RP₃ Application

May 2025

Reliable Public Power Provider (RP$_3$) Application

Table of Contents

Discipline: Utility Demographics

Subsection: Employee Demographics

Question 0.0.0: Utility Employee Demographics

This is only an informational question.

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.

NOTE: A response is required for the first and second tables only. For any additional details provided, please make sure the numbers in the optional tables match the overall numbers above.

Overall Employee Demographics (Required)	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.)	

Other Services (Required)	Provided by your Utility?
Water	☐
Sewer	☐
Gas	☐
Waste	☐
Internet	☐
Communication (Cellular Services)	☐
Cable (TV)	☐
Other (Please explain below)	☐

Other (Please explain below):

Optional – Additional Employee Details:

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

Professional/Office Employees (Optional)	Number of 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 (Optional)	
Line workers	
Engineers	
Electricians	
Metering Employees	
Generation Employees	
Transmission Employees	
Distribution Employees	
Other	

Other utility information (Optional)	Yes	No
Does your utility have cybersecurity insurance?	☐	☐

Discipline: Reliability

Subsection: Reliability Indices Collection

Question I.A.1: Monitoring and Tracking Reliability Data

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
>
> ☐ Reliability software or tracking service
>
> ☐ Other method
>
> If **other**, please describe in detail the process your utility uses and/or attach a screenshot:
>
> **NOTE:** Please write "See attachment" if you elect to attach supporting materials rather than write a description in the text box below.

◯ No

Question I.A.2: Reliability Statistic Tracking

Use the table below to indicate each reliability statistic tracked by your utility and provide the most recent year's calculation **(January 1, 2024 - December 31, 2024).** 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.

Example:

Index	Period of Measure	Value of Index
SAIDI (Minutes/Year)	January 2024 – December 2024	45.6 minutes

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

Index	Period of Measure	Value of Index
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:

Subsection: Reliability Indices Use

Question I.B.1: National Reliability Benchmarking

Does your utility currently participate in a reliability benchmarking survey or service? This survey or 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.
>
> ☐ National reliability benchmarking survey or service
> > **Attach** documentation of the national benchmarking survey or service your utility uses.
> ☐ Regional reliability benchmarking survey or service
> > **Attach** documentation of the regional benchmarking survey or service your utility uses.
>
> If **yes**, does your utility set goals or targets for your reliability metrics based on the benchmarking information?

○ Yes

○ No

○ No

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

NOTE: If no reliability metrics 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 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:

NOTE: Please write "See attachment" if you elect to attach supporting materials rather than write a description in the text box below.

○ No

Discipline: Reliability

Subsection: Mutual Aid

Question I.C.1: National Mutual Aid Agreement

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
>
> ☐ Regional
>
> ☐ State
>
> ☐ Other
>
> > If **other**, please explain:
> >
> >

○ No

Subsection: Utility Emergency Response Plan

Question I.D.1: Utility Emergency Response Plan

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

NOTE: Leading practice is for 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 emergency response plan **including the revision date**.

NOTE: If your emergency response plan contains sensitive information, you can provide a redacted copy of your documentation.

NOTE: If you are submitting a city emergency response plan, highlight specific sections referring to your utility.

If **yes**, please indicate the topics addressed in your emergency response plan and where they are referenced in your attachment(s). <mark>Highlight</mark> **where each topic below is covered in the attached emergency response plan OR include a separate document that lists the page numbers where each topic is covered in the plan**.

Check **all** that apply:

Emergency Response Plan Topic	Addressed in Utility Plan? (Yes/No)	Attachment Name	Page Number
Damage assessment procedures			
List/contact information of all employees			
List/contact information of 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 for internal			

communications with utility staff, mutual aid crews, etc.			
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 emergency response plan was last revised or reviewed.

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

☐ 0-1 year ago (May 2024 – September 2025)

☐ 1-3 years ago (May 2022 – May 2024)

☐ Over 3 years ago (older than May 2022)

○ 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 emergency response plan including a draft date.

