2019 RP₃ APPLICATION

Contents

Discipline: Utility Demographics

Subsection: Employee Demographics

Question 0.0.0:

*This is an informational question only.

Please fill in the number of employees **in your electric department** for each category below. Please **attach** an organizational chart and/or other supporting documentation that clearly illustrates your electric employee breakdown. For multi-service utilities (e.g. electric, gas, water, etc.), look at the help text for additional information to complete this section.

Required – Overall Employee Demographics:

Employee Category	Number of Employees
Total for Entire Utility	
Total for Electric Only	
Total Professional/Office Employees (ex: HR, legal, accounting, etc.)	
Total Operational Employees (ex: line workers, engineers, electricians, etc.)	

Optional – Additional Employee Details:

NOTE: Total for each category should match overall number above.

Employee Category	Number of Employees
Professional/Office Employees	
Management (ex: general manager, office manager)	
Legal (ex: general counsel, attorney)	
Accounting (ex: billing manager, cashier)	
Administrative (ex: secretary, bookkeeper)	
Human Resources (ex: HR manager, payroll specialist)	
Other	
Operational Employees	
Line workers	
Engineers	
Electricians	
Metering Employees	
Generation Employees	
Transmission Employees	
Distribution Employees	
Other	

Please also **attach** a high-quality photo featuring your utility logo or your RP$_3$ team with your utility logo. This will be used during the awards ceremony at the E&O Conference should your utility achieve designation status.

Discipline: Reliability

Subsection: Reliability Indices Collection

Question I.A.1:

Does your utility monitor and track reliability data?

◯ Yes

> If **yes**, what method(s) does your utility use to monitor and track reliability data?
>
> **Attach** a sample of method(s) used.
>
> ☐ Hand calculations
>
> ☐ The Association's eReliability Tracker service
>
> ☐ Alternate software program
>
> ☐ Other method
>
> If **other**, please describe in detail the process your utility uses:

◯ No

Question I.A.2:

Use the table below to indicate each reliability statistic tracked by your utility and provide the most recent year's calculation **(January 1, 2018 - December 31, 2018).** If your utility uses a different time period or method of calculating the index, explain in the area below. Refer to the Institute of Electrical and Electronics Engineers (IEEE) 1366 standard for more information on reliability statistics. Also indicate your organization's goals/targets for each tracked index in order to receive full credit.

Example:

Index	Period of Measure	Value of Index	Utility Goal/Target
SAIDI (Minutes/Year)	July 2018 – July 2019	45.6 minutes	40 minutes

For utilities with only a transmission system, your standard reliability metrics, including any metrics that are calculated for NERC purposes, can be reported for credit.

A minimum of three metrics including utility goal/targets is required for full credit. Please note that if the data is imported from the eReliability Tracker, the indices will be calculated with an end and start date of the current date (the date in which the indices are imported) and a year prior to that date, respectively.

Index	Period of Measure	Value of Index	Utility Goal/Target
SAIDI (Minutes/Year)			
CAIDI (Minutes/Year)			
ASAI (% based on year)			
MAIFI (Interruptions per year)			
SAIFI (Interruptions per year)			
Other			

If **other**, please describe the index(s) your utility uses and your utility's goal/target for the index(s):

Discipline: Reliability

Subsection: Reliability Indices Use

Question I.B.1:

Does your utility use service reliability indices to maintain and improve utility operations?

○ Yes

If **yes**, how is your utility using service reliability indices to improve the system?

NOTE: Leading practice is to use at least four of the methods listed below.

Check **all** that apply:

☐ Worst performing circuit identification

☐ Vegetation management (e.g., tree trimming)

☐ Install covered wire

☐ Distribution circuit inspection program

☐ Convert overhead to underground

☐ Install lightning arresters

☐ Install animal/squirrel guards/wildlife protection

☐ Perform thermographic circuit inspections

☐ Perform transformer load management

☐ Economic development

☐ Send indices to Public Utilities Commission/City Council/Governing Board

☐ Produce publicly available report

☐ Underground cable replacements/injections and testing

☐ Other

If **other**, please describe or include attachments:

[ ]

○ No

Does your utility participate in a reliability benchmarking survey or service?

