**Transmission Project Sponsor Proposal –Competitive Solicitation Application**

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# Introduction and General Instructions

In accordance with ISO Tariff Section 24.5 (Transmission Planning Process Phase 3), the ISO will initiate a period of at least ten (10) weeks that will provide an opportunity for project sponsors to submit specific transmission project proposals to finance, construct, own, operate, and maintain certain transmission elements identified in the ISO’s comprehensive transmission plan, or those approved by ISO management in advance of the issuance of the transmission plan if the capital cost of the project is less than or equal to $50 million. Such project proposals must include plan of service details and supporting information as set forth in the Business Practice Manual for the Transmission Planning Process (BPM-TPP) sufficient to enable the ISO to determine whether the proposal meets the criteria specified in ISO Tariff Sections 24.5.3 and 24.5.4. This competitive solicitation application form describes the details that must be provided regarding project sponsor proposals.

Projects included in this process will become part of the ISO controlled grid, and approved project sponsors will become participating transmission owners (PTOs) and will sign the Transmission Control Agreement (TCA) and enter into a Coordinated Functional Registration (CFR) agreement with the ISO. The ISO also anticipates that the project sponsor or its contracted representative(s) will be registered with the North American Electric Reliability Corporation (NERC) in the NERC categories of Transmission Owner and other functions as applicable.

This section sets forth requirements for the formatting and general contents of the project sponsor’s application. The application submitted to the ISO shall not include any substantive information in response to this section. In particular, in Section 1 of the application, the project sponsor shall provide a summary of the most significant aspects of the project as proposed by the project sponsor. The ISO will refer to the information provided in Section 1, rather than any information provided in a transmittal letter for an introduction to and overview of the project. The information to be included in the application will be used by the ISO to determine whether the proposal meets the qualification criteria set forth in ISO Tariff section 24.5.3 and, if so, to compare each project sponsor and its proposal with other qualified project sponsors and proposals for the same approved transmission element pursuant to ISO Tariff section 24.5.4. To facilitate this assessment and comparison, project sponsors must provide information that reflects a thorough understanding of the requirements, processes, and activities needed to accomplish project completion and continuing operation and maintenance.

The project sponsor must submit three documents in connection with its proposal:

1. this Competitive Solicitation Application form;
2. the Cost and Cost Containment Workbook;
3. the Prior Projects and Experience Workbook.

The first document, Competitive Solicitation Application, is a completed form of this Microsoft Word document. The second document, Cost and Cost Containment Workbook, is in the form of an Excel spreadsheet. The spreadsheet documents the project sponsor’s proposed capital and operations and maintenance (O&M) expenses, and also any proposed cost containment measures. The third document, Prior Projects and Experience Workbook, is in the form of a separate Excel spreadsheet. The spreadsheet documents the project sponsor’s listing of prior projects and experience relevant to its capability to develop the current project. Please note that only applicant and contractor experience identified in the Prior Projects and Experience Workbook will used to evaluate past project performance and experience. Experience identified within other areas of sponsor proposals must be included within the Prior Projects and Experience Workbook to be evaluated.

This application form is separated into specific sections. Each section specifies information to be provided and is assigned a unique identifier for each item of information required, for example, QP–1 for Project Qualification, E-1 for Environmental Permitting and Public Processes items, S-1 for items related to Substation Design and Engineering, and so on. Project sponsors must provide responses to each of the items in the space provided after the specification of the information required and clearly note in the response the unique item identifier in each part of the response.

If the project sponsor believes that any item of the application is not applicable to its project proposal, it may indicate “N/A” but must provide a brief reason why it believes it is not applicable.

If supporting documentation is provided to supplement specific responses to application items, the project sponsor must include a specific reference to the item number and to the page numbers and paragraphs of the supporting documentation that are responsive to the application item, along with a brief explanation of how the referenced material is responsive. Information that responds directly to the information requests in the application shall be incorporated directly into the application and not be submitted as separate attachments merely referenced in the application response.

If a project sponsor provides attachments as part of the response, the project sponsor shall specify the file name of the attachment in the space provided for the response. In addition, the project sponsor shall name the attached files using the following naming convention – the file name shall include the unique identifier for the application item to which the information responds (e.g., A-5) and a description of the contents (e.g., A-5 Resumes of Key Individuals). All responses must be in readable electronic format and include the name of the project sponsor and description of the project. When submitting attachments, do **NOT** create any subdirectories. The ISO’s filing system cannot process subdirectories and their use may cause important information to be lost. Also, do not use any of the following (special) characters when naming attachment files: [ ( ~ # % & \* { } \ / : < > ? ) ]. Use of any of these special characters is not compatible with the ISO’s filing system and will cause important information to be lost. In addition, the project sponsor shall include in its cover letter a table or index in Microsoft Word format that contains a list of documents and attachments provided. The table or index must include the file name, contents, and a description of the application section(s) and items to which it corresponds. The project sponsor must provide a copy of the application in Microsoft Word format. The project sponsor must provide all responses and attached material in English or the ISO will disregard the information submitted.

*The following instructions in italics pertain to the submission of geographic information:*

*When submitting geographic information, e.g., the proposed route for a transmission line or the location of a proposed new substation, or reactive support or series compensation station, the project sponsor shall provide the information both in a PDF file or files, and also in shapefiles. In order to provide for the greatest support and exchangeability, shapefiles are chosen as the GIS format for submittal. There shall be one shapefile for each proposed transmission project, and no shapefile submitted shall contain more than one proposed transmission project. The proposed transmission projects are to be defined as* ***line*** *shapes. The attribute table of the shapefile shall include a* ***“NAME” text field*** *that contains the name of the transmission project. This submittal shall include, at a minimum, the following four files:* ***name.shp****,* ***name.shx****,* ***name.dbf*** *and* ***name.prj****. The file name shall be the name of the transmission project with any spaces and special characters replaced by underscores or other regular characters. Abbreviating and shortening of the names are acceptable and encouraged. All of the files that make up the shapefile shall be zipped together in a single “zip” file with the same name as the shapefile.*

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If the project sponsor proposes to contract with others to perform duties related to the proposed project, the project sponsor’s responses to the items in the application must reflect the roles, responsibilities, processes, and procedures to be used by the organization that will perform those duties, and the management controls that will be used by the project sponsor to assure that the work is done in accordance with applicable agreements, contracts, and regulatory and reliability requirements. In addition, the project sponsor shall complete the Excel spreadsheet entitled Prior Projects and Experience Workbook by which the project sponsor is to provide information regarding relevant prior projects and experience of the project sponsor and its contractors.

For each item in the application, if the project sponsor is proposing to finance, construct, own, operate, and maintain multiple transmission elements, the project sponsor shall also indicate how its response would change depending on how many of its proposals are approved by the ISO. For example, in P-4 of Section 4 (Project Management and Schedule) the project sponsor shall describe how the projected in-service date of a project would be affected if two or more of the project sponsor’s proposals are approved.

Please note that the ISO will consider only ONE proposal per application submitted. The project sponsor may identify alternate proposals that it has considered, but shall clearly identify the single proposal that it wishes the ISO to evaluate.

This application form includes an officer certification form (Section 15) that must be signed by an officer of the authorized representative of the applicant project sponsor. The ISO will not consider any application that does not include a completed officer certification form.

To the extent a project sponsor considers any of the information submitted with its application to be confidential or proprietary, the project sponsor must clearly identify the confidential or proprietary information and must include an explanation as to why the information should be treated by the ISO as confidential. The ISO will not treat the identity of a project sponsor and basic information about the project sponsor’s proposed project as confidential information. A project sponsor must separately request confidential treatment for each response to an individual application information request and explain the need for confidential treatment. Project sponsors shall not make general designations of large sections of the application as confidential or proprietary.

Project sponsors should note that the maximum size of an e-mail submitted to the ISO must not exceed 20 MB or the ISO’s e-mail system may not be able to process it. An application that includes files or attachments larger than 20 MB must be compressed to files of a size less than 20 MB. Project sponsors shall submit their information via CD or DVD medium. Please provide 3 complete sets of CDs or DVDs and clearly label each with project name and sponsor name. The ISO prefers that project sponsors submit the initial application (consisting of the Microsoft Word document and associated attachments, and the Excel spreadsheets) on CDs or DVDs. Upon request, the CAISO can also supply access to a secure site for downloading applications and information in lieu of providing CD’s or DVD’s.

If a project sponsor wishes to apply for more than one project eligible for the ISO’s transmission procurement process, the project sponsor must submit a separate application for each project. Again, the ISO will consider only one proposal per application.

Please note that there are several tables in this application form for use in providing responses. Project sponsors may add rows to the tables if the number of entries exceeds the number of rows initially provided in the tables.

The ISO requires a deposit of $100,000 for each submitted application. The ISO will not consider applications if the project sponsor fails to include the deposit on or before the date the bid window closes. Payment instructions and a project sponsor deposit form can be found in Section 16 of this application form.

While the competitive bid window is open, a project sponsor may submit questions to the ISO for clarification. Questions must be submitted via e-mail to the following address: transmissioncompetitivesolicitation@caiso.com. The ISO will attempt to answer these questions in a timely manner. The answers will be made available in a table that the ISO will post to its website on the “Transmission Planning” page. Note that the ISO will not include the identity of the project sponsor in the table. In general, the ISO will update this table on a weekly basis or as needed.

# Project Sponsor Name, Organizational Structure, and Proposal Summary

A-1 Project Sponsor Name:

Response: (Enter Project Sponsor Company Name)

A-2 Proposal Name:

Response: (Enter Proposal Name)

A-3 Submittal Date:

Response: (Enter Submittal Date)

A-4 Provide a brief summary of the project sponsor’s proposal:

Response:

A-5 Provide an organizational chart depicting the entire project team and areas of responsibility, including the responsibilities of all contractors. The project organizational chart and associated information should identify which team member or entity (project sponsor parent, project sponsor affiliate, project sponsor, or contractor or affiliate) is responsible for each area of the project functions including Permitting, Land Rights Acquisition, Engineering, Construction, Operation and Maintenance. If the responsibility for an area is being broken into sub-areas, for example, Engineering is broken into Substation Engineering and Transmission Engineering, both responsible entities should be shown on the organization chart with their responsibility clearly noted on the chart. For each responsible entity shown on the org chart include at least the name of each the lead individual for that entity and a resume. For all resumes provided, clarify how they relate to the organization chart. For past projects and experience that the project sponsor wishes to be considered in the comparative analysis, the PPEW included with application should include experience information for each entity designated as responsible for performing a function or part of a function.

If a responsible entity has not yet been selected as responsible for a project function, the above information (listed on organization chart, noted area of responsibility on the chart, name of lead individual, resume of lead individual, how position relates to the organization chart and entries as appropriate in the PPEW) should be provided for each entity being considered for that function. The project sponsor should be aware that if it is selected as the approved project sponsor, the ISO will require that any change in the personnel and contractors proposed to be used for the project must be approved by the ISO.

In addition, provide a corporate organizational chart of the project sponsor and any parent companies and affiliates. Describe the legal and financial structure of the project sponsor and its team, including type of corporation if a corporation, or type of entity if it is a special purpose entity (e.g. project financed LLC) created explicitly for the proposed project. Describe the legal and financial relationship of the entity listed as the project sponsor to all other entities that are referred to in the application to include but not limited to all parent or holding company organizational entities, equity investors and any entity that will finance or otherwise financially support or provide guarantees for part or all of the project if different from the project sponsor. This description shall include the entity or entities that will own the assets of the project (whether through a special purpose entity or as part of a portfolio of assets or other mechanism) during the construction period and during the operating period.

Response:

A-6 State that the project sponsor is making a commitment to become a participating transmission owner for the purpose of turning the transmission element that the project sponsor is selected to construct and own as a result of the competitive solicitation process over to the ISO’s operational control, to enter into the Transmission Control Agreement with respect to the transmission element, to adhere to all applicable reliability criteria, and to comply with NERC registration requirements and NERC and Western Electricity Coordinating Council (WECC) standards, where applicable.

Response:

# Project Qualification

**Project Sponsor and Project Qualifications:**

The ISO will review each project sponsor’s proposal to assess the qualifications of the project sponsor and its project proposal based on the qualification criteria set forth in ISO Tariff section 24.5.3. The ISO will evaluate the information submitted by each project sponsor in response to the application items pertaining to sections 24.5.3.1(a)-(e) to determine whether the project sponsor has demonstrated that its team is physically, technically, and financially capable of (i) completing the needed transmission solution in a timely and competent manner and (ii) operating and maintaining the transmission solution in a manner that is consistent with good utility practice and applicable reliability criteria for the life of the project.

In addition, the ISO will determine whether the transmission solution proposed by a project sponsor is qualified for consideration, based on the qualification criteria contained in ISO Tariff sections 24.5.3.2(a) and (b). Please demonstrate that the proposed project meets the proposal qualification criteria for the needed transmission element by providing responses to the following two items (QP-1, QP-2) that relate to the qualification of the proposed project. When providing these responses, the project sponsor shall refer to information that has been provided in other sections of its application for additional information and support. The following two responses shall provide a complete demonstration or qualification – through the two responses directly and by including references in the two responses to material provided in responses to other items in the application.

Describe and demonstrate how:

1. The proposed design of the transmission solution is consistent with needs identified in the comprehensive ISO transmission plan.

Response:

1. The proposed design of the transmission solution satisfies applicable reliability criteria and ISO planning standards.

Response:

# Prior Projects and Experience

In the accompanying Excel spreadsheet entitled Prior Projects and Experience Workbook, the project sponsor shall provide a description of all relevant prior projects and experience of the project sponsor and affiliate(s) on the Project Sponsor experience tab and its proposed contractors on the Contractor experience tab as it relates to this project. The lists of projects should include those with voltages greater than 200 kV completed in the past ten years. If the project sponsor or its proposed contractors do not have experience permitting, or acquiring land associated with facilities with voltages greater than 200 kV, but do have experience with lower voltage facilities, this experience may be included. . For maintenance and operations experience, include projects for voltages greater than 200 kV that the project sponsor or contractor has had maintenance or operations responsibility over the past 10 years even if they were constructed more than 10 years ago. Detailed explanations of schedule and budget variances may be supplied in a separate document if necessary as noted in the spreadsheet and shall include a description of major issues confronted and resolved during the project.

