the court may also issue mandatory injunctions commanding any person to comply with these reporting requirements. **Title 18 U.S.C. 1001 makes it a criminal offense for any person knowingly and willingly to make to any Agency or Department of the United States any false, fictitious, or fraudulent statements as to any matter within its jurisdiction.**

**METHOD OF FILING RESPONSE**  
Submit your data electronically using EIA's Internet Data Collection (IDC) system.

- If you have not registered with EIA's Single Sign-On system, send an e-mail requesting assistance to Rebecca A. McNerney at: [eia-423@eia.doe.gov](mailto:eia-423@eia.doe.gov).  
**Important Note:** Even if you used the IDC system in 2003, you will need to register with Single Sign-On for 2004. If you have not done so or are not sure, e-mail EIA as noted immediately above.
- If you have registered with Single Sign-On, log on at: <https://signon.eia.doe.gov/ssoserver/login>.
- If you are having a technical problem with logging into or using the IDC system, contact the IDC Help Desk at:  
E-mail: [CNEAFhelpcenter@eia.doe.gov](mailto:CNEAFhelpcenter@eia.doe.gov)  
Phone: (202) 287-1333
- If you need an alternate means of filing your response, contact the Help Desk.

Retain a completed copy of this form for your files.

**CONTACT**  
**Internet System Questions:** For questions related to the Internet Data Collection system, see the help contact information immediately above.  
**Data Questions:** For questions about the data requested on Form EIA-423, contact:

Rebecca A. McNerney  
Telephone Number: (202) 287-1913  
FAX Number: (202) 287-1944 or (202) 287-1946  
E-mail: [eia-423@eia.doe.gov](mailto:eia-423@eia.doe.gov)

**REPORTING BURDEN**  
Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including the time of reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Energy Information Administration, Statistics and Methods Group, EI-70 Forrestal Building, 1000 Independence Avenue SW, Washington, D.C. 20585-0670; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503. A person is not required to respond to the collection of information unless the form displays a valid OMB number.

**CONFIDENTIALITY**

The fuel cost information reported on Form EIA-423 will be kept confidential and not disclosed to the public to the extent that it satisfies the criteria for exemption under the Freedom of Information Act (FOIA), 5 U.S.C. §552, the DOE regulations, 10 C.F.R. §1004.11, implementing the FOIA, and the Trade Secrets Act, 18 U.S.C. §1905. The Energy Information Administration (EIA) will protect your information in accordance with its confidentiality and security policies and procedures.

The Federal Energy Administration Act requires the EIA to provide company-specific data to other Federal agencies when requested for official use. The information reported on this form may also be made available, upon request, to another component of the Department of Energy (DOE); to any Committee of Congress, the General Accounting Office, or other Federal agencies authorized by law to receive such information. A court of competent jurisdiction may obtain this information in response to an order. The information may be used for any nonstatistical purposes such as administrative, regulatory, law enforcement, or adjudicatory purposes.

The information contained on this form relating to Column "I" Fuel Cost – Plant Purchase Price will be kept confidential. Disclosure limitation procedures are applied to the statistical data published from EIA-423 survey information to ensure that the risk of disclosure of identifiable information is very small.

All other information reported on Form EIA-423 will not be treated as confidential and may be publicly released in identifiable form. In addition to the use of the information by EIA for statistical purposes, the information may be used for any nonstatistical purposes such as administrative, regulatory, law enforcement, or adjudicatory purposes.

INSTRUCTIONS

Submit the completed Form EIA-423 to the EIA within 45 days of the close of the business month. Enter the Internet Data Collection system with the ID and password.