○ Yes

If **yes**, identify the reliability benchmarking survey or service your utility participates in.

Check **all** that apply:

NOTE: Leading practice is to participate in a national reliability benchmarking service.

☐ Our utility participates in the Association's Distribution System Reliability & Operations Survey

☐ Our utility uses the Association's eReliability Tracker benchmarking service

☐ Our utility participates in some other national reliability benchmarking survey or service

Attach documentation of the other national reliability benchmarking survey or service that your utility uses.

☐ Our utility participates in a regional reliability benchmarking survey or service

Attach documentation of the regional reliability benchmarking survey or service that your utility uses.

○ No

Discipline: Reliability

Subsection: Mutual Aid

Question I.C.1:

Does your utility participate in a mutual aid program?

○ Yes

If **yes**, identify the mutual aid program type(s) your utility participates in and attach documentation.

Check **all** that apply:

NOTE: Leading practice is to participate in a national mutual aid program.

☐ National – American Public Power Association

☐ National – Other

☐ Regional

☐ State

☐ Other

       If **other**, please explain:

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○ No

Discipline: Reliability

Subsection: Utility Disaster Plan

Question I.D.1:

Does your utility have a disaster plan or emergency response plan, or does your city have a disaster plan which includes an electric utility specific section?

NOTE: Leading practice is for disaster plans or emergency response plans to include detailed information on how utility personnel should proceed in a disaster.

○ Yes

If **yes**, attach an executive summary, table of contents, or the completed version of your utility's disaster plan including the revision date.

If **yes**, please indicate the topics addressed in your disaster plan.

Check **all** that apply:

☐ Damage assessment procedures

☐ List/contact information of all employees and critical customers

☐ List/contact information of suppliers – including food, fuel, lodging for mutual aid crews, etc.

☐ Location of Emergency Operations Center (EOC) and possible back up locations

☐ Radios/communication plans and policies

- [ ] Details regarding your system's coordination with, and role in, a city-wide, county-wide, or regional emergency plan
- [ ] Outline of outside resources that are available to the utility to rebuild the system
- [ ] List of electric supply companies that can be called on to provide materials
- [ ] Outline of the communications responsibilities to inform the public, government agencies, and the media on restoration efforts
- [ ] Priority list of restoration efforts (hospital, police, water/sewer plants, etc.)
- [ ] Regularly updated priority list of critical health care providers, including nursing homes and assisted living facilities
- [ ] Information for mutual aid crews
- [ ] Other

        If **other**, please describe or include attachments:


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        If **yes**, please indicate below when your utility's disaster plan was last revised or reviewed.

        NOTE: A utility should review or revise their disaster plan on an annual basis.

- [ ] 0-1 year ago
- [ ] 1-3 years ago
- [ ] Over 3 years ago

○ No, we are in the process of developing a plan.

        If **in development**, attach an executive summary, table of contents, or the completed portions of the draft from your utility's disaster plan including a draft date.

○ No

Discipline: Reliability

Subsection: Physical Security

Question I.E.1:

Has your utility addressed its physical security needs?

○ Yes

        If **yes**, check the boxes below to indicate what protective measures have been taken in the area of physical security.

Check **all** that apply:

☐ Security policy and awareness training for all employees

☐ Continuous barrier (fence or wall) around sensitive utility infrastructure

☐ Alarms and surveillance systems where needed

☐ Lighting around sensitive utility infrastructure

☐ Procedures for managing access control, such as recovering all keys and access cards from terminated utility employees or replacing locks on perimeter doors and gates as needed

☐ Required identification for all visitors entering utility's facilities and access cards for employees

☐ Background investigation concurrent with employment offer for all employees and special additional screening for fiduciary positions

☐ Other

If **other**, please describe the measures your utility uses:

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◯ No

Discipline: Reliability

Subsection: Cyber Security

Question I.F.1:

Does your utility have a policy or procedure in place that covers both cyber event prevention and cyber response in the event of a cyber security incident?

◯ Yes

If **yes**, please check the boxes below to indicate the items addressed by your utility's policy or procedure to prevent and to respond in the event of a cyber security incident.

Check **all** that apply:

☐ A plan to maintain an inventory of critical cyber or information technology assets through a manual process, or cyber asset tracking software

☐ A plan to monitor networks and assets for suspicious activities through a managed service security provider, or cyber tools suite

☐ A plan for the recovery of information and system performance

☐ Emergency contact information for cyber specific incidents

☐ Incorporation of an incident response playbook, such as the Association's Public Power Cyber Incident Response Playbook which covers national incident response coordination

☐ Clear assignment of cyber security responsibilities to appropriate personnel

☐ Other

If **other**, please explain:

○ No

Has your utility trained all relevant employees in cyber security awareness?

○ Yes

If **yes**, please check the boxes below to indicate the topics addressed in training.

Check **all** that apply:

☐ Utility policy or procedure that covers both cyber event prevention and cyber response

☐ Understanding and identifying sensitive information

☐ Use of security protections such as firewalls, data encryption, and passwords

☐ Additional training for employees with access to critical assets

☐ Detecting and avoiding phishing or spam email

☐ Using secure communication networks

☐ Procedures for incident response

☐ Other

If **other**, please explain:

○ No

Does your utility conduct periodic cyber security assessments of its system including identifying risks and potential mitigation actions?

NOTE: This assessment would involve looking at all cyber security risks including identifying business risks, appropriate preventative measures, and technical issues such as security gaps in network-connected devices.

○ Yes

If **yes**, what method(s) does your utility use to conduct assessments?

Check **all** that apply:

☐ The Association's Cybersecurity Scorecard based on the DOE Cybersecurity Capabilities Maturity Model (C2M2)

☐ NIST Cybersecurity Framework

☐ Utility evaluations of IT and OT networks

☐ Third-party evaluations of IT and OT networks

☐ Other

If **other**, please explain:

[   ]

If **yes**, what is the schedule for assessments of your system?

NOTE: Leading practice is for a utility to conduct these assessments annually **and** when new systems are implemented.

Check **all** that apply:

☐ Our utility conducts assessments multiple times a year

☐ Every year (annually)

☐ When new systems are implemented

☐ Other

If **other**, please explain:

[   ]

◯ No

Discipline: Safety

Subsection: Safety Manual

Question II.A.1:

Does your utility use a safety manual?

○ Yes

> If **yes**, please choose below:

☐ Our utility uses the American Public Power Association's Safety Manual.

> Which edition of the Association's Safety Manual is your utility currently using? [   ]
>
> **NOTE:** Leading practice is to use the most updated edition.

☐ Our utility uses a safety manual developed in-house.

> When was your utility's safety manual last revised or reviewed? [   ]
>
> **Attach** a copy of your utility's safety manual.
>
> **NOTE:** Leading practice is to revise or review the safety manual at least every five years.
>
> **NOTE:** The date of revision or review must be clearly shown on any documentation you provide.

☐ Our utility uses another safety manual or innovative approach.

> **Attach** documentation of your utility's innovative approach. Dates of any updates/reviews should be clear.

> If **yes**, does your utility formally review the manual with employees on an annual (or more frequent) basis and when a new revision is published?
>
> **NOTE:** This review can be a special meeting, or part of a regular safety meeting.
>
> ○ Yes
> ○ No

○ No

Question II.A.2:

Are all utility employees directed by utility management to use, read, and understand the designated safety manual?

NOTE: Examples of a directive include minutes from a city/utility board meeting, a copy of a formal memo issued to all employees, a copy of an e-mail sent to all employees from utility management (such as General Manager), etc.

NOTE: A signed front page of a safety manual **does not constitute a formal directive** to all employees to use the safety manual and will not be considered as documentation of a directive.

○ Yes

> **Attach** documentation of formal directive.

○ No

Discipline: Safety

Does your utility conduct regular safety meetings for electric employees?

○ Yes

> If **yes**, how often are the meetings held? Please indicate the frequency and duration (minutes/hours) of meetings for operations/field and management/administrative employees. Please also indicate the frequency of senior staff attendance.
>
> **NOTE:** Leading practice for meeting frequency and duration has been established as at least one hour per month for operations/field employees, and one hour per quarter for management/administrative/other employees. Senior management should participate in utility safety training initiatives at least once a year.
>
> **NOTE:** Job briefings, such as tailboard discussions, are not considered safety meetings for the purposes of this question.
>
> **Operations/Field Employees**
>
> ☐ Daily
>
> > Duration:
> >
> > [   ]
>
> ☐ Monthly
>
> > Duration:
> >
> > [   ]
>
> ☐ Quarterly
>
> > Duration:
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> > [   ]
>
> ☐ Semi-Annually
>
> > Duration:

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☐ Other

  If **other**, please explain:

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Management/Administrative/Other Employees

☐ Daily

  Duration:

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☐ Monthly

  Duration:

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☐ Quarterly

  Duration:

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☐ Semi-Annually

  Duration:

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☐ Other

  If **other**, please explain:

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If **yes**, does senior management actively participate in the utility's safety training initiatives for all employees at least once per year?

☐ Yes

☐   No

○ No

Question II.B.2:

Does your utility have a written policy or practice to enforce its safety rules?

○ Yes

  Describe or attach a copy of your utility's written policy or practice:

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◯ No

Question II.B.3:

Does your utility conduct monthly or more frequent job site inspections?

◯ Yes

Attach a copy of your utility's job site inspection form.

◯ No

Question II.B.4:

Does your utility require job briefings to be held for electric employees prior to the start of each job?

◯ Yes

If **yes**, does your utility require the briefings to be documented?

◯ Yes

Attach a copy of your utility's job briefing template.

◯ No

◯ No

Question II.B.5:

Does your utility have a practice or procedure to conduct a safety orientation with all non-utility employees (e.g. contractors, mutual aid situations) working on your system to ensure compliance with your utility's safety standards?

NOTE: A utility's job briefing form does not suffice as proof of safety orientation of non-utility employees and will not be considered as documentation.

◯ Yes

Describe or attach a copy of your utility's policy or procedure:

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│                                    │
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◯ No

Question II.B.6:

Does your utility change its safety practices/rules or take action to promote safety based on findings from accident investigations or near-miss reports when appropriate? (e.g. email to all staff to promote caution from a previous accident, changing a policy to reflect the accident, etc.)

NOTE: If no accidents or near-misses have occurred during the review period, the utility will receive full points if they provide a standard report form for near-misses or accidents.

○ Yes

     Attach a copy of your utility's accident investigation or near miss form.

○ No

Question II.B.7:

Does your utility provide annual refresher trainings for OSHA-type issues?
Note: Leading practice is for a utility to provide at least four types of safety training each year.

○ Yes

     If **yes**, specify all types of safety trainings by checking the relevant box(es) below:

     ☐ Bucket-truck rescue

     ☐ Confined space rescue/permit required confined spaces

     ☐ Cranes/derricks

     ☐ Hazardous energy control

     ☐ HazMat

     ☐ Incident investigation

     ☐ Job briefing

     ☐ CPR/AED (2-year certification)

     ☐ Ladder safety

     ☐ Lockout/tagout

     ☐ Pole-top rescue

     ☐ Enclosed spaces and working underground

     ☐ Underground electric transmission and distribution work

     ☐ Hazard recognition in trenching and shoring

     ☐ Other

        If **other**, please describe:

[ ]

○ No

Question II.B.8:

Does your utility provide Automated External Defibrillators (AEDs) at work site locations?

