ISO NEW ENGLAND PLANNING PROCEDURE NO. 5-1

PROCEDURE FOR REVIEW OF MARKET PARTICIPANT’S OR TRANSMISSION OWNER’S PROPOSED PLANS
(SECTION I.3.9 APPLICATIONS: REQUIREMENTS, PROCEDURES, AND FORMS)

EFFECTIVE DATE: Aug 6, 2020

REFERENCES:
- ISO New England Transmission, Markets and Services Tariff (the “Tariff”)
# Table of Contents

1.0 General ....................................................................................................................................... 4  
1.1 Description of the Proposed Plan Application Process ................................................................. 5  
  1.1.1 Initial Assessment .................................................................................................................. 5  
  1.1.2 Submittal of a Proposed Plan Application ............................................................................. 5  
  1.1.3 Review and Consideration of a Proposed Plan Application ..................................................... 6  
  1.1.4 Withdrawal of a Proposed Plan Application ............................................................................ 7  
  1.1.5 Currency of Approved Applications ........................................................................................ 7  
1.2 Time Limits Prescribed in Section I.3.9 of the Tariff for Review of a Proposed Plan Application for a New Plan or a Revised Proposed Plan Application for a Revised Plan ................................................. 8  
1.3 Issues Not Covered by These Procedures...................................................................................... 9  
2.0 Additions or Changes Requiring Proposed Plan Applications ................................................... 10  
  2.1 Generation Additions or Changes in Net Station Output ............................................................. 10  
  2.2 Transmission Changes ................................................................................................................. 11  
  2.3 Demand Resource Additions and/or Incremental Updates .......................................................... 11  
  2.4 Protection Systems ..................................................................................................................... 11  
  2.5 Interconnections Operating at 69 kV or Above with Non-Transmission Owner or Non-Market Participants ................................................................................................................................. 11  
  2.6 Dynamic Controls System ........................................................................................................... 11  
3.0 Retirements .................................................................................................................................... 12  
  3.1 Requirements ............................................................................................................................. 12  
4.0 Facility Changes That Do Not Require Proposed Plan Applications or Revisions to Previously Approved Proposed Plan Applications ........................................................................................................... 12  
5.0 Application Forms ....................................................................................................................... 13  
  5.1 Summary Statement ................................................................................................................... 13  
  5.2 Design Voltage versus Initial Operating Voltage ........................................................................ 13  
  5.3 Protection System and Dynamic Control System Descriptions ..................................................... 13  
  5.3.1 Protection System Description ............................................................................................. 13  
  5.3.2 Dynamic Control System Description .................................................................................... 13  
  5.4 Transformer Description ............................................................................................................. 13  
  5.5 Application Identification ............................................................................................................ 13  
6.0 Document History ....................................................................................................................... 15  
7.0 Attachment 1 – Generation Proposed Plan Application ................................................................. 16  
8.0 Attachment 2 – Transmission Facilities Proposed Plan Application ............................................. 19  
9.0 Attachment 3 – Generator Notification Form for Units or Changes of Less Than 5 MW...
1.0 General

This document outlines the requirements, procedures, and application forms to be used in the submission and review of proposed plans pursuant to Section I.3.9 of the ISO New England Transmission, Markets and Services Tariff (the “Tariff”).

Each submittal shall include an applicable completed application. Blank application form(s) are provided in Attachments 1, 2, and 3 of this document.

Proposed plans submitted for review pursuant to Section I.3.9 must be supported by information and analysis. PP5-3 "Guidelines for Conducting and Evaluating Proposed Plan Application Analyses" provides guidance on what information and analysis should be available to support a submittal. The completed applications and supporting materials describing and assessing the impact of the proposed plans together shall constitute submittal of a Proposed Plan Application.

Establishment and maintenance of approval of a Proposed Plan Application establishes the determination that implementation of the proposed plan will not have a significant adverse effect upon the reliability or operating characteristics of the Market Participant’s or Transmission Owner’s system or of the systems of one or more other Affected Entities and the Market Participant or Transmission Owner is free to proceed with the proposed plan.

