



American Public Power Association

2022 RP₃ APPLICATION

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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.)	

What other services does your utility provide?

- ☐ Water
- ☐ Sewer
- ☐ Gas
- ☐ Waste
- ☐ Internet
- ☐ Communication (Cellular Services)
- ☐ Cable (TV)
- ☐ Other:

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 RP₃ 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
- ☐ APPA's eReliability Tracker service
- ☐ Alternate software program
- ☐ Other method

If **other**, please describe in detail the process your utility uses and/or attach a screenshot:

☐ 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, 2021 - December 31, 2021**). 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 2021 – July 2022	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 goals or targets for each metric provided 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?

NOTE: If no reliability indices were provided on question I.A.2 (Reliability Statistic Tracking) but your utility does make system improvements, please select 'yes' and provide information on how the utility determines where and how to improve its system in order to earn points.

☐ Yes

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

NOTE: Leading practice is to use at least six 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

Question I.B.2:

Does your utility currently participate in a reliability benchmarking survey or service? This service should have been used within one year of your submission.

NOTE: A benchmarking survey or service provides comparisons of your utility's performance metrics to other utilities' metrics and can be utilized to identify areas for improvement.

☐ 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 survey or service.

- ☐ APPA's eReliability Tracker benchmarking service
- ☐ Other national reliability benchmarking survey or service

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

- ☐ Other regional reliability benchmarking survey or service

Attach documentation of the other regional benchmarking survey or service 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 – APPA

☐ National – Other

☐ Regional

☐ State

☐ Other

If **other**, please explain:

☐ 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 electric 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 and where they are referenced in your attachment(s). **Highlight** where each topic below is covered in the attached disaster plan **OR** include a **separate document that lists the page numbers where each topic is covered in the plan**.

Check **all** that apply:

Disaster Plan Topic	Addressed in Utility Plan? (Yes/No)	Attachment Name and Page Number
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 supply chain contacts 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 (attach documentation or description)		

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 (May 2021 – September 2022)
- ☐ 1-3 years ago (May 2019 – May 2021)
- ☐ Over 3 years ago (older than May 2019)

- ☐ 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

Question I.D.2:

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 2022 (actual or planned drills), where applicable.

Attach a description of the procedures for **one** of the drills listed below. Include an example of the lessons learned at that drill, as well as the necessary changes or adjustments your utility identified or made from these lessons.

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

NOTE: Drill must have been performed after January 1, 2022.

Drill Type	Drill Type: Table Top (T), Field (F), or Both (B)	Dates of 2022 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: 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:

☐ 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 APPA's Public Power Cyber Incident Response Playbook which covers national incident response coordination
- ☐ Clear assignment of cyber security responsibilities to appropriate personnel
- ☐ Implemented two-factor authentication
- ☐ Separation of IT and OT cyber security
- ☐ Membership in E-ISAC or similar organization
- ☐ Other

If **other**, please explain:

☐ No

Question I.F.2:

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 incident 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
- ☐ Regular exercises of incident response plan
- ☐ Other

If **other**, please explain:

How often does your utility complete this training?

- ☐ Quarterly
- ☐ Monthly
- ☐ Annually
- ☐ Less frequently than annually

☐ No

Question I.F.3:

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

NOTE: This assessment involves looking at all cyber security risks including identifying gaps in cybersecurity policies and procedures, appropriate preventative measures, and technical issues such as security gaps in network-connected devices. Continuous monitoring of your system **cannot be substituted** for conducting cybersecurity assessments.

☐ Yes

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

Check **all** that apply:

- ☐ 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 one or more times a year
- ☐ 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 APPA's Safety Manual is your utility currently using?

NOTE: Leading practice is to use the most updated edition.

☐ Our utility's APPA safety manual was purchased by a Joint Action Agency (JAA) or State Association (SA). Please provide the name of the JAA or SA.

☐ 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:

Has utility management issued a written directive to use, read, and understand the most current version of your designated safety manual?

NOTE: Examples of a directive include a formal memo issued to all employees or an e-mail sent to all employees from utility management (such as General Manager). See Appendix C in the application guide for a sample safety directive.