○ Yes, AEDs are available at all work site locations

NOTE: "At all work site locations" means immediately available in any work site environment, from an office setting to a field job site; if employees are working at a site in the field, there must be an AED present.

○ Yes, AEDs are available at some work site locations OR an alternative approach is used without availability at all work site locations

If an **alternative approach** is used, please describe:

[ ]

○ No

Question II.B.9:

Has your utility performed an arc hazard assessment for all areas where your personnel are exposed to electric hazard?

○ Yes

If **yes**, has your utility notified and trained all affected employees regarding the arc hazard requirements for each type of job?

☐ Yes

☐ No

○ No

Question II.B.10:

Does your utility conduct disaster drills that are electric-utility specific?

○ Yes

If **yes**, indicate which drill(s) were conducted and when the drill(s) were conducted in 2017, 2018, and 2019 (actual or planned drills), where applicable.

Attach a description of the procedures for **one** of the drills listed below, and lessons learned at that drill.

NOTE: An actual event can qualify as a "drill" **only if** the utility determined lessons learned from the event.

NOTE: Leading practice is to conduct a minimum of one disaster drill each calendar year.

Drill Type	Drill Type: Table Top (T), Field (F), or Both (B)	Dates of 2017 Drills Performed	Dates of 2018 Drills Performed	Dates of 2019 Drills Performed (Actual or Planned)
Earthquake				
Fire				
Flood				
Hurricane				
Snow/Ice Storm				
Terrorist Attack				
Tornado				
Workplace Violence				
Cyber Threat				
Other				

If **other**, please list other drill types and any additional information below:

○ No

Discipline: Safety

Subsection: Benchmarking

Question II.C.1:

Does your utility participate in safety index benchmarking?

○ Yes

If **yes**, identify the safety index benchmarking survey or service(s) your utility participates in.

Check **all** that apply:

NOTE: Leading practice is to participate in a national safety index benchmarking survey or service.

☐ The Association's Safety Awards of Excellence

☐ The Association's eSafety Tracker

☐ Other national safety index benchmarking survey or service

Attach documentation of the other national benchmarking survey or service your utility uses.

☐ OSHA 300 form

Attach your utility's OSHA 300 form.

☐ Other regional safety index benchmarking survey or service

Attach documentation of the other regional benchmarking survey or service your utility uses.

If **yes**, please provide your utility's incidence rate:

[   ]

Note: Incidence rate = (Total number of cases * 200,000) / Total worker hours of exposure

○ No

Discipline: Workforce Development

Subsection: Succession Planning and Recruitment

Question III.A.1:

Has your utility identified the demographics of its employees to prepare for succession planning?

◯ Yes

> If **yes**, what items does your utility identify for each employee?

> ☐ Age

> ☐ Eligibility for retirement

> > If your utility tracks this, what percent of employees are eligible for retirement within the next 5 years?

> > [ ]

> ☐ Position

> ☐ Other

> > If **other**, please explain:

> > [ ]

◯ No

Question III.A.2:

Has your utility addressed knowledge management relative to the changing workforce?

◯ Yes

> If **yes**, please check **all** the knowledge management tools your utility uses:

> **Attach** supporting documentation or detailed descriptions for each box checked.

> ☐ Developed a succession plan

> ☐ Cross training

> ☐ Shadowing

> ☐ Leadership programs

> ☐ Procedure manuals/desk reference materials/task manuals for key positions

> ☐ Hiring replacements for critical positions prior to departure

> ☐ Establishing relationships with universities and trade or technical schools

> ☐ Other

> > If **other,** please explain:

> > [ ]

◯ No

Does your utility have practices or procedures in place to address employee recruitment and retention?