1. Verify all information, including operator and plant names and identification numbers; plant site address; contact name, address, telephone number, FAX number, title, and e-mail address; and the contact's supervisor's name, title, phone number, and e-mail address. If incorrect, revise the incorrect entry and provide the correct information. State codes are two-character U.S. Postal Service abbreviations. Provide any missing information. In the spaces provided, indicate the month for which you are reporting.
2. **Revision Policy:** Revisions or adjustments to data should be made only to the survey month(s) to which they pertain. (Do not adjust the current month to reflect a revision or adjustment to a prior month submission.) Submit revisions to data previously reported as soon as possible after the error or omission is discovered. Do not wait to revise data until the next reporting month's form is due. A new submission must be completed for each revised page. If you report via the Internet Data Collection system, you may go directly into the system and make the change. **Indicate in the Notes Section the nature and date of the revision.** If the revision is for a month that has been closed out, further instructions will appear on your screen. **If you report via Internet Secure File Transfer, you may send a corrected copy of the form, but be sure to indicate in the Notes Section (1) that it is a revision, (2) the month that is being revised, (3) what has been revised, and (4) the date of the revision.**
3. Electric generating plants should report all deliveries of fossil fuels received. Fuel which has been purchased but sent to a remote, off-site storage plant should not be reported until it is actually delivered to the plant. Examples include:
  - a. Coal which is purchased and sent to a river dock for storage before final shipment to the plant. This coal should not be reported on the EIA-423 until it is actually delivered to the plant. The filing to EIA should show as the source of the coal the originating mine(s) if that can be taken from inventory accounting or estimated; otherwise, the dock should be shown as the origin source. The delivered price of the coal should be the total cost including the purchase price plus all transportation, handling and storage costs associated with moving the coal from the mine to the plant.
  - b. Natural gas which has been purchased and injected into storage. This gas should not be reported on the EIA-423 until it is actually delivered to the plant. The delivered price of the gas should be the total cost including the purchase price plus all transportation and storage costs associated with moving the gas to the plant.

CHP plants should report only fossil fuels received for use in processes that generate electricity. If fuel receipts cannot be allocated between CHP processes and other (thermal only) industrial processes, then simply report all fuel receipts.

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

Coal receipts should be separated into three purchase types: contract, new contract, and spot-market. Report "C" for contract under **Column 'a' Purchase Type** if the fuel is received under a purchase order or contract that has a total duration of one year or longer.

If a new contract is signed or an existing contract is renegotiated, report "NC" for purchase type if the contract has a duration of one year or longer. Use the "NC" designation only in the month that the new contract begins. In each subsequent month, report a "C" until the contract expires.

Report "S" under purchase type for spot market if the fuel is received under a purchase order or contract that has a total duration of less than one year. The expiration date in **Column 'b'** should remain blank for spot-market purchases. **Coal received from spot-market purchases and from contract purchases should never be aggregated and reported as one line item.**

If coal received under a purchase order or contract originates in more than one county and a county-level breakdown is not available, report estimates for each county. If estimates are not available, report the origin as the county where the majority of the coal originates.

**Petroleum and Gas:** Report data by supplier, or aggregate by pipeline or distributor. Aggregation of fuel deliveries from various suppliers is allowed only if the purchase type and fuel are identical. Contract and spot-market purchases must be reported as separate line items. Firm, interruptible, or spot-market purchases must be reported as separate line items. The reported cost and quality data would be the weighted average of the aggregated deliveries. For petroleum, use "C" (contract), "NC" (new contract), or "S" (spot-market) for **Column 'a' Purchase Type**. For gas, use "F" (firm), "I" (interruptible), or "S" (spot-market) for **Column 'a' Purchase Type**. Fuel received under separate purchase types should never be aggregated and reported as one delivery.

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

- C - Contract Purchase** of fuel received under a purchase order or contract that has a duration of **one year or longer**.
- NC - New Contract or Renegotiated Contract Purchase** under which deliveries were first made during the reporting month.
- S - Spot-Market Purchase** of fuel received under a purchase order or contract that has a duration of **less than one year**.

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

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

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

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

- For **Column 'b' Expiration Date**, enter the month and the year the purchase order or contract expires if the expiration date is within 24 months of the survey-reporting month. For example, report "1103" for a November 2003 expiration date. This column should be left blank if **Column 'a' Purchase Type** contains an "S" for spot-market purchase.
- For **Column 'c' Fuel**, identify purchased fossil fuels (including start-up and flame stabilization fuel) using the following abbreviations:

<u>Energy Source Code</u>	<u>Units</u>	<u>Energy Source</u>
BIT	Tons	(Anthracite Coal, Bituminous Coal)
LIG	Tons	Lignite Coal
SUB	Tons	Subbituminous Coal
WC	Tons	Waste/Other Coal (Anthracite Culm, Bituminous Gob, Fine Coal, Lignite Waste, Waste Coal)
SC	Tons	Coal-based Synfuel (includes briquettes, pellets, or extrusions, which are formed by binding materials and processes that recycle material)
PC	Tons	Petroleum Coke
DFO	Barrels	Distillate Fuel Oil (includes all Diesel and No. 1, No. 2, and No. 4 Fuel Oils)
JF	Barrels	Jet Fuel
KER	Barrels	Kerosene
RFO	Barrels	Residual Fuel Oil (includes No. 5 and No. 6 Fuel Oils and Bunker C Fuel Oil)
WO	Barrels	Oil-Other, and Waste Oil (Butane (Liquid), Crude Oil, Liquid Byproducts, Oil Waste, Propane (Liquid), Re-Refined Motor Oil, Sludge Oil, Tar Oil)
NG	Mcf	Natural Gas

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

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

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

- For **Column 'f' Coal Mine County**, use the three-digit Federal Information Processing Standards (FIPS) County Code, which can be found on the Internet at [www.eia.doe.gov/cneaf/electricity/page/statecodes/statecodes.html](http://www.eia.doe.gov/cneaf/electricity/page/statecodes/statecodes.html), to show the county in which the coal was mined or contact the survey manager. Do not report the location of the transfer facilities, shipping facilities, preparation plants, or mining company headquarters. Use only the mine location to determine the county of origin. If the coal from the supplier originates from more than one county, use separate lines to show county of origin and appropriate quantity, quality and cost data. For imported coal, enter "999" in place of the county of origin.
- For **Column 'g' Supplier**, enter the name of the company, mine, or broker for all coal receipts. For petroleum receipts, enter the name of the company or broker. For gas receipts, enter the name of the pipeline, distributor, broker, or producer.
- For **Column 'h' Quantity Received**, enter quantities in tons for coal and other solid fuels, barrels for oil and other liquid fuels, and thousands of cubic feet for gas.
- For **Column 'i' Btu Content**, enter the average Btu content for each fuel in terms of MMBtu per ton for solid fuel, MMBtu per barrel for liquid fuel, and MMBtu per thousand cubic feet for gas. Show to the nearest 0.01 MMBtu.
- For **Column 'j' Sulfur Content**, for all fuels except gas, enter the sulfur content of the fuel in terms of percent sulfur by weight. Show to the nearest 0.01 percent.

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14. For **Column 'k' Ash Content**, for all fuels except gas, enter the ash content of the fuel in terms of percent ash by weight. Show to the nearest 0.1 percent. Footnote if the reported ash content for coal is an estimate.
15. For **Column 'l' Delivered Fuel Cost - Plant Purchase Price**, enter the delivered cost of the fuel in **cents** to the nearest 0.1 cent. This cost should include all costs incurred in the purchase and delivery of the fuel to the plant. It should not include unloading costs. Do not include adjustments associated with prior months fuel costs. These adjustments should be made only by revising the appropriate prior months submissions. **The current month fuel costs should reflect only costs associated with the current month fuel deliveries.**

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

  - a. The cost of leasing or maintaining railcars, if this expense is paid separate from the rail rate.
  - b. Capacity release revenues from the sale of unused firm natural gas transportation capacity.
  - c. Revenues from the sale of fuel which was purchased and resold, even if a portion of the purchase is delivered to the plant.
  - d. Costs associated with unloading fuel at the plant or on-site fuel storage.
  - e. Costs or revenues associated with the disposal or clean-up of combustion residuals, such as ash disposal.
16. **Revisions and Adjustments: The current month fuel costs should reflect only costs associated with the current month fuel deliveries.** Revisions or adjustments to data should be made only to the survey month(s) to which they pertain. Do not adjust the current month to reflect a revision or adjustment to a prior month submission.) Submit revisions to data previously reported as soon as possible after the error or omission is discovered. See the full note on Revision Policy (item 2, above).

GLOSSARY

**Ash Content:** The measurement of all non-combustibles (ash) in terms of percent by weight on an “as received” basis.

**Btu Content:** The measurement of the energy content of the fuel on an “as received” basis. A Btu (or British Thermal Unit) is the quantity of heat required to raise the temperature of 1 pound of water by 1 degree Fahrenheit at the temperature at which water has its greatest density (approximately 39 degrees Fahrenheit).

**Combined Heat and Power (CHP) Plant:** A plant designed to produce both heat and electricity from a single heat source. Note: This term is being used in place of the term “cogenerator” that was used by EIA in the past. CHP better describes the facilities because some of the plants included do not produce heat and power in a sequential fashion and, as a result, do not meet the legal definition of cogeneration specified in the Public Utility Regulatory Policies Act (PURPA).

**Contract Purchase (or Contract Receipt):** A purchase based on a negotiated agreement that generally covers a period of 1 or more years.

**Fuel:** Any material substance that can be consumed to supply heat or power. Included are petroleum, coal, and natural gas (the fossil fuels), and other consumable materials, such as uranium, biomass, and hydrogen. For CHP facilities, it may include fuel used to produce thermal output that is not associated with the production of electricity. (For the purpose of this form, only fossil fuels are to be reported.)

**Firm Gas Purchase:** Gas purchased on a long-term contract with guarantee of delivery.

**Interruptible Gas Purchase:** Gas purchased on a long-term contract without guarantee of delivery. The contract specifies circumstances that permit the curtailment of service by the pipeline or distribution company.

**Plant Purchase Price:** The delivered cost of fuel in cents per million Btu. The cost includes all commodity, freight, taxes, and other costs incurred in the delivery of fuel to the plant. It does not include unloading costs. A current month fuel cost should reflect only costs associated with the current month fuel deliveries.

**Quantity Received:** The volume of fuel received for use in the production of electricity.

Industrial CHP facilities should report only fossil fuels received for use in the process of generating electricity. If the CHP process is such that fuel receipt statistics cannot be separated or allocated between fuel received for electricity production and that received primarily for other industrial processes, then simply report all fuel receipts.

**Regulated Entity (Utility):** A corporation, person, agency, authority, or other legal entity or instrumentality aligned with distribution facilities for delivery of electric energy for use primarily by the public. Included are investor-owned electric utilities, municipal and State utilities, Federal electric utilities, and rural electric cooperatives. A few entities that are tariff based and corporately aligned with companies that own distribution facilities are also included. *Note:* Due to the issuance of FERC Order 888 that required traditional electric utilities to functionally unbundle their generation, transmission, and distribution operations, “electric utility” currently has inconsistent interpretations from State to State.

**Spot Market Purchase:** A single shipment of fuel or volumes of fuel purchased for delivery within 1 year. Spot purchases are often made by a user to fulfill a certain portion of energy requirements, to meet unanticipated energy needs, or to take advantage of low-fuel prices.

**Sulfur Content:** The measurement of sulfur in terms of percent by weight on an “as received” basis.

**Surface Mine:** A coal-producing mine that is usually within a few hundred feet of the surface. Earth above or around the coal (overburden) is removed to expose the coalbed, which is then mined with surface excavation equipment, such as draglines, power shovels, bulldozers, loaders, and augers. It may also be known as an area, contour, open-pit, strip, or auger mine.

**Tolling Agreement:** An arrangement that allows one company to have marketing control of electricity produced by generating assets owned by another company. The agreement usually requires the marketer to procure the fuel supply necessary to produce the electricity.

**Underground Mine:** A mine where coal is produced by tunneling into the earth to the coalbed, which is then mined with underground mining equipment such as cutting machines and continuous, longwall, and shortwall mining machines. Underground mines are classified according to the type of opening used to reach the coal, i.e., drift (level tunnel), slope (inclined tunnel), or shaft (vertical tunnel).

**Unregulated Entity (Nonutility):** A corporation, person, agency, authority, or other legal entity or instrumentality that owns or operates facilities for electric generation and is not an electric utility. Nonutility power producers include qualifying **cogenerators**, qualifying small power producers, and other nonutility generators (including independent power producers). Nonutility power producers are without a designated franchised service area and do not file forms listed in the Code of Federal Regulations, Title 18, Part 141.