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

Subsection: Safe Work Practices

Question II.B.1:

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 of meetings for operations/field and management/administrative employees in the table below. 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	Frequency of Meetings at Your Utility
At least 1 hour/month [or 12 hours/year]	<input type="checkbox"/>
Less than 1 hour/month [or 12 hours/year]	<input type="checkbox"/>
Administrative/Management/Other Employees	

At least 1 hour/quarter [or 4 hours/year]	<input type="checkbox"/>
Less than 1 hour/quarter [or 4 hours/year]	<input type="checkbox"/>
Senior Management Attendance	
At least once a year	<input type="checkbox"/>
Less than once a year	<input type="checkbox"/>

☐ No

Question II.B.2:

Does your utility have a written policy or practice to address actions taken when safety rules are broken or violations occur?

NOTE: Enforcement includes disciplinary actions, penalties for non-compliance, and other ways to hold employees accountable. Find an example on our [RP3 Resources page](#). Your policy/practice must identify the corrective measures used when safety rules are broken or violations occur.

☐ Yes

Describe or attach a copy of your utility's written policy or practice. In this description or attachment, **highlight** areas that show management enforcing safety procedures:

☐ No

Question II.B.3:

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 filled-out copy or screenshot of a completed job briefing form. Examples must be from within the current application year.

- ☐ No
- ☐ No

Question II.B.4:

Does your utility conduct monthly or more frequent crew visits to perform job site inspections or audits?

NOTE: A job site inspection is not the same as a briefing. To view examples of job site inspection forms, visit the [RP3 resources page](#) or click [here](#).

- ☐ Yes

Attach a filled-out copy or screenshot of a completed job site inspection form. Examples must be from within the current application year.

- ☐ 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: Contract language is not sufficient for this procedure. Instead, utilities should have a meeting or established process to communicate with outside crews to go over safety practices. Safety orientations should provide utility-specific safety rules, processes, and procedures that will help non-utility staff be prepared before work begins. 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. If you do not have a formal policy, please describe the procedure you would use to orient a contractor or mutual aid utility.

- ☐ Yes

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

- ☐ 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 seven 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

☐ No

Question II.B.9:

Has your utility performed an arc hazard assessment for all areas where your personnel are exposed to electric hazards within the last 5 years or since the most recent system change that affected personnel exposed to electric hazards?

☐ 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

Discipline: Safety

Subsection: Benchmarking

Question II.C.1:

Does your utility participate in a safety index benchmarking survey or service on an annual basis?

NOTE: A benchmarking survey or service provides comparisons of your utility's performance metrics to other utilities' metrics and can be utilized to identify areas for improvement.

☐ 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.

☐ APPA's Safety Awards of Excellence

☐ APPA's eSafety Tracker service

☐ Other national safety index benchmarking survey or service

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

☐ Other regional safety index benchmarking survey or service

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

☐ 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 indicate **all** the knowledge management tools your utility uses in the table below.

Attach supporting documentation or detailed descriptions for each tool that your utility uses.

Knowledge Management Tool	Used by Your Utility? (Yes/No)	Attachment Name and Page Number
Develop and maintain a succession plan (reviewed and updated within the application period – since October 2019)		
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 (attach documentation or description)		

☐ No

Question III.A.3:

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

☐ Yes

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

- ☐ Maintain competitive compensation and benefits
- ☐ Offer performance incentives
- ☐ Third party recruiter or staffing agency
- ☐ Conduct student outreach programs at local schools, colleges, and universities
- ☐ Host student internship or pre-apprenticeship programs
- ☐ Employee referral programs
- ☐ Identifying targeted skills for future needs
- ☐ Social media or digital recruitment
- ☐ Other

If **other**, please explain:

☐ No

Question III.A.4:

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

☐ Yes

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

- ☐ Employee recognition
- ☐ Flexible hours
- ☐ Option to work from home

- ☐ Offer performance incentives
- ☐ Maintain competitive compensation and benefits
- ☐ Documented career pathways
- ☐ Paid time for volunteer services
- ☐ Other

If **other**, please explain:

☐ No

Question III.A.5:

Have you used data from a salary survey to benchmark your employee salaries during the application period (October 1, 2019 – September 30, 2022)?

For example: Have you conducted a salary review/study of your utility in the last three years? (Find examples in the RP3 Application Guide).