○ No

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 within the current application year (October 1, 2024 – September 30, 2025) (actual events or 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 could qualify as a "drill" **only if** the utility determined lessons learned from the event.

NOTE: Drill must have been performed within the current application year (October 1, 2024 – September 30, 2025).

NOTE: Please refer to your utility emergency response plan provided in Question I.D.1 when answering this disaster drills question.

Drill Type	Drill Type: Table Top (T), Field (F), or Both (B)	Dates of Drills Performed (Actual Event or Drill)
Earthquake		
Fire (NOTE: Routine office building fire drills do not count)		
Flood		
Hurricane		

Snow/Ice Storm		
Terrorist Attack		
Tornado (NOTE: Routine office building tornado drills do not count)		
Workplace Violence		
Cyber Threat		
Other		

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

```



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○ No

Subsection: Physical Security

Question I.E.1: Physical Security

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

Subsection: Cyber Security

Question I.F.1: Cyber Security Policy or Procedure

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:
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> > ```

○ 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 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:

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│                             │
│                             │
│                             │
│                             │
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How often does your utility complete this training?

◯ Quarterly
◯ Monthly
◯ Annually
◯ Less frequently than annually

◯ No

Question I.F.3: Cyber Security Assessments

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:

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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:

```



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○ No

Discipline: Safety

Does your utility use a safety manual?

◯ Yes

If **yes**, please choose below:

NOTE: If you use the manual via APPA's eSafety Tracker powered by ESAMS, please select "Our utility uses the American Public Power Association's Safety Manual" and indicate your subscription to the tracker service in the text box below.

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

For consideration to receive **full points, provide the edition** of APPA's Safety Manual that your utility is currently using in the text box below.

NOTE: Leading practice is to use the most recent edition. The most up-to-date version of APPA's Safety Manual is the 17th edition.

NOTE: If your utility's APPA Safety Manual was purchased by a **Joint Action Agency (JAA), State Association (SA), or Regional Association (RA)**, provide the name of the JAA, SA, or RA in the text box below.

☐ 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.

Attach documentation of your utility's safety manual. 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: Directive to Use, Read, and Understand the Safety Manual

Has utility management issued a written directive to use, read, and understand the most current version of your designated safety manual within the application period (October 1, 2022 – September 30, 2025)?

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). You can find a sample safety directive [here](#).

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

Subsection: Safe Work Practices

Question II.B.1: Regular Safety Meetings

Are regular safety meetings held for personnel working on your system? This includes in-house personnel and contractors working on your electric system.

○ Yes

If **yes**, how often are the meetings held? Please indicate the frequency and duration of meetings for operations/field, administrative/office personnel/other, and management employees in the table below. Please also indicate the frequency of management 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 administrative/office personnel/other employees. Management employees should participate in utility safety training initiatives at least once a year.

NOTE: Individual employees can be counted for more than one employee category.

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]	☐
Less than 1 hour/month [or 12 hours/year]	☐
Administrative/Office Personnel/Other Employees	
At least 1 hour/quarter [or 4 hours/year]	☐
Less than 1 hour/quarter [or 4 hours/year]	☐
Management Employees	
At least once a year	☐
Less than once a year	☐

○ No

Question II.B.2: Policy or Practice for Safety Rule Enforcement

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: Documented Job Briefings

Does your utility require job briefings to be held for electric employees, including contractors working on your electric system, prior to the start of each job?

○ Yes

> If **yes**, does your utility require the briefings to be documented?
>
> ○ Yes
>
> > **Attach a <u>filled-out</u> copy or screenshot of your utility's completed job briefing form, or an example of how your utility documents job briefings (redacted versions are acceptable). The copy or example must conform to NESC guidelines to be eligible for points.** Examples must be from within the current application year (October 1, 2024 – September 30, 2025). Please refer to page 31 in the Application Guide to see subject areas your job forms should cover.
>
> ○ No

○ No

Question II.B.4: Job Site Inspections

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 <u>filled-out</u> copy or screenshot of a <u>completed</u> job site inspection form.** Examples must be from within the current application year (October 1, 2024 – September 30, 2025).

○ No

Question II.B.5: Safety Orientation Practice or Procedure

Does your utility have a policy 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

   Please attach a copy of your utility's policy or procedure.

○   No

Question II.B.6: Accident Investigations/Near-miss Reports

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: Annual Refresher Training for OSHA-type Issues

Does your utility and/or its contractors 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: Automated External Defibrillators (AEDs)

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

○ Yes

If **yes**, are AEDs 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 all work site locations

○ No, AEDs are available at some work site locations

If **yes**, does your utility inspect AEDs, first-aid kits, and other life-saving equipment regularly?

○ Yes

○ No

○ No

Question II.B.9: Arc Hazard Assessments

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

If **yes**, please provide the date of the most recent arc hazard assessment completed.

○ No

Subsection: Benchmarking

Question II.C.1: National Safety Index Benchmarking

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.

NOTE: An OSHA 300A submittal is NOT acceptable to receive points (however, your OSHA 300A benchmarking results are).

☐ Safety Award

☐ National safety index benchmarking survey or service

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

☐ Regional safety index benchmarking survey or service

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

○ No

Discipline: Workforce Development

Subsection: Succession Planning and Recruitment

Question III.A.1: Demographics

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: Knowledge Management

Has your utility implemented programs or practices to address 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 <u>each tool</u> 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 – October 1, 2022 – September 30, 2025)		
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: Employee Recruitment Procedure or Practice

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

☐ Use a third party recruiter or staffing agency

☐ Conduct student outreach programs at local schools, colleges, and universities

☐ Host student internship or pre-apprenticeship programs

☐ Establish employee referral programs

☐ Identify targeted skills for future needs

☐ Use social media or digital recruitment

☐ Other

If **other**, please explain:

```


```

○ No

Question III.A.4: Employee Retention

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
- [ ] Remote or hybrid work options
- [ ] Performance incentives
- [ ] Competitive compensation and benefits
- [ ] Development programs
- [ ] Documented career pathways
- [ ] Paid time for volunteer services
- [ ] Other

If **other**, please explain:

[text box]

◯ No

Question III.A.5: Compensation and Salary Benchmarking

Have you used data from a salary survey to benchmark your employee salaries during the application period (October 1, 2022 – September 30, 2025)?

For example: Have you conducted a salary review/study of your utility in the last three years? (Find examples on pages 38 – 39 in the Application Guide).

◯ Yes

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

Check **all** that apply:

- [ ] Published Salary Survey(s)
- [ ] A compensation benchmarking service

If **other**, please explain:

[text box]

◯ No

Subsection: Employee Development

Question III.B.1: Goal Setting Process

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 RP$_3$ application, specific personal and/or professional development goals must be set for <mark>each individual</mark>.

○ Yes

> If **yes**, please indicate for which category/categories of employees your utility prepares development goals or plans. **Attach** samples of goals for **each category** (you may black out the employee name for privacy if desired).

> **NOTE:** To be considered for points, a utility should have specific personal and/or professional development goals for all employee categories. **Annual reviews can fulfill the development plan requirement as long as the form incorporates defined development goals for the employee and includes a sample of specific goals set for at least one employee in each employee category. You may redact the employee name for privacy if desired.**

> **NOTE:** Individual development goals or development plan do 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

Question III.C.1: Written Education Policies/Procedures/Programs

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.

NOTE: If you would like to include an employee handbook, please only include applicable pages.

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?

Check **all** that apply:

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.

☐ 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 event (classes/workshops, local, state/regional, national conferences, or user/interest groups), employee job classifications, and date of event.** Please download the template here and fill it in.

If **yes**, please indicate which types of networking and personal/professional development activities (in person or virtual) utility employees were involved in during the application period (October 1, 2022 - September 30, 2025) by marking the appropriate boxes in the matrix below:

NOTE: Virtual events/webinars, also count for this question.

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

◯ No

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 application period (October 1, 2022 - September 30, 2025). 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. Please download the template here and fill it in.