As prescribed per this document, a Market Participant or Transmission Owner will submit a Proposed Plan Application to the ISO. Where a non-Market Participant or non-Transmission Owner is involved, the non-Market Participant or non-Transmission Owner must meet the same requirements as for a Market Participant or Transmission Owner, except that a Market Participant or Transmission Owner on behalf of the non-Market Participant or non-Transmission Owner must submit any Proposed Plan Applications. Typically, the Transmission Owner that interconnects with the non-Market Participant or non-Transmission Owner will submit the Proposed Plan Application for the interconnection. If transmission facility changes are required to interconnect non-Market Participant or non-Transmission Owner facilities, the Market Participant or Transmission Owner who owns, or will own, the facilities at the Point of Interconnection with the non-Market Participant or non-Transmission Owner facilities is responsible for submission of the Transmission Proposed Plan Applications. Joint Applications may need to be filed if systems of others are involved.

Market Participants or Transmission Owners must follow the “Proposed Plan Application Submittal Procedure” contained in Attachment 5 to this procedure for their submittal of Proposed Plan Applications to the ISO. This attachment details the flow of information required under this planning procedure and Planning Procedure 5-3, “Guidelines for Conducting and Evaluating Proposed Plan Application Analysis,” to promote a smooth Proposed Plan Application review by the Reliability Committee and review and approval by the ISO.

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1.1 **Description of the Proposed Plan Application Process**

The ISO will coordinate the Proposed Plan Application process.

1.1.1 **Initial Assessment**

The complexity of proposed changes to the system can range from minor changes to major alterations. The intention of the Proposed Plan process is to match study effort and review effort appropriate to the complexity of the proposed change. In PP5-3 “Guidelines for Conducting and Evaluating Proposed Plan Application Analyses”, guidance relative to study effort is provided through a discussion of different study levels. PP5-3 defines four levels of analysis: Level 0, Level I, Level II, and Level III. The Market Participant or Transmission Owner must discuss proposed plans early in the process with the ISO and, as necessary, the host Transmission Owner for guidance regarding the appropriate level of study required or whether a Proposed Plan Application is needed.

The ISO will examine the proposed plans and evaluate the potential for significant adverse impact on the stability, reliability, or operating characteristics of the interconnected system. Based on this examination, the ISO will advise the Market Participant or Transmission Owner regarding whether input should be solicited from other committees or any Affected Entity. Other committees include, but are not limited to, the Principal Committees.

The ISO will engage potentially technically impacted Affected Entities during the conduct of the studies that will be used to support a Proposed Plan Application.

1.1.2 **Submittal of a Proposed Plan Application**

The completed application form(s) shall be sent with supporting documentation to the ISO who will collect, distribute, and provide a permanent record of the Proposed Plan Application no later than 10 business days prior to a Reliability Committee meeting for which action is expected. Applications received by the ISO less than 10 business days prior to a Reliability Committee meeting may, at the discretion of the officers of the Reliability Committee, be reviewed at that meeting or will otherwise be deferred to the next noticed meeting that satisfies the 10 business day review expectation.

A typical submittal will include the application(s) with a cover letter, a one-line diagram illustrating the proposed change relative to the existing system along with proposed equipment nomenclature, if available, and, if applicable, a report that documents the study and supports the application. The report that is distributed to the Reliability Committees typically does not have to include appendices or attachments provided that the appendices and/or attachments are available upon request. A map locating the facilities is desirable. The submittal will be distributed by the ISO to the Reliability Committee. A discussion of the expected analysis and information to be provided in a final report is further discussed in PP5-3 “Guidelines for Conducting and Evaluating Proposed Plan Application Analyses”.

It is recommended that a Proposed Plan Application not be filed more than 5 years prior to the proposed in-service date. Applications that are submitted for review more than 5 years in advance of the proposed in-service date must include an explanation of the need for this lead time and a
schedule of clearly defined milestones related to the pursuit of permitting, licