QUARTERLY SURVEY OF INDUSTRIAL, COMMERCIAL, AND INSTITUTIONAL COAL USERS (FORM EIA-3) INSTRUCTIONS

QUESTIONS

If you have any questions about this U.S. Energy Information Administration (EIA) survey after reading the instructions, please contact the EIA Customer Service Center at 1-855-EIA-4USA (1-855-342-4872). You may also email support questions to eia4usa@eia.gov.

PURPOSE

The U.S. Energy Information Administration’s (EIA) Form EIA-3, Quarterly Survey of Industrial, Commercial, & Institutional Coal Users, collects data from U.S. manufacturing plants, coal transformation/processing plants, coke plants, and commercial and institutional users of coal. The information collected includes basic statistics concerning coal consumption, prices, quality, and stocks. These data appear in the Annual Coal Report, Quarterly Coal Report, Monthly Energy Review, and State Energy Profiles. In addition, the EIA uses the data for coal demand analyses and in short-term modeling efforts, which produce forecasts of coal demand that may be presented to Congress. The fore-cast data appear in the Short-Term Energy Outlook and Annual Energy Outlook as well.

DUE DATE

Submit form EIA-3 no later than 30 days after the end of the reporting quarter. The reporting quarters are as follows: First Quarter, January 1 - March 31; Second Quarter, April 1 - June 30; Third Quarter, July 1 - September 30; Fourth Quarter, October 1 - December 31.

HOW TO SUBMIT

The form must be submitted to EIA via electronic filing using the Data XChange Portal. The Data XChange Portal is a secure Web-based application that will enable you to enter the required data interactively. Follow the instructions on the Data XChange Portal to complete the online form.

SURVEY INSTRUCTIONS

Contact information for this company

- Report contact information for the company that owns the site for which this survey is being completed.
- The company contact person must be able to verify all the information submitted and answer any questions concerning the information reported on this survey.
- The company contact person should NOT be the preparer.

Report characteristics of the coal receipts at this site during the reporting quarter

- **Origin of Coal (A) and Rank of Coal (D):** See below for codes.
- **MSHA ID of Coal Mine (C):** Refer to http://www.msha.gov/drs/drshome.htm#MID for assistance in finding the MSHA ID.
- **Is this a Spot-Market or Contract Purchase? (E):** Coal received from spot-market purchases and from contract purchases must be reported separately. Data on coal received under each purchase order or contract from the same supplier must be reported separately. Coal purchases can be aggregated when supplier, purchase type, contract data, rank of coal, mode of transportation, costs, fuel quality, and all mine information are identical.
- **Is this a Spot-Market or Contract Purchase Codes (E):** S—Spot-Market; C—Contract Purchase.
- **Multiple shipments received from one MSHA ID can be combined into one entry as long as Coal Rank is the same.**
- **Input the computed weighted average for heat, sulfur, ash, and mercury content.**
- **Mercury Content (I):** If lab tests of the coal receipts do not include the mercury content, enter the amount specified in the contract with the supplier. If mercury content information is not available from these sources, please enter “0” for mercury content.
- **Commodity Cost (J):** Commodity cost is free-on-board and does not include freight, insurance, and taxes.
- **Average Cost of Delivered Coal (K):** Report Commodity Cost (J), plus insurance, freight, and taxes.
- **Mode of Transportation (L, M):** The Primary Mode of Transportation refers to the longest leg from the mine. The Secondary Mode of Transportation refers to the second longest leg from the mine. See page 13 for additional instructions on Mode of Transportation.
- **Mode of Transportation Codes (L, M):** TR—Truck; RR—Railroad; BG—Barge; GL—Great Lakes and tidewater barges and colliers; PC—Pipelines, slurry pipelines, conveyors and tramways; OV—Ocean vessel.
Codes for use when completing the EIA-3 Form.

Codes for Section 4:
“Origin of Coal (A)”

States:
AL—Alabama
AK—Alaska
AR—Arkansas
AZ—Arizona
CO—Colorado
IL—Illinois
IN—Indiana
IA—Iowa
KS—Kansas
EKY—Kentucky, Eastern
WKY—Kentucky, Western
LA—Louisiana
MD—Maryland
MS—Mississippi
MO—Missouri
MT—Montana
NM—New Mexico
ND—North Dakota
OH—Ohio
OK—Oklahoma
PAA—Pennsylvania, Anthracite
PAB—Pennsylvania, Bituminous
TN—Tennessee
TX—Texas
UT—Utah
VA—Virginia
WA—Washington
NWV—West Virginia, Northern
SWV—West Virginia, Southern
WY—Wyoming

Countries:
AU—Australia
CL—Columbia
CN—Canada
IS—Indonesia
MX—Mexico
VZ—Venezuela
OT—Other (please specify)

“RANK OF COAL (D)”
ANT—Anthracite
BIT—Bituminous
SUB—Subbituminous
LIG—Lignite
RC—Refined Coal
WOC—Waste Coal