◯ 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: Membership and Participation in an R&D Program

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 provide a list or attach documentation of project(s) or grant(s) that you have undertaken or considered below.

NOTE: Projects or grants should aim to increase efficiency, cut costs, explore new technologies and services, and enhance processes to better serve customers for full points.

☐ Applied for or currently involved in grants/scholarships within the application period (October 1, 2022 - September 30, 2025).

☐ Review of relevant research projects conducted by other utilities, for application to projects your utility is conducting and attending webinars and meetings. **Attach or describe the actions taken to review relevant research and specific projects that your utility reviewed.**

☐ 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 national 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

Subsection: System Maintenance and Improvement

Question IV.B.1: System Maintenance

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

◯ Yes

If **yes**, **please attach one filled-out form for each asset, indicating <u>completed</u> maintenance or inspection record (<u>no blank forms</u>).** Please provide filled-out forms for **<u>at least 8</u>** 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 those assets, provide the schedule for maintenance/inspection for the listed items, and attach one **completed** maintenance or inspection record form for each asset (**no blank forms**).

○ No

Question IV.B.2: System Losses

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 (in percentage)? **Attach** the formula used or the method of calculating losses. Please refer to page 49 in the Application Guide for an example formula.

NOTE: Typical range is between 3-8%.

Do you have a goal for your system losses? If so, write below. If not, write "N/A".

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<div style="border:1px solid black; height:60px; width:460px;"></div>

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
- ☐ Utility facility efficiency upgrades
- ☐ Other

    If **other**, please describe in detail or attach separate attachments:

    <div style="border:1px solid black; height:90px; width:650px;"></div>

○ No

Question IV.B.3: Planning Study or Analysis

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 as part of the 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**, was your last planning study conducted or reviewed within <u>the application period</u> – October 1, 2022 – September 30, 2025?

    ○ Yes

○ No

If **yes**, does your analysis or planning study time frame cover <u>the current application year</u> – October 1, 2024 – September 30, 2025?

○ Yes

○ No

If **yes**, check **all** items below that are addressed in the analysis or planning study. Please <mark>highlight</mark> the sections relevant to each item in your attachment(s):

NOTE: Load forecast and capacity studies are the minimum requirements for this question, and they must be included to receive full points.

☐ Load forecast*

☐ Capacity studies*

☐ Contingency analysis

☐ System protective device coordination study

☐ Project identification

☐ Equipment age analysis

☐ Land and environmental analysis (e.g., SPCC, ROW)

☐ Load control (demand response)

☐ Distributed energy resources (DER) impact analysis

☐ Other

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

○ No

Subsection: Financial Health

Question IV.C.1: Near-Term Capital Projects and O&M Expenses

Please provide a concise description of system improvement projects that your utility completed in the <mark>past two years</mark> and is planning to complete in the <mark>next two years.</mark> This may include the current application year, October 1, 2024 – September 30, 2025, as a way to continually improve its system.

Please attach a copy of your capital and O&M budget, along with concise descriptions and a clear actual budget or funding breakdowns of those projects for <u>both the past two years and next two years.</u> The documentation must demonstrate that your utility is both actively working to better your system and proactively planning for system improvements in the future. For examples of budgets and project descriptions, please refer to this

sample: [Capital O&M Budget with Descriptions](). For more guidelines on this question, please refer to pages 52 - 54 of the Application Guide.

If your utility does not have a formal capital improvement plan, your write-up should resemble 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 concise project descriptions. Items that may be addressed in this question 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: Customer-Owned Distributed Energy Resources

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:

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◯ No

Question IV.C.3: Financial Health Policy or Procedure

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

NOTE: Leading practice is to conduct an annual rate of return calculation or a cost-of-service study at least once every 5 years.

◯ Yes

If yes, does your utility conduct a rate of return calculation to determine financial health at least annually or conduct a cost-of-service study at least once every 5 years?

◯ Yes; please attach a copy of the latest calculation or study.

◯ No

If **yes**, what additional 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

☐ Audit financial statements at least annually

☐ Other

If **other**, please explain:

```

```

◯ No