◯ Yes

If **yes**, please check **all** that apply:

☐ Employee recognition

☐ Flexible hours

☐ Option to work from home

☐ Other

If **other**, please explain:

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◯ No

Does your utility participate in compensation or salary benchmarking at least once every three years?

◯ Yes

If **yes**, identify the type of benchmarking your utility participates in.

Check **all** that apply:

☐ Our utility participates in the Association's Salary Survey

☐ Our utility participates in some other compensation benchmarking survey or service

If **other**, please explain:

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◯ No

Discipline: Workforce Development

At the time of annual review, or other time of the year, does your utility set personal and/or professional goals for every employee?

NOTE: For the purposes of this application, a generic apprentice program is not considered part of a training program. To be considered for the RP$_3$ application, specific personal and/or professional goals must be set for each individual.

○ Yes

> If **yes**, please indicate which category/categories of employees your utility prepares development plans. **Attach** a sample development plan and/or goal for each category (you may black out the employee name for privacy if desired).
>
> **NOTE:** A utility should have development plans for all employee categories. Annual reviews can fulfill this requirement, as long as the review incorporates defined development goals for employees.
>
> **NOTE:** An individual development plan does not need to be an outline for employee promotion within the utility; rather, it should be designed to offer steps for employees to better themselves as individuals and employees.
>
> ☐ Operations/field employees (including line workers, meter readers, etc.)
> ☐ Management level employees
> ☐ Office personnel (including engineers, administrative, etc.)
> ☐ Other
>
> > If **other**, please identify:
> >
> >

○ No

Discipline: Workforce Development

Question III.C.1:

Does your utility have a written education policy, procedure, or program for professional development?

○ Yes

> If **yes,** attach a copy of your utility's written education policy/procedure/program.
>
> If **yes**, what area(s) does your utility's policy, procedure or program cover?
>
> Check **all** that apply:
>
> ☐ Tuition/reimbursement for courses, workshops, certificates, and credentials
> ☐ Internal university/school

☐ Alliance or agreement with an external university/school

☐ Other

> If **other**, please describe:
>
> ```
>
>
>
> ```

If **yes**, indicate below how your utility communicates its policy/procedure/program.

Check **all** that apply:

☐ E-mail

☐ Internal newsletter

☐ Office posting (e.g., to bulletin boards in lunchroom)

☐ Other

> If **other**, please describe:
>
> ```
>
>
>
> ```

If **yes**, how frequently is the policy/procedure/program communicated to employees?

NOTE: Leading practice is to communicate the policy/procedure/program upon hire **and** regularly throughout the year **as well as** when changes are made. Communication can happen at the time of annual performance evaluations.

Check **all** that apply:

☐ Upon hire

☐ Monthly

☐ Quarterly

☐ Annually

☐ When policy/procedure/program changes

☐ Other

> If **other**, please describe:
>
> ```
>
>
>
> ```

○ No

Does your utility support networking and personal/professional development by encouraging attendance across all employee groups at a wide variety of continuing education classes, workshops, local/state/national conferences, and attendance/participation in user/interest group meetings?

○ Yes

If **yes**, please provide a list with a representative sample of specific networking, development, and training opportunities attended by employees in different departments within the electric utility. **Be sure to include name of the event, type of the event (local, regional, national), employee group, and date of event.**

If **yes**, please indicate which types of networking and personal/professional development activities utility employees were involved in during the RP$_3$ application period (October 1, 2016-September 30, 2019) by marking the appropriate boxes in the table below:

Type	Operations/Field	Management/Administrative	Other (Please explain in attachment)
Classes/Workshops	☐	☐	☐
Local Conferences	☐	☐	☐
State/Regional Conferences	☐	☐	☐
National Conferences	☐	☐	☐
User/Interest Group Meetings	☐	☐	☐

○ No

Does your utility encourage and support active membership in professional, community leadership, and service-based organizations that benefit the utility?

Attach a representative listing of memberships your utility employees participated in during the last three years (October 1, 2016-September 30, 2019). Please include name of the employee, name of the organization, and dates served. Include only electric employees and members of your utility's governing board.
If compiling into one spreadsheet, please clearly note each separate category being addressed.

○ Yes

   Active membership in professional organizations and/or boards (i.e. : APPA, NESC, SHRM, NUTSEA, IEEE, JSA, EPRI, etc.)

○ Yes

> **Attach** a representative list of employees, organization names, and dates served.

○ No

Active membership in community leadership organizations and/or boards (i.e. : Chamber of Commerce, Better Business Bureau, Main Street, etc.)

○ Yes

> **Attach** a representative list of employees, organization names, and dates served.

○ No

Active membership or participation in service or volunteering organizations (i.e.: Little League, Boy/Girl Scouts of America, United Way, Kiwanis, etc.)

○ Yes

> **Attach** a representative list of employees, organization names, and dates served.

○ No

○ No

Discipline: System Improvement

Subsection: Research and Development

Question IV.A.1:

Is your utility a member of a research and development program?

○ Yes

> If **yes**, identify the program(s) that your utility is a member of and attach proof of membership.
>
> Check **all** that apply:
>
> **NOTE:** Leading practice is to participate in a national research and development program.
>
> ☐ Our utility is a member of the Association's R&D program, DEED
>
> ☐ Our utility is a member of EPRI's R&D program
>
> ☐ Our utility is a member of our state or regional R&D program
>
> > Please provide program name:
>
> ☐ Other
>
> > If **other**, describe in detail the research and development program your utility participates in:
>
> Please indicate how your utility participates in your research and development program(s).
>
> Check **all** that apply and if applicable, please list or attach project(s) or grant(s) below:

☐ Currently involved in grants/scholarships.

☐ Applied for grants/scholarships in the past 3 years

☐ Review of relevant research projects conducted by other utilities, for application to projects your utility is conducting (for example, DEED Project Database, DEED-published documents, or EPRI research papers)

☐ Use of software or technology developed by a utility research group (for example, GridLAB-D)

☐ Other

> If **other**, please list:

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○ No

Discipline: System Improvement

Subsection: System Maintenance and Betterment

Question IV.B.1:

Does your utility have and maintain records of all plant assets requiring maintenance, including a documented

maintenance and inspection schedule?

○ Yes

If **yes**, please attach a representative sample of maintenance or inspection records for assets identified below.

If **yes**, in the chart below please provide the schedule for maintenance/inspection for all plant assets requiring

maintenance on your system.

NOTE: Inspections are not limited to the list of examples provided in the chart below.

Asset Requiring Maintenance	Schedule for Maintenance/Inspection (e.g., yearly, every 10 years, daily, N/A)
Cable testing	
Capacitor switch testing	
Control testing	
Crossarm/insulator testing/inspections	
Cut-out testing/inspections	
Instrument transformer verification	
Meter testing	
Transformer pedestal inspections	
Pole testing	
Relay testing	
Substation battery testing/inspection	
Substation switch testing	
Substation transformer testing/inspections	
Transformer inspections (3-phase)	

Tree trimming	
Other	

If **other**, please list or include attachments:

○ No

Does your utility have any processes/programs in place that address overall system loss?

○ Yes

If **yes**, what are your utility's current system losses? (Percentage)

NOTE: Typical range is between 3-8%

If **yes,** please attach documentation showing how your system loss was calculated.

If **yes**, check the applicable method(s) used to lower system losses.