☐ Yes

If **yes**, identify the benchmarking source(s) your utility uses.

Check **all** that apply:

- ☐ APPA's Salary Survey
- ☐ Some other compensation benchmarking survey or service

If **other**, please explain:

☐ No

Discipline: Workforce Development

Subsection: Employee Development

Question III.B.1:

At the time of annual review, or other time of the year, does your utility set development goals or plans for every employee to foster development of their knowledge, skills, and abilities?

NOTE: For the purposes of this application, a generic apprentice program is not considered part of a development plan or development goal-setting process. To be considered for the RP₃ application, specific personal and/or professional development goals must be set for each individual.

☐ Yes

If **yes**, please indicate for which category/categories of employees your utility prepares development plans.

Attach a sample appraisal form showing goals or sample goals for each category (you may black out the employee name for privacy if desired).

NOTE: A utility should have development goals 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

Subsection: Education, Participation and Service

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 trade schools, colleges, or universities
- ☐ 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 (at least annually) **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

Question III.C.2:

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 event (classes/workshops, local, state/regional, national conferences, or user/interest groups), job classification, and date of event.** You can find an example of this list [here](#). If **yes**, please indicate which types of networking and personal/professional development activities utility employees were involved in during the RP₃ application period (October 1, 2019 - September 30, 2022) by marking the appropriate boxes in the table below:

NOTE: Virtual events also count for this question.

Type	Operations/Field	Management/Administrative	Other (Please explain in attachment)
Classes/Workshops	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Local Conferences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State/Regional Conferences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
National Conferences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
User/Interest Group Meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ No

Question III.C.3:

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

Attach a representative listing of organizations your utility employees participated in during the last three years (October 1, 2019 - September 30, 2022). 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

Please indicate how your utility participates in your research and development program(s).

Check **all** that apply. Please list or attach project(s) or grant(s) below:

☐ Applied for or currently involved in grants/scholarships within the application period (October 1, 2019 - September 30, 2022).

☐ Review of relevant research projects conducted by other utilities, for application to projects your utility is conducting (for example reviewing projects in the DEED Project Database, DEED-published documents, or EPRI research papers). **Attach or describe the actions taken to review relevant research.**

☐ Other

If **other**, please list:

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 APPA'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:

☐ 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 one form per each asset of a **completed** maintenance or inspection record (**no blank forms**) for at least 8 of the assets identified below to receive full points.

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	Completed Sample Attached? (Yes/No)	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		
Distribution transformer inspections		
Generation assets		
Instrument transformer verification		
Meter testing		
Proactive cable replacement		
Relay testing		
Substation battery testing/inspection		

Substation infrastructure inspections		
Substation switch testing		
Substation transformer testing/inspections		
Transmission infrastructure		
Tree trimming		
Underground infrastructure inspections		
Wood pole testing		
Other		

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

☐ No

Question IV.B.2:

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? **Attach** your system calculation. (Percentage)

NOTE: Typical range is between 3-8%

Do you have a goal for your system losses? If so, write below.

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

Question IV.B.3:

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. Even if the utility is not growing, please identify the considerations you are making for maintenance or replacement of aging infrastructure.

☐ 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. Please **highlight** the sections relevant to each item in your attachment(s):

- ☐ 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**, when was your last planning study conducted or reviewed?

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** – this may include the current application year) 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. To view an example, please visit the RP3 Resources page or click [here](#). The RP3 Panel would like to see materials for **both** the past two years and next two years to see that your utility is both actively working to better your system and proactively planning for system improvements in the future. To view examples of these descriptions, visit the RP3 resources page or click [here](#).

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.

Question IV.C.2:

Does your utility have an Interconnection Agreement 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.

NOTE: Requirements and guidance for standardized interconnection of DER can be found in IEEE 1547.

☐ 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
- ☐ Compliance with IEEE 1547
- ☐ Other

If **other**, please explain:

☐ No

Question IV.C.3:

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?

Check **all** that apply.

- ☐ Have a cash reserve policy in place
- ☐ Financial ratio management
- ☐ Conduct a rate of return calculation to determine financial health at least annually
- ☐ Audit financial statements at least annually
- ☐ Routinely conduct a cost of service study at least once every 5 years

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

☐ Other

If **other**, please explain:

☐ No