The Contractor experience tab of the Prior Projects and Experience Workbook shall be used to list the prior project experience of all contractors that the project sponsor proposes to use for this project, including but not limited to land acquisition, environmental permitting, design and engineering, construction, maintenance, and operations contractors. If the project sponsor proposes to but has not retained a contractor for any of the foregoing functions, the project sponsor shall provide the experience of the contractors shortlisted for each function as requested in Question A-5. Only the experience of the contractor(s) that has/have been designated for a function in the response to Question A-5 will be counted for that function. In case the project sponsor provides a list of more than one shortlisted contractor for a function, the experience of the contractor with the least experience will be counted for that function.. Any change to these contractors will require approval by the ISO. The evaluation will consider the qualifications of each submitted contractor. The experience list shall include any work performed by the contractor for the project sponsor. For environmental permitting contractors, the project sponsor must indicate in the spreadsheet, for each prior project listed for that contractor, the federal and state permits acquired as well as associated environmental processes, including federal NEPA or state environmental review determinations.

Note: Experience entries in the PPEW for functions that an entity is not designated as responsible for performing or being considered for performing will not be considered in the ISO’s comparative analysis for that function.

# Project Management and Schedule

1. Provide a general description of the proposed approach to project management and scheduling for the transmission element.

Response:

1. Provide the proposed management structure, organization, authority levels, and resources committed to project management and scheduling for the full scope of the project, including relevant experience and capability for the proposed project manager and other relevant decision-makers for the project. If the sponsor does not have a team in place, provide your plan to meet these requirements.

Response:

1. Provide a proposed schedule for project development through release for operation that includes, at a minimum, key critical path items such as:
- Develop contracts for project work;
- Regulatory approval; permitting; rights of way and land acquisition;
- Engineering and design;
- Material and equipment procurement;
- Facility construction;
- Agreements (interconnection, operating, scheduling, etc.) with other entities;
- Pre-operations testing;

– Any amount of “float” incorporated into the schedule and how it was determined;
- Project in-service date;
- Other items identified by the project sponsor.

Provide a list of measures that the project sponsor would take to meet its schedule if the project sponsor encounters unanticipated delays in its schedule for land acquisition, permitting, or construction of up to 6 months. If the project sponsor proposes any financial or other incentives to ensure completion of the project on schedule, provide a description of those financial or other incentives.

Beginning with the 2023-2024 Transmission Planning Process, CAISO is now requiring all project sponsors to propose an In Service Date that matches the CAISO requested In Service Date provided in Appendix I. CAISO will not attribute any value to an In Service Date earlier than the Requested In Service Date.

Response:

1. For the proposed project, identify the major risks and obstacles to successful project completion within cost budget while meeting schedule and identify proposed mitigations to minimize the risks. Describe all actions that the project sponsor will take to keep the project within budget while meeting schedule in light of the major risks identified.

If the project sponsor is sponsoring more than one project, the project sponsor shall also describe how the projected in-service date of this project (as reflected in the proposed schedule) would be affected if two or more of the project sponsor’s proposals are selected.

Response:

1. For the transmission line and substation projects included in the Prior Projects and Experience Workbook, provide the following:
(a) Any environmental permitting risks and challenges that the project sponsor and its team have previously faced that are comparable to the risks and challenges it will face in connection with this project.
(b) Any transmission line or substation design or engineering risks and challenges that the project sponsor and its team have previously faced that are comparable to the risks and challenges it will face in connection with this project.

(c) Any transmission line or substation construction risks and challenges that the project sponsor and its team have previously faced that are comparable to the risks and challenges it will face in connection with this project.

(d) Any maintenance risks and challenges that the project sponsor and its team have previously faced that are comparable to the risks and challenges it will face in connection with this project.

(e) Any operations risks and challenges that the project sponsor and its team have previously faced that are comparable to the risks and challenges it will face in connection with this project.

(f) Other specific materials that reflect project management skills for an actual project.

Response:

# Cost Assumptions and Containment

Provide all the information regarding cost containment for the proposed project in the Cost and Cost Containment Workbook. In addition, provide the information regarding the cost containment proposal in response to the following requests. Ensure the information provided in this application is consistent with the information provided in the Cost and Cost Containment Workbook.

CC-1 Fully describe in detail all of your proposed cost containment measures.

Response:

CC-2 Explain in detail and provide all bases, assumptions, reasons, support, and documentation as to why your estimated cost of debt constitutes a reasonable representation and expectation of the debt cost you expect to incur in connection with the project.

Response:

CC-3Describe each proposed maintenance activity and its frequency planned over the life of the project facilities. Explain in detail and provide all bases, assumptions, reasons, and support as to why your estimated O&M costs (and Administrative and General (A&G) costs) constitutes a reasonable representation and expectation of the O&M costs you expect to incur in connection with the project. To the maximum extent practicable, provide this analysis for each individual component of total O&M costs as reflected in the Cost and Cost Containment Workbook.

Response:

CC-4Identify by job category the number of full-time equivalent employees (FTE) the project sponsor intends to employ from its company to perform operations activities and the number of FTEs the project sponsor intends to employ from its company to perform maintenance activities. Also provide the number of FTEs that will be allocated to Administrative and General activities. Describe the specific role and functions each FTE will serve. Describe in detail the basis for and assumptions underlying these FTE estimates and the cost associated with the FTEs.

Response:

CC-5Indicate whether the project sponsor intends to contract for O&M services.

* 1. If so, provide the name of the counterparty and attach any agreements that provide the terms of the relationship.
	2. If the project sponsor intends to rely on O&M services from a regulated utility, identify the utility and describe in detail how the utility intends to support the project. Attach any agreements that provide the terms of the relationship.
	3. Provide the specific roles and functions the contractors will provide for the project.
	4. Provide in detail the justification for cost estimates associated with contracted O&M services.
	5. For contracted O&M services, provide: (1) the number of FTEs- (on an annual basis) that would be conducting maintenance activities; (2) the number of FTEs- that would be providing operations services; and (3) the number of FTEs- that would be allocated to Administrative and General activities.

Response:

CC-6Provide all details, assumptions, reasons, and supporting documentation (including manufacturers’ guidelines) underlying the project sponsor’s useful life projections for the project.

Response:

CC-7 Describe in detail all exclusions to any cost cap and cost containment measures the project sponsor proposes.

Response:

CC-8 If the project sponsor is proposing an exclusion for *force majeure* events, how exactly does the project sponsor propose to define *force majeure* for purposes of limiting exclusions from or increases to any cost cap and other cost containment measures?

Response:

CC-9 If a siting or permitting authority were to require relocation of the project sponsor’s proposed site for theproject, how exactly would that affect the project sponsor’s proposed cost cap and other cost containment measures?

Response:

CC-10 If a siting or permitting authority were to require changes to the proposed structures, equipment, or transmission lines associated with the project sponsor’s project, how would that affect the proposed cost cap and other cost containment measures?

Response:

CC-11 If a siting or permitting authority were to require an increase in the amount of environmental mitigation beyond that assumed in the project sponsor’s proposal, how would that affect the proposed cost cap and other cost containment measures?

Response:

CC-12 If a siting or permitting authority were to require undergrounding of the project sponsor’s proposed transmission facilities, or require overhead construction if the project sponsor has proposed undergrounding, how would that affect the proposed cost cap and other cost containment measures?

Response:

CC-13 If there were to be a delay in the receipt of any of the project sponsor’s siting or permit authorizations, how exactly would that affect the proposed cost cap and other cost containment measures?

Response:

CC-14 If there were to be a delay in the schedule of the participating transmission owner for constructing its interconnection facility for the project, or if changes in project scope or location were to be required or caused by the interconnecting PTO,  how would that affect the proposed cost cap and other cost containment measures?

Response:

CC-15 If one of the project sponsor’s approved contractors was not able to meet its requirements, and the project sponsor were to propose and the ISO approve an alternate contractor, what impact would this have on the proposed cost cap and other cost containment measures?

Response:

CC-16 Indicate the authority of any agency with jurisdiction over the project to impose binding cost control measures or cost caps on the project, if the project sponsor is not proposing a cost cap.

Response:

CC-17 If the project were cancelled due to factors outside the project sponsor’s control, would the project sponsor file for an abandoned plant incentive?

Response:

CC-18 If the project were cancelled due to factors outside the project sponsor’s control, and the project sponsor would file for an abandoned plant incentive, what cost containment measures, if any, would the sponsor propose to mitigate the impact of abandonment on ratepayers?

Response:

CC-19 If the project was ready to be placed in service, but factors beyond the project sponsor's control caused a delay to the In Service Date, would the project sponsor suspend the project or continue to accrue either AFUDC or claim a return on CWIP?

Response:

# Financial

The project sponsor (or the project sponsor’s parent or other affiliated entity in the event the project sponsor must rely on either to meet this financial criteria) must demonstrate it has sufficient financial resources, including, but not limited to, satisfactory credit ratings and other financial indicators as well as the demonstrated ability to assume liability for major losses resulting from failure of any part of the facilities associated with the transmission solution. The ISO will consider the parent’s or affiliated entity’s financial statements, credit ratings, and other statements in this section if the parent or affiliated entity provides financial assurances acceptable to the ISO as described in F-2 below.

**General**

1. Provide a list of equity holders, equity contribution by each investor, and the amount of debt over the entire life of the project.

Response:

1. If the project sponsor is relying on a parent or another affiliated entity to satisfy the financial criterion of its application, (1) describe the entity’s relationship to the project sponsor in the form of a corporate hierarchy and (2) provide a letter signed by an officer of the parent or affiliated entity indicating that the parent or affiliated entity provides financial assurances for the project. In addition, provide details of the parent’s or affiliated entity’s plan for providing for credit, investment, or financing arrangements for financial backing of the project. If financial recourse is limited, describe under what conditions recourse is available to the parent or affiliated entity’s financial resources. Describe how these arrangements comply with all legal and regulatory requirements related to affiliate transactions.

Response:

**Financial Strength and Creditworthiness**

For the entity that has the financial resources to meet the financial strength and creditworthiness criteria and is required to provide financial assurances for the project, provide the information requested in F-3 through F-10.

1. Provide annual, audited financial statements or equivalent (e.g., FERC Form 1) that at a minimum, includes an Auditors Statement, Management Statement, Balance Sheet, Income Statement, Statement of Cash Flows and Notes to the Financial Statements, for the most recent year and previous four years (five years total). If audited financial statements are not available, the project sponsor may provide other documentation demonstrating financial capability. In either case, the documentation **must be accompanied by a letter signed and attested to by an officer of the company** providing financial assurances that the documents are a fair representation of the financial condition of the company in accordance with generally accepted accounting practices. If this information is available electronically, it is acceptable for the project sponsor to provide links to the appropriate documents. NOTE: All financial statements must be provided in English.

Response:

1. Provide quarterly, unaudited financial statements or equivalent (e.g. FERC Form 3-Q) published since the last annual, audited financial statement. If not available, the project sponsor may provide other documentation demonstrating financial capability. In either case, such documentation **must be accompanied by a letter signed and attested to by an officer of the company** providing financial assurances that the documents are a fair representation of the financial condition of the company in accordance with generally accepted accounting practices. If this information is available electronically, it is acceptable for the project sponsor to provide links to the appropriate documents. NOTE: All financial statements must be provided in English.

Response:

1. If the creation of a special purpose entity (SPE) is being proposed for this project, describe the funding source(s) for the SPE for the duration of the project’s useful life and how it fits into the corporate hierarchy. Explain how the capabilities and resources of the parent organization(s) of the SPE can be attributed to and will serve the SPE.

Response:

1. Provide current credit ratings and rating agency reports from Moody’s Investor Services, Standard & Poor’s Ratings Services and/or Fitch Ratings, or another rating agency designated by the U.S. Securities and Exchange Commission as a Nationally Recognized Statistical Rating Organization. If credit ratings are unavailable, the project sponsor may provide other supporting information.

Response:

1. Provide a report of any failure to make debt service payments on time during the previous five years. If the project sponsor is an SPE, report any such failures by its parent or other affiliated entities, including any predecessor SPEs.

Response:

1. Provide a summary of any history of bankruptcy, dissolution, merger, or acquisition for the current calendar year and the five prior calendar years. If the project sponsor is an SPE, report any such events by its parent or other affiliated entities, including any predecessor SPEs.

Response:

1. Based upon the most recent audited financial statements, provide a ratio of total assets to the total projected capital costs of the project, and show the calculation including any encumbrances.

Response:

1. For each of the five years for which audited financial statements were provided according to F – 3 above, provide the following financial ratios, and show the calculation for each:
	1. Funds from operations to interest coverage
	2. Funds from operations to total debt
	3. Total debt to total capital

Response:

**Project Financing**

1. Describe the financing used on up to five projects listed in the Prior Projects and Experience Workbook that are similar in type and size to (or larger than) the transmission element and/or substation proposed in the application. Include the following in your response and use the table provided below:
2. Project description,
3. Financing structure (e.g., LLC vs. corporate),
4. Equity and debt contribution,
5. Debt sources,
6. Bank(s) involved,
7. Other important information.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| F-11 (1)Project Description | (2)Financing Structure | (3)Equity and Debt Contribution | (4)Debt Sources | (5)Banks Involved | (6)Other Important Information |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

1. Describe the proposed financing sources of funds and instruments for construction and working capital for this project by completing the following table:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Entity Providing Debt Financing | Loan Amount | Interest Rate | Repayment Period | Grace Period During Construction | Equity Provided by Project Sponsor |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

1. For financing sources other than the capital markets, describe the benefits to ratepayers and others of your proposed financing source(s). This shall include the projected cost of the financing sources.

Response:

**Project Liability Protection and Project Replacement and Repairs**

1. Provide the project sponsor’s planned insurance coverage, including types of coverage and insured values during the construction period and over the operational life of the project facilities, including but not limited to covering negligent performance. Also include the types of losses to be covered during the construction and operation of the project, including specifying the extent of failure of project facilities to be covered by the planned insurance during the operation of the project.

Response:

1. Describe your ability to finance unexpected repairs (*e.g*., replacement of a series of towers) or replacement construction during the estimated useful life, *i.e*., the operating period for the transmission element(s). For example, capabilities can include, but are not limited to, the following: use of account set-asides or accumulated funds, parent organization guarantees, letters of credit, letters of intent from financial institutions to support the project sponsor, insurance, or other means of ensuring that these increased costs can be covered in a timely manner and thus not delay the return of the project to normal operation.

Describe any actual events where the project sponsor had to cover increased costs due to equipment failures, including the nature of the event, costs incurred, and how these costs were funded by the project sponsor.

Response:

# Environmental Permitting and Public Processes

1. Provide an overview of the various project activities that the project sponsor believes are needed to achieve siting approval, obtain all necessary permits, and any other necessary public processes required to construct the project. Provide a list of steps or flow chart for these project activities and processes. If the project is located within more than one state, provide a response for each state as applicable.

Response:

1. Using your best estimate, indicate whether any federal discretionary permit(s) will be required. For each discretionary permit anticipated, identify the agency and applicable governing rule or statute. Describe these in detail, e.g., Clean Water Act Section 401- 404, U.S. Fish and Wildlife Service biological opinion.

Response:

1. Using your best estimate, indicate whether any state discretionary permit(s) will be required and the type of permit to be filed (e.g., endangered species incidental take permit, water quality Section 401).

Response:

1. Indicate if any federal land (for example, Forest Service, BLM) is proposed to be crossed, and if a NEPA (National Environmental Policy Act) environmental process is required.

Response:

1. For projects within the State of California:
	1. Indicate which agency is the expected California Environmental Quality Act (CEQA) lead agency. Explain why that agency was chosen and indicate whether that agency has agreed to be the lead agency for this project.

Response:

* 1. Provide a list of Best Management Practices[[1]](#footnote-2) and project sponsor standing policies, related to siting and permit processes, that all employees are required to observe, including how are they implemented and how are they reported, that would be applicable for the proposed project.

Response:

* 1. Provide a list of Applicant Proposed Measures that would be applicable for the proposed project. These are project sponsor mitigation measures that would be applied to reduce the potential environmental impact for a particular construction activity to ensure the impact is reduced below the level of a significant unavoidable impact. These are normally related to the CEQA checklist.

Response:

* 1. Indicate if you expect to perform any public outreach (e.g., open houses, project hotline number, project update mailings) and describe the planned outreach program.

Response:

1. Provide information related only to transmission line, reactive support, series compensation, and substation siting and permits for projects developed by the project sponsor or its team in the past ten years. If the project sponsor is an SPE, provide information on the parent organization(s) for similar projects. Provide:
2. A description of any project siting or permitting notice of violation (NOV).

Response:

1. Siting or permitting fines levied by the project approval authority or any other agency with discretionary or ministerial authority over the project.

Response:

1. Remediation actions taken to avoid future violations.

Response:

1. A summary of siting or permitting law violations by the project sponsor or its team found by federal or state courts, federal regulatory agencies, state public utility commissions, other regulatory agencies, or in any other legal proceeding.

Response:

1. Any notice of violations that were remediated to the satisfaction of the issuing agency or authority.

Response:

1. A summary of any instances in which the project sponsor or its team is currently under investigation or is a defendant in any legal proceeding for violation of any siting or permitting law.

Response:

# Transmission or Substation Land Acquisition

1. Provide a general description of the land siting and acquisition needed for the proposed project and a map of the proposed project alignment and/or substation site on a suitable map base and scale - USGS quadrangle 1:24000 at a minimum. The map should show the study area for routing the project as well as any alternate routes, existing transmission lines, California Natural Diversity Data Base (CNDDB) information within the project area, and avoidance areas (such as parks, airports, military installations, and areas of local, state or national interest and any other major exclusion areas). Provide estimated acreages required. Include construction access, permanent access roads, laydown yards, and landing zones, if required. Show alternatives evaluated, those dismissed, and the justification for the preferred site.

Response:

1. Provide a copy of the standard grant of easement anticipated and any temporary construction easement documents necessary for the project construction and a description of your proposed strategy for crop loss and or business loss compensation.

Response:

1. Provide an indication of whether the project sponsor has eminent domain authority. If the project sponsor does not have eminent domain authority and does not plan to obtain eminent domain authority, describe the strategy for acquisition of necessary land rights.

Response:

1. Indicate whether the project sponsor has any existing ROW or substations on which all or a portion of the transmission element can be built. For any such ROW describe how it would be used as part of the proposed project. Also, for any such ROW describe any incremental costs and risks associated with using the existing ROW (for example, negotiating additional land rights or the potential of "overburdening" existing easements). Does the project sponsor make a binding commitment to seek to use such existing ROW or substations for the project, and to use such existing ROW or substations unless the applicable siting authority or other regulatory agency determines otherwise, approves a different route, or the project sponsor is prevented from doing so by *force majeure* type events?

Response:

# Substation Design and Engineering

The items listed below should only be completed if the proposed transmission solution contains a substation or facilities similar to a substation (e.g., synchronous condenser, STATCOM).

1. For each substation or reactive control element that is included as part of your proposed project, provide the location, GPS information, interconnection with new or existing transmission facilities, bus and breaker arrangement, typical structure types and materials that will be used, and any other unique aspects of the substation that the project sponsor proposes.

Response:

S –2. For each proposed substation, reactive support, or series compensation installation, provide the substation siting criteria that will be used on the project (e.g., future area plans, constructability, earthquake activity, flood plain and mudslide considerations).

Response:

S – 3. For each proposed substation, reactive support, or series compensation installation, provide the basic parameters for the installation - primary and secondary voltage, BIL[[2]](#footnote-3), initial design power capacity, and final design power capacity (if developed in stages).

Response:

S – 4. For each proposed substation, reactive support, or series compensation installation, provide a preliminary design criteria document that specifies the criteria that will be used in the design of the facility. Also provide a list of standards and requirements that will be used in its design - e.g., IEEE 142. Provide a complete list of state specific requirements for each U.S. state in which the project will be located (e.g., California and other state specific requirements if part of the project or the entire project is located outside California).

Response:

S – 5. For each proposed substation, reactive support, or series compensation installation, provide a single line diagram and general arrangement plan, which includes:

* + 1. bus and breaker arrangement,
		2. transformer arrangement,
		3. automatic tap changer, if any,
		4. power factor correction equipment if any,
		5. voltage regulator, if any,
		6. ground fault limiting resistor or reactor, if any,
		7. line terminations for existing or proposed transmission lines,
		8. bus type and rating,
		9. high voltage switch types and ratings,
		10. switchgear type and ratings,
		11. battery system arrangements,
		12. substation, reactive support, or series compensation facility layout with equipment location, fencing, grounding, control/relay building, etc.

Response:

S – 6. For each proposed substation, reactive support, or series compensation installation, describe the protection system criteria and specific components included in the design for primary and back-up protection. Identify any special protection considerations for the substation.