Special instructions for “Primary/Secondary Mode of Transportation from Site (L) (M):
1. The Primary Mode of Transportation refers to the longest leg from the mine. The Secondary Mode of Transportation refers to the second longest leg from the mine.
2. If only one mode of transportation is used for a shipment, enter the applicable code under the Primary Mode column.
3. If more than one method of transportation is used for a single shipment, enter the applicable code for Secondary Mode as well.
4. If two methods of Transportation are used for a single shipment and both distances are equal, then the Primary Mode shall be considered the method used to deliver coal to the consumer. Enter the other method utilized under Secondary Mode.
5. If more than two methods are used in a single shipment, only the Primary and Secondary Modes should be reported.
6. Do not report “Truck” as a Transportation mode if trucks are used to transport coal exclusively on private roads between the mine and the rail loadout or barge terminal.
7. Do not report the Transportation modes used entirely within a mine, terminal or power plant (e.g. trucks used to move coal from a mine pit to the mine loadout, conveyors at a power plant used to move coal from the plant storage pile to the plant, etc.).
8. For mine mouth coal plants, report “Conveyor” (code “PC”) as the Primary Mode if the conveyor feeding the coal to the plant site originates at the mine. Otherwise, report the Primary Mode (typically truck or rail) used to move the coal to the plant site.
9. If the coal has a foreign origin and has to be transported from the ocean vessel to a plant site elsewhere, then the Primary and Secondary Transportation Modes are the methods used within the United States. For example, if the coal is unloaded from an ocean vessel and moved from the port to the plant by railroad, then select “RR” as the Primary Transportation Mode.
10. If the coal is unloaded from an ocean vessel directly to the plant site, then select “OV” as the Primary Transportation Mode.

Codes for Sections 6, 7, and 8

States:
AL—Alabama
AK—Alaska
AR—Arkansas
AZ—Arizona
CA—California
CO—Colorado
CT—Connecticut
DE—Delaware
DC—District of Columbia
FL—Florida
GA—Georgia
HI—Hawaii
ID—Idaho
IL—Illinois
IN—Indiana
IA—Iowa
KS—Kansas

Codes for Sections 6, 7, and 8 (Cont’d.)
KY—Kentucky
LA—Louisiana
ME—Maine
MD—Maryland
MA—Massachusetts
MI—Michigan
MN—Minnesota
MS—Mississippi
MO—Missouri
MT—Montana
NE—Nebraska
NV—Nevada
NH—New Hampshire
NJ—New Jersey
NM—New Mexico
NY—New York
NC—North Carolina
ND—North Dakota
OH—Ohio
OK—Oklahoma
OR—Oregon
PA—Pennsylvania
RI—Rhode Island
SC—South Carolina
SD—South Dakota
TN—Tennessee
TX—Texas
UT—Utah
VT—Vermont
VA—Virginia
WA—Washington
WV—West Virginia
WI—Wisconsin
WY—Wyoming

Countries:
CN—Canada
MX—Mexico
OS—Overseas (other than Canada or Mexico)

Codes for Sections 6, 7, and 8.

Type of Consumer:

AG—Agriculture, Mining and Construction: Companies engaged in agriculture, mining, or construction industries. Exclude transformed coal consumed by companies producing construction materials (such as brick and cement), industrial minerals (such as Bentonite) and agricultural supplies (such as fertilizer) and by companies engaged in processing agricultural products. These distributions or sales are to be included in Manufacturing (MF).

CP—Coke Plants: All plants where transformed coal is carbonized for the manufacture of coke. Shipments of transformed coal to coke plants for use in space heating or electric power generation should be included with Manufacturing (MF).

CI—Commercial/Institutional: Wholesale or retail businesses; health institutions (hospitals); social and educational institutions (schools and universities); and Federal, State and local governments (military installations, prisons, office buildings, etc.). Exclude shipments to Federal power projects, such as TVA; and rural electrification cooperatives, power districts and State power projects. These are to be included in Electric Generation (EG).

EG—Electric Generation: All utility and non-utility power producers. All privately owned companies and all publicly owned agencies engaged in the production of electric power for public use. Publicly owned agencies include the following: Municipal electric utilities; Federal power projects, such as the Tennessee Valley Authority (TVA); and rural electrification cooperatives, power districts, and State power projects.

MF—Manufacturing (except Coke Plants): Those industrial users/plants, not including coke plants, that are engaged in the mechanical or chemical transformation of materials or substances into new (i.e., finished or semi-finished) products.

SE—Sales to Employees: Transformed coal sold to employees during the reporting year.

OT—Other: Shipments of transformed coal to any other consumer category. In page 12, enter a brief explanation of the buyer’s general business.

Primary/Secondary Modes of Transportation:

TR—Truck
RR—Railroad
BG—Barge
GL—Great Lakes and tidewater barges and colliers
PC—Pipelines, slurry pipelines, conveyors and tramways
OV—Ocean Vessel

SANCTIONS

The timely submission of Form EIA-3 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 (codified at 15 U.S.C. 772). Failure to respond may result in criminal fines, civil penalties, and other sanctions as provided by law. 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 a 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.
REPORTING BURDEN

Public reporting burden for this collection of information is estimated to average 1.25 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, Office of Survey Development and Statistical Integration, EI-21, Forrestal, 1000 Independence Ave., SW, Washington, DC 20585; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

DISCLOSURE OF INFORMATION

The information reported on this form will be protected 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 Federal Energy Administration Act requires the Energy Information Administration to provide company-specific data to other Federal agencies when requested for official use. The information reported on these forms may also be made available, upon request, to another component of the Department of Energy (DOE); to any Committee of Congress, the Government Accountability 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 non-statistical purposes such as administrative, regulatory, law enforcement, or adjudicatory purposes.

Disclosure limitation procedures are applied to the cost data reported in Parts 3 and 4 to ensure that the risk of disclosure of identifiable information is very small. Disclosure limitation procedures are not applied to the other aggregate statistical and quantity data published from this survey. Thus, there may be some statistics that are based on data from fewer than three respondents, or that are dominated by data from one or two large respondents. In these cases, it may be possible for a knowledgeable person to estimate the information reported by a specific respondent.