Check **all** that apply:

- ☐ Operation improvement (balancing loads and phases)
- ☐ Adding parallel feeders to reduce loading
- ☐ Volt/VAR management (capacitors, equipment upgrades, controllable loads, etc.)
- ☐ Distribution transformer management (e.g., analysis/upgrade, transformer load management to reduce losses, multiple transformers versus single transformer based on system analysis, voltage management, etc.)
- ☐ Theft prevention
- ☐ Calculate and consider losses in improvement decisions
- ☐ Voltage upgrade
- ☐ Conductor upgrade
- ☐ Other

If **other**, please describe in detail:

○ No

Has your utility performed an internal or external analysis or planning study to help evaluate the long-term needs of your utility's system infrastructure?

NOTE: If a load forecast was not performed based on an internal or external analysis, please select 'yes' and attach a statement explaining why.

○ Yes

> If **yes**, please attach the executive summary or table of contents of your utility's analysis or planning study.
>
> If **yes**, check **all** items below that are addressed in the analysis or planning study:
>
> ☐ Load forecast
> ☐ Contingency analysis (e.g., alternate feed)
> ☐ Fuse coordination/fault analysis
> ☐ Project identification
> ☐ Equipment age analysis
> ☐ Land and environmental analysis (e.g., SPCC, ROW)
> ☐ Capacity studies
> ☐ Load control (demand response)
> ☐ Other
>
> > If **other**, please describe or include attachments:
> >
> > [   ]
>
> If **yes**, please indicate the time frame for your utility's analysis or planning study:
>
> ☐ Conducted Annually/Ongoing Process
> ☐ Three Year System Plan
> ☐ Five Year System Plan
> ☐ Ten Year System Plan
> ☐ Other
>
> If **other**, identify the time frame of your system plan (e.g., ___ Year System Plan)
>
> [   ]

○ No

Subsection: Financial Health

Question IV.C.1:

Please provide a detailed description of projects that your utility has recently completed or will be working on in the near term (with a focus on the **past two years** and the **next two years**) as a way to continually improve its system. **Please attach a copy of your capital and O&M budget, along with detailed descriptions and a funding breakdown of those projects.**

Submission of your utility's capital improvement plan will suffice for this question, as long as it includes detailed descriptions of projects with a funding breakdown and any other information that will provide a clear picture of your utility's near-term capital and O&M projects. To sustain system excellence, a utility should regularly reinvest in maintaining and improving its system.

If your utility does not have a formal capital improvement plan, your write-up should be similar to what would be submitted to your utility and/or city board or council for approval and to inform them of projects to be completed in the current budget year. The write-up should include associated costs and projected budgets for all projects conducted in the past two years and planned for the next two years.

A document with project lists and estimated costs should be accompanied by detailed project descriptions. Suggested items that may be addressed in this section include:

- Distribution line extensions, replacements, or upgrades
- Substation projects (new installation or upgrades)
- Transmission replacements or extensions
- Upgrades to utility software/hardware
- Equipment upgrades (trucks/buildings/etc.)
- Reconductoring projects
- General maintenance

You may use the area below to provide a list with descriptions and supporting information. Separate attachments for each item are highly encouraged.

Does your utility have a policy or procedure to address the impact of customer-owned distributed energy resources (DER) on your utility's distribution system?

NOTE: If available, an attached Interconnection Agreement is encouraged, as these documents often address safety and power quality issues.

◯ Yes

If **yes**, please select the areas that your utility has addressed.

Check **all** that apply:

☐ Safety

☐ Power Quality

☐ System Optimization/DER circuit hosting capacity

☐ Interconnection Agreement (attachment encouraged)

☐ Other

If **other**, please explain:

◯ No

Has your utility implemented any policies and procedures to ensure financial health and stability?

NOTE: Leading practice is to conduct a cost of service study at least once every 5 years.

◯ Yes

If **yes**, what method(s) does your utility use to ensure financial health and stability?

☐ Have a cash reserve policy in place

☐ Financial ratio management

☐ Routinely conduct a cost of service study

Please provide date of last cost of service study and period covered.

☐ Other

If **other**, please explain:

◯ No