Response:

S – 7. For each proposed substation, reactive support, or series compensation installation, describe the SCADA incorporated in the design. Include the project sponsor’s commitment to meet operational data requirements and a specific description of the communications strategy.

Response:

S – 8. For each proposed substation, reactive support, or series compensation installation, describe the physical security criteria and specific security measures that will be incorporated in the final facility design.

Response:

# Transmission Line Design and Engineering

The items listed below should only be completed if there is a transmission line included in the proposed transmission solution.

1. Provide a general overview and description of the transmission line that the project sponsor proposes, including the following items. Use the table provided below for your responses:
2. The starting and ending points including length of preferred route. If the route is in more than one state, provide the information for each state. This shall include GPS coordinates.
3. proposed conductor size, bundling and type,
4. intervening substations, switching stations, or series compensation facilities,
5. typical span lengths,
6. any other unique aspects of the line that the project sponsor proposes that has not previously been provided for the overhead portions of the line.

If any underground transmission is proposed, include a general description of the following items:

1. the underground conductor size and type and length of segment(s),
2. the proposed termination facilities, and
3. any other unique aspects of the underground portion of the line not previously provided.

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| **T-1 Item** | **Response** |
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1. Provide the transmission line siting criteria that will be used for any overhead section of the proposed transmission line and any underground sections of the proposed transmission line.

Response:

1. Provide a listing of all existing or permitted transmission lines, including voltage, structure type, and separation, located adjacent to or in the same corridor as the proposed project. Provide the criteria used to establish the separation between the proposed transmission line and existing transmission and distribution facilities.

Response:

1. Provide the preliminary design criteria document for any overhead section of the proposed transmission line and any underground section of the proposed transmission line.

Response:

1. Provide a list of standards and requirements that will be used in the transmission line design for both overhead and underground, e.g., IEEE 951, ASCE Manual No. 72, GO 95, with an emphasis on providing a complete list of state specific requirements and the requirements of other states where the proposed project will be located. Also provide any interconnection standards for interconnection of the project to existing utility system(s).

Response:

1. Provide a single line diagram and a general arrangement plan of the entire proposed transmission line, including transmission line crossings by the new project line. For crossings, provide a list by voltage and type of construction of lines crossed (either over or under) by the proposed project. Include isolation devices to be installed for operations and maintenance purposes.

Response:

1. For any proposed overhead transmission line, provide the following additional information not included in response to T-1 in the table provided below:
	1. Basic parameters of the transmission line(s) - Design voltage, BIL (design or adjacent substation criteria), initial design power capacity and final design power capacity (if developed in stages).

**Support Structures**

For any support structures including wood poles, tubular poles, and lattice steel structures, provide:

* 1. a description of the proposed support structures and conductor geometry,
	2. structure foundations as appropriate and grounding criteria and implementation,
	3. insulation level, insulator types,
	4. lightning protection,
	5. estimated right of way widths for each different segment of the project with drawings for each and the basis of determining each right of way width.

**Line Ratings and Impedance**

* 1. Provide the estimated per mile line impedances for each different line section proposed in the project, suitable for use in power flow, system stability, and system protection studies. Also provide an estimate of the completed line overall impedance in per unit on a 100 MVA base.
	2. Provide NESC and/or GO 95 Grade of Construction.
	3. Provide NESC and/or GO 95 Loading Corridor Separation.

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| **T-7 Item** | **Response** |
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1. For any proposed overhead section and any underground section of the transmission line, provide the ampacity rating methodology including maximum conductor temperature that will be used to determine the normal and emergency ratings of the overhead line for summer and winter. Provide the actual ampacity for the line under normal conditions and emergency operations (specify time limit for emergency operations) for summer and winter operating conditions.

Response:

1. For any proposed underground transmission sections, provide the following additional information not included in response to T-1 in the table provided below:
2. Type of transmission cable, including splicing and cable grounding,
3. Substructures, conduits and duct banks, and splicing enclosures,
4. Termination facilities and structures,
5. Description of the type of transmission cable, including splicing and cable grounding,
6. Provide the estimated per mile line impedances for each different line section proposed in the project. All line impedances shall be provided on a per unit 100 MVA base. Also provide an estimate of the completed line overall impedance.
7. lightning protection,
8. estimated right of way widths for each different segment of the project with drawings for each and the basis of determining each right of way width.

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| **T-9 Item** | **Response** |
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1. For each substation that the proposed transmission line would terminate in that will not be the responsibility of the project sponsor to modify in order to interconnect the line, provide the following information in the table below:
2. Name of the substation where the interconnection will take place.
3. A description of the demarcation point that identifies the point in the interconnection where responsibility for implementation (e.g., design, construction, testing) changes from the project sponsor to the substation owner.
4. List of agreements that must be reached with the substation owner or others to interconnect and operate the proposed line to the substation (e.g., interconnection agreement, schedule agreement).
5. A description of the project sponsor’s approach to determining if any environmental permitting will be required to terminate the proposed line at the substation
6. A description of the approach the project sponsor’s will use to determine the cost to implement changes at the substation or other locations that are associated with the interconnection of the proposed project at the substation and of those costs which will paid for by the project sponsor.

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| **T-10 Item** | **Response** |
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# Construction

Provide an overview and description of the construction plan and management practices that the project sponsor proposes to follow in response to the questions below:

1. Description of inspection of construction activities, including substations, reactive support, series compensation installations, overhead transmission lines, and underground transmission lines if part of the project.

Response:

1. Description of the method of establishing material yards, sequencing and receiving material, providing material to contractors, material quality control methods, and material expediting processes.

Response:

1. Description of the method of coordination of the duration and timing of any clearances of existing circuits necessary during construction.

Response:

1. Description of the plans for a constructability review including completeness of engineering drawings, construction specifications, material orders, and tracking and providing changes.

Response:

1. Description of the status of easements orders of possession, permits, and compliance with pre- construction permit conditions and mitigation measures.

Response:

1. Description of the method for detail scheduling showing sequence of work, environmental restrictions, clearances requirements, progress reports, and actions taken to maintain schedule.

Response:

1. Description of any unique or special construction techniques proposed for any aspect of the proposed project, including ROW clearing, construction and permanent access road construction, and expected helicopter work. If applicable, include information related to wildfire mitigation plans during construction.

Response:

C-8 Provide information related only to transmission line, reactive support, series compensation, and substation construction for projects developed by the project sponsor or its team for projects completed during the past ten years. If the project sponsor is an SPE, provide the information for the parent organization(s). Provide

1. A description of any project construction-related notice of violation (NOV).

Response:

1. Construction-related fines levied by the project approval authority or any other agency with discretionary or ministerial authority over the project.

Response:

1. Remediation actions taken to avoid future violations.

Response:

1. A summary of construction-related law violations by the project sponsor or its team found by federal or state courts, federal regulatory agencies, state public utility commissions, other regulatory agencies, or in any other legal proceeding.

Response:

1. Any notice of violations that were remediated to the satisfaction of the issuing agency or authority.

Response:

1. A summary of any instances in which the project sponsor or its team is currently under investigation or is a defendant in any legal proceeding for violation of any construction-related law.

