### Appendix B

**Qualified Transmission Project Sponsor Application Form**

**Instructions:**

* **Questions related to this form and the Guideline are to be directed to:**

[QTPS@iso-ne.com](file:///C:\Users\mdrzewianowski\Documents\Planning%20Process%20Guide\December%202103\2014\July%202014\Planning%20Process\5-14-2015\QTPS@iso-ne.com)

* **Include attachments, if needed:** If the Applicant would prefer to utilize a separate document to answer a question under Part II of this Application or provide materials in support of a question, they may include the answer/materials as an attachment. Please mark the attachment so that it is clear as to which question the answer/material relates.
* **Submittal of Form:**
  + Application submittals (including attachments) larger than 5 MBs may not clear the ISO-NE firewall. Applications greater than 5 MBs should be divided into sub-5 MB files and then submitted separately.
  + Submit this Application to the ISO via [QTPS@iso-ne.com](file:///C:\Users\mdrzewianowski\Documents\Planning%20Process%20Guide\December%202103\2014\July%202014\Planning%20Process\5-14-2015\QTPS@iso-ne.com)

**Part I – General Information**

**QTPS Applicant Information**

|  |  |  |  |
| --- | --- | --- | --- |
| **Legal name of C**o**mpany Applying for QTPS statu**s **(“Applicant”)** | |  | |
| **Legal type of Applicant** | | **🞎Sole Proprietor**  **🞎Partnership**  **🞎Corporation**  **🞎Limited Liability Company**  **🞎Municipal-Owned Entity**  **🞎Other (describe) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | |
| **State and date where Applicant was organized** | |  | |
| **Business Mailing address for Applicant** | |  | |
| **Web address for Applicant (if one exists)** | |  | |
| **Dun and Bradstreet Number** | |  | |
| **Is the Applicant a party to (check all that apply):** | | **🞎 TOA**  **🞎 NTDOA**  **🞎 MPSA #\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | |
| **Applicant’s NERC Registration (check all that apply)** | | **🞎 Transmission Owner**  **🞎 Transmission Operator**  **🞎 Transmission Planner**  **🞎 A NERC “Entity Task” other than that noted above (list):** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **🞎 Not currently registered with NERC** | |
| **Company Officer(s)/ Representative(s) of the Applicant who is/ are duly authorized to sign this Application: (**Name / Title) |  | | |
|  | **Primary Contact** | | **Secondary Contact** |
| **Name** |  | |  |
| **Title** |  | |  |
| **Company Name** |  | |  |
| **Phone** |  | |  |
| **Fax** |  | |  |
| **E-mail address** |  | |  |
| **Mailing Address** |  | |  |

**Part II – Supporting Experience/Information**

1. Provide evidence that Applicant legally exists. This may be in the form of a corporate charter issued by a state or local jurisdiction, filed articles of incorporation, an executed partnership agreement or similar document.
2. Provide evidence of Applicant’s experience with financing or arranging financing for the construction of electric transmission facilities.[[1]](#footnote-2)
   1. Include a description of at least the three largest such projects developed in the past ten years.
   2. Include a description of the capital costs and financial structure of such projects, whether the projects entered into commercial operation, and whether any projects are in default.
3. Provide the Applicant’s current and expected capability to finance or arrange for financing for electric transmission facilities.
   1. Submit the Applicant’s capital procurement plan;
   2. Submit evidence of Applicant’s recent experience procuring capital for the construction of electric transmission facilities or interconnecting to the transmission system;
   3. Submit Applicant’s credit ratings received from S&P, Moody’s and any other Nationally Recognized Statistical Rating Organization;
   4. Provide a statement regarding whether the Applicant is presenting its capability to construct, own and maintain electric transmission facilities on its own or whether it will be supported by a parent or affiliated company;
   5. If relying on a parent or affiliate company in presenting its capability to construct, own and maintain electric transmission facilities, submit a description of the business relationship to the affiliate company, and the agreements in place between the Applicant and the affiliate company relevant to reliance on the relationship to the affiliate company as part of this Application; and
   6. Submit a summary of Applicant’s history of bankruptcy or dissolution in the last five calendar years.
4. The Applicant shall provide information describing how it would utilize its existing capabilities and competencies or acquire any additional capabilities and competencies needed to plan and construct an electric transmission facility proposed under Attachment K to Section II of the ISO-NE Tariff. This information shall be submitted with this Application as Attachment A and shall include as headings, the specific project implementation tasks listed below in the order presented.

4.1 Describe your capabilities to accomplish the following key tasks in electric transmission facility development and construction, including:

1. Project management;
2. Plans for development of project management, engineering, material, and construction standards and practices to be followed for specific types of facilities;
3. Preliminary and detailed engineering, design, and surveying;
4. Routing and siting studies, including public outreach;
5. Plans for retaining and qualifying personnel or contractors;
6. Material, tools, vehicles and equipment procurement;
7. Construction;
8. Commissioning and testing; and
9. Plans for utilizing infrastructure and resources owned and operated by an affiliate company.

If Applicant will utilize capabilities or competencies from a Parent, Affiliate, or contracted third-parties to meet the project implementation requirements, those capabilities or competencies must be identified in Attachment A as being provided by said Parent, Affiliate, or contracted third-parties.

4.2 Describe your capabilities to accomplish the following key tasks regarding electric transmission facility operation and maintenance.

Provide a detailed business implementation plan describing how it would utilize the existing capabilities and competencies identified in Section II, above, or acquire any additional capabilities and competencies needed to operate and maintain an electric transmission facility proposed under Attachment K to Section II of the ISO-NE Tariff. The operation and maintenance plan shall be submitted with this Application as Attachment B and shall include as headings, the specific project implementation tasks listed below in the order presented.

1. Forced Outage Response;[[2]](#footnote-3)
2. Switching (for electric transmission line circuits & substations);[[3]](#footnote-4)
3. Emergency repair, testing and response times;[[4]](#footnote-5)
4. Preventative and/or predictive maintenance, including vegetation management and equipment testing;[[5]](#footnote-6)
5. Maintenance and management of spare parts, spare structures, and/or spare equipment inventories for electric transmission lines and/or substations;[[6]](#footnote-7)
6. Real-time operations monitoring and control capabilities;
7. Major facility replacements or rebuilds required as a result of catastrophic destruction or natural aging through normal wear and tear, including financial strategy to facilitate timely replacements and/or rebuilds;[[7]](#footnote-8)
8. Plans for retaining and qualifying personnel or contractors;
9. Plans for utilizing infrastructure and resources owned and operated by an affiliate company;
10. Plans for acquiring required tools, equipment, and vehicles;
11. Plans for development of maintenance standards & practices to be followed for specific types of facilities;
12. Plans for developing standards governing where personnel, equipment, and spare parts/equipment will be maintained with respect to potential future facilities (e.g., maximum distance between facility & local office, etc.); and
13. Plans for maintaining adequate capital procurement capabilities to rebuild facilities following major catastrophic outages (including property insurance and risk mitigation strategies).

If the Applicant will utilize capabilities or competencies from a Parent, Affiliate, or contracted third-parties to meet the project implementation requirements, those capabilities or competencies must be identified in Attachment B as being provided by said Parent, Affiliate, or contracted third-parties.

4.3Provide a description of the Applicant’s safety assurance and risk management plans.

Provide a detailed description of the planned safety assurance and risk management plan including descriptions of planned safety rules, safety policies, safety prevention programs, and safety training. In addition, the plan should address general policies, strategies, and procedures to be employed for risk management to address and mitigate potential risks including, but not limited to, potential litigation from liability claims, catastrophic premature failure or destruction of assets, and legal or regulatory compliance violations. The safety assurance and risk management plan shall be submitted with this Application as Attachment C.

1. Provide a description of the Applicant’s capability or experience in meeting development and completion schedules as it pertains to construction, maintenance, and operation of electric transmission facilities.
2. Provide a description of the Applicant’s business practices that demonstrate consistency with Good Utility Practice and capability to address and timely remedy failure of facilities relative to constructing, maintaining and operating electric transmission facilities.
3. Provide a description (including construction cost details, location, circuit miles, voltage levels and equipment descriptions) of electric transmission facilities that the Applicant has previously constructed, maintained and operated within the past ten years and the status of those facilities, including whether the construction was suspended or terminated and for what reason, whether construction was completed, whether the facility entered into commercial operation, whether the facility failed to perform as it was designed and for what reason. Include any history and evidence demonstrating ability to maintain those facilities, along with a record of past reliability performance.
4. Provide evidence to demonstrate the Applicant’s ability or experience with meeting:
   1. NERC and/or NPCC reliability standards or compliance requirements, including descriptions of associated violations and/or pending violations; and
   2. ISO-NE Operating Documents.[[8]](#footnote-9)

**Part III - Signature**

The Applicant hereby represents and warrants that all statements and representations made herein, including any supporting documents, are true to the best of the Applicant’s knowledge and belief.

By: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
(Authorized Representative of the Applicant)

Date:

Name:

Title:

**Acknowledgement of Receipt by ISO-NE:**

Date: \_\_\_\_\_\_\_\_\_ / Time: \_\_\_\_\_\_\_\_\_of receipt by ISO New England Inc. of the Application.

By: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name:

Title:

1. For purposes of this QTPS application, an electric transmission facility(ies) includes regional and local transmission lines and associated facilities rated 69 kV and above (e.g., transmission lines and associated equipment, substations, capacitor and reactor banks, generator interconnections, STATCOMs, SVCs). [↑](#footnote-ref-2)
2. Including source and location of resources (e.g., labor, contractors, equipment, base of operations), line patrol policies and procedures, equipment testing and diagnostic policies and procedures, troubleshooting policies and procedures, policies and procedures to interpret fault recording and sequence of events recording data including coordination with other entities, fault removal procedures including emergency clearance and coordination with other entities, emergency repair procedures, and anticipated response times [↑](#footnote-ref-3)
3. Including preparation, approval, and issuance of switching orders and clearance, field switching procedures, tagging procedures, location of resources (e.g., labor, contractors, and base of operations), and description of procedures to handle emergency switching, planned switching, and switching coordination with other entities [↑](#footnote-ref-4)
4. Including planned policies and procedures, source and location of resources (e.g., labor, equipment, base of operations), anticipated contractor agreements, and anticipated response times [↑](#footnote-ref-5)
5. Including planned policies and procedures, source and location of resources (labor, equipment, base of operations), anticipated contractor agreements, and anticipated response times. Includes program description for transmission lines, substations, and major equipment including type of program (e.g., time-based, condition-based, duty-based, etc.), maintenance intervals (e.g., inspection, patrol, testing, routine maintenance), equipment testing program details (e.g., types of testing performed, test equipment utilized, testing results analysis, corrective action thresholds, etc.), inspection and patrol checklists, and other pertinent information. [↑](#footnote-ref-6)
6. Including planned policies and procedures, source and location of spare major equipment and spare parts, and proposed sharing agreements with other entities [↑](#footnote-ref-7)
7. Including planned policies and procedures, source of funding, source and location of resources (e.g., labor, contractors equipment, base of operations), anticipated contractor agreements, and anticipated response times [↑](#footnote-ref-8)
8. ISO New England Operating Documents include the Tariff, ISO New England Planning Procedures and the operating guides, manuals, procedures and protocols developed and utilized by the ISO for operating the ISO bulk power system and the New England Markets. [↑](#footnote-ref-9)