Response:

# Maintenance

M-1 Describe the roles and responsibilities of the project sponsor’s maintenance organizations (organizations that perform ongoing facility maintenance and repairs). Describe any organizational changes to the project sponsor’s current organization that are planned to accommodate maintenance of the proposed project. Provide any contract you have with a third party to provide maintenance services for the project. Describe what specific maintenance activities will be handled by project sponsor staff and which activities will be handled by contractors or vendors. Note: In the Prior Projects and Experience Workbook, please provide information on the transmission/substation facilities for which the sponsor’s or contractor’s maintenance organizations have been responsible for during the past ten years regardless of when the facility was constructed. Please include voltage rating, length of transmission lines and number and type of substations as per the note in the Prior Projects and Experience Workbook.

Response:

M-2 Describe the project sponsor’s policies, processes, and procedures for assuring that only persons who are appropriately qualified, skilled, and experienced in their respective maintenance trades or occupations are employed. Include qualifications, certifications, and experience requirements for maintenance personnel.

Response:

M-3 Describe the project sponsor’s training program for maintenance personnel. Include initial and continuing education requirements for maintaining qualifications for classifications with maintenance responsibilities (e.g., what are the training and certification requirements for linemen and substation electricians?). Identify training resources used.

Response:

M-4 Describe the project sponsor’s capabilities that will enable it to comply with the maintenance standards described in Appendix C of the TCA. Indicate whether or not the project sponsor’s standards include the elements listed in TCA Appendix C Sections 5.2.1 (Transmission Line Circuit Maintenance) and 5.2.2 (Station Maintenance). (Note: Each PTO will prepare its own maintenance practices that shall be consistent with the requirements of the ISO Transmission Maintenance Standards. The effectiveness of each PTO’s maintenance practices will be gauged through the ISO’s availability performance monitoring system. Each PTO’s adherence to its maintenance practices will be assessed through an ISO review pursuant to TCA Appendix C Maintenance Procedure 4).

Response:

M-5 Describe the project sponsor’s vegetation management plan as it applies to the proposed project. Provide the project sponsor’s preexisting procedures and historical practices for managing ROW for transmission facilities. If applicable, describe the project sponsor’s wildfire mitigation plans and its team’s experience with implementing wildfire mitigation plans in High Fire Risk Areas.

Response:

M-6 Provide information, notices, or reports regarding the project sponsor’s compliance with its standards for inspection, maintenance, repair, and replacement of similar facilities. Include audit reports or regulatory filings.

Response:

M-7 Describe the project sponsor’s capabilities that will enable it to provide its Availability Measures in accordance with TCA Appendix C Section 4.3 as applicable. Provide sample availability measures, or similar measures, for other facilities owned by the project sponsor to demonstrate the project sponsor’s capability.

Response:

M-8 Would adding the project to the ISO controlled grid require any changes or exceptions to the provisions of the TCA? If “yes”, describe.

Response:

M-9 Describe the project sponsor’s (its team or planned team) capabilities that will enable it to comply with the activities required by TCA Section 7 (Operations and Maintenance [including Scheduled Maintenance, Exercise of Contractual Rights, and Unscheduled Maintenance]).

Response:

M-10 Specify where the project’s maintenance team (including any project sponsor staff and contractors) will be located. Specify the estimated response time of any assigned project sponsor staff, maintenance contractor, or emergency response provider.

Response:

# Operations

O-1 Describe the roles and responsibilities of the operations organizations, including operating jurisdictions as they relate to the proposed project. Identify the planned location of those responsible for operation of the project, including the location of the control center that will serve as the single point of contact for the ISO. Describe any organizational changes to the project sponsor’s current operations organization that are planned to accommodate the proposed project. Provide any contract you have with a third party to provide operation services for the project. In the Prior Projects and Experience Workbook, please provide information on the transmission/substation facilities for which the sponsor’s or contractor’s operations organizations have been responsible during the past ten years regardless of when the facility was constructed. Please include voltage rating, length of transmission lines and number and type of substations as per the note in the Prior Projects and Experience Workbook .

Response:

O-2 Describe the project sponsor’s policies, processes, and procedures for assuring that only persons who are appropriately qualified, skilled, and experienced in their respective operations trades or occupations are employed. Include qualifications, certifications, and experience requirements for operators and operations’ field personnel (i.e. field switching personnel).

Response:

O-3 Describe the project sponsor’s training program for operations personnel. Include initial and continuing education requirements for maintaining qualifications for classifications with operation responsibilities (e.g., what are the training and certification requirements for operators). Identify training resources used.

Response:

O-4 Would adding the project to the ISO controlled grid require any changes or exceptions to the provisions of the TCA regarding operations? If “yes”, describe.

Response:

O-5 Identify the NERC functions for which the project sponsor has registered or intends to become registered related to the proposed project.

Response:

O-6 If the project sponsor plans to contract for services to perform the NERC functions, identify the contractor and the NERC functions for which it is registered or intends to become registered. If you plan to use a contractor and have not selected one yet, provide the requested information for the contractors you are considering. Describe how the project sponsor will ensure compliance with the reliability standards or requirements associated with these functions. Provide any contract you have with a third-party to perform NERC functions.

Response:

O-7 Describe the approach the project sponsor will use to assure compliance with Applicable Reliability Standards. Include descriptions of organizational responsibility, processes, and procedures for assuring compliance. Identify any Applicable Reliability Criteria for which transmission owners are responsible that require temporary waivers under TCA Section 5.1.6. Explain any.

Response:

O-8 Provide information demonstrating that the project sponsor, or its intended contractor or contractors as identified in O-1, has been in compliance with the Applicable Reliability Standards for all transmission facilities that it owns, operates, or maintains. This could include information for facilities outside the ISO controlled grid and shall include available NERC compliance audit results. Provide information describing the amount of transmission facilities subject to NERC compliance by listing the number of miles of transmission lines by voltage class and the number of substations by voltage class. If the project sponsor does not have experience with transmission facilities subject to NERC reliability standards, provide information demonstrating compliance with standards that do apply to those facilities and the amount of facilities subject to such compliance.

Response:

O-9 Describe in general how the project sponsor proposes to divide responsibility for NERC reliability standards between the project sponsor and the ISO in the Coordinated Functional Registration agreement. Compare your response with existing agreements between the ISO and other PTOs, and describe expected differences, if any. Existing agreements are available on the ISO website.

Response:

O-10 Describe the applicable agreements that will define the responsibilities of the Transmission Operator as defined in NERC reliability standards and authority with respect to NERC reliability standards categories of Generator Owner(s), Generator Operator(s), Planning Authority(ies), Distribution Provider(s), Transmission Owner(s), Transmission Service Provider(s), Balancing Authority(ies), Transmission Planner(s), and adjacent Transmission Operator(s).

Response:

O-11 Describe how the project sponsor will meet the NERC reliability standards requirement that a Transmission Operator have adequate and reliable data acquisition facilities for its Transmission Operator Area and with others for operating information necessary to maintain reliability. Include back-up control center plans if any. Also include provisions for providing the availability data required by TCA Appendix C Section 4.3.

Response:

O-12 Describe the project sponsor’s (its team or planned team) capability that will enable it to comply with the activities required by TCA Section 6.1 (Physical Operation of Facilities [including Operation, ISO Operating Orders, Duty of Care, Outages, Return to Service, and Written Report]) and TCA Section 6.3 (Other Responsibilities).

Response:

O-13 Describe the project sponsor’s capability (for its team or its planned team) that will enable it to comply with the activities required by TCA Section 9.2 (Management of Emergencies by Participating TOs) and TCA Section 9.3 (System Emergency Reports: TO Obligations). Identify resources available to respond to major problems on the proposed project. Include resources available through mutual assistance agreements and describe expected response times. Provide samples of emergency operating plans.

Response:

O-14 Will the project be subject to any encumbrance? If so, provide a statement of any Encumbrances to which any of the transmission lines and associated facilities to be placed under ISO Operational Control are subject, together with any documents creating such Encumbrances and any instructions on how to implement Encumbrances and Entitlements in accordance with TCA Section 6.4.2.

Response:

O-15Identify the plans or provisions to be implemented by the project sponsor to replace major failed equipment, e.g., a substation transformer, circuit breaker, or a group of towers (including dead end structures).

Response:

O-16 Identify and describe any violations of NERC reliability standards or other reliability standards the project sponsor or its team has incurred in the past ten years.

Response:

O-17 Identify and describe any operations-related tariff violations or FERC rules violations the project sponsor or its team has incurred in the past ten years.

Response:

O-18 Identify and describe any violations of operations-related laws, statutes, rules, or regulations the project sponsor or its team has incurred in the past ten years that are not discussed elsewhere in the application.

Response:

# Miscellaneous:

Z-1: Provide any additional evidence or support that the project sponsor believes supports its selection as an approved project sponsor. This can include, but is not limited to, other benefits the project sponsor’s proposal provides, specific advantages that the project sponsor or its team have, or any efficiencies to be gained by selecting the project sponsor’s proposal or additional information that was not requested in the other sections that supports the selection of the sponsor’s proposal. Do not include information that is already included in other sections of the application.

Response:

# Officer Certification

**OFFICER CERTIFICATION FORM**

**Project Sponsor Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, an officer of the entity identified above as the Project Sponsor or affiliate of the Project Sponsor, understanding that the ISO is relying on the information set forth in the foregoing application, including associated worksheets, to select an Approved Project Sponsor for the transmission element that is the subject of the application, hereby certify that I have full authority to represent the Project Sponsor or affiliate of the Project Sponsor, as described below. I further certify that:

1. I am the \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(title) of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Project Sponsor).

2. I have prepared, or have reviewed, all of the information contained in the foregoing application, including associated worksheets, which is being submitted into the ISO’s competitive selection process for the:

 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(name of transmission element).

3. On behalf of the Project Sponsor, I agree that any dispute between the ISO and the Project Sponsor regarding any aspect of the competitive selection process, including the ISO’s selection report, will be resolved in accordance with ISO Tariff Section 13 (“Dispute Resolution”).

I acknowledge that I understand the relevant provisions of Section 24.5 of the ISO Tariff and the Business Practice Manual for Transmission Planning applicable to the Project Sponsor’s application, including, but not limited to, those provisions describing the information that will be used by the ISO to determine the Project Sponsor’s qualifications to participate in the competitive selection process and the criteria that the ISO will apply in the comparative evaluation for purposes of Selecting an Approved Project Sponsor. I certify, after due investigation, that the information provided in the application, including associated worksheets, is true and accurate to the best of my belief and knowledge and there are no material omissions. In addition, by signing this certification, I acknowledge the potential consequences of making incomplete or false statements in this certification, which may include exclusion from the current and subsequent competitive selection processes.

 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Signature)

 Print Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

# Application Deposit Payment Instructions

Please complete this entire form.

**Project Sponsor Deposit Information**

1. **Name of Phase 3 Project:**
2. **Name, address, telephone number, and e-mail address of the Customer’s contact person (primary person who will be contacted):**

 Name:

Title:

Company Name:

Street Address:

City, State:

Zip Code:

 Phone Number:

Fax Number:

Email Address:

1. **Alternate contact:**

 Name:

 Title:

 Company Name:

 Street Address:

 City, State:

 Zip Code:

 Phone Number:

 Fax Number:

 Email Address:

1. **Any deposit paid by check shall be submitted to the CAISO representative indicated below: Note – the check may be included with applications submitted on CDs or DVDs. Checks shall be made payable to the CAISO.**

**Overnight Address**

California ISO California ISO

Attn: Julie Balch Attn: Julie Balch

Grid Assets Grid Assets

P.O. Box 639014 250 Outcropping Way

Folsom, CA 95763-9014 Folsom, CA 95630

1. **Project Sponsor Deposit is submitted by:**

**Legal name of the Customer:**

By (signature):

Name (type or print):

Title:

 Date:

\*\*Required Deposit: $100,000 USD (note: Wires originating from outside the U.S. are subject to currency conversion rates and/or additional bank fees).

\*\*Your application will not be considered received if the deposit is not received prior to the bid window close date.

Wire Information

California ISO - Remit to Addresses

Beneficiary Bank Name

Beneficiary Bank Address

Wells Fargo Bank, NA

420 Montgomery St.

San Francisco, CA 94104

LGIP/SGIP

Wells Fargo Bank, NA

ABA # 121000248

Account # 4122041825

Account name: CAISO LGIP

Approval History

Approval Date: June 25, 2024

Effective Date: June 25, 2024

Application Owner: Scott Vaughan

Application Owner’s Title: Senior Manager, Transmission Assets

**Revision History**

| Version | Date | Description |
| --- | --- | --- |
| 9 | 6/25/2024 | Added text for CAISO consideration of early in service dates, clarified experience condsideration requirements, added CC-17, CC-18 and CC-19: questions concerning project delay or cancelation, requested construction related wildfire mitigation, clarified specific M-3 and O-3 group training requirements. |
| 8 | 6/23/2023 | Added clarification for including experience, added reference to GPS coordinate idenitification of subs and transmission lines, eliminated original question L1 , added request for more detail on schedule float in P3 |
| 7 | 3/22/2021 | Revised Version Released - General update and simplification |
| 6 | 4/17/2019 | General update |
| 5 | 5/10/2016 | General update and revised to address stakeholder comments. |
| 4 | 4/7/2014 | Revised to align with updated tariff.  |
| 3 | 4/4/2013 | Revised Version Released – Add Version Control, Approval History, and Revision History Sections  |
| 2 | 4/1/2013 | Revised Version Released - General clarification modifications and clean-up for 2012-2013 TPP Phase 3 Bid Window Opening |
| 1 | 12/19/2012 | Initial Version Released |

1. BMPs, which are environmental industry standard terminology, are the project sponsor’s standards that would be common to all projects, i.e., not specific to any particular project. For example, this could consist of company training policies that relate to required safety training, environmental sensitivity training, accident and injury reporting, or community involvement programs involving both the local elected officials and the immediate community that will be impacted by the proposed project. [↑](#footnote-ref-2)
2. A design voltage level for electrical apparatus that refers to a short duration (1.2 x 50 microsecond) crest voltage and is used to measure the ability of an insulation system to withstand high surge voltage. [↑](#footnote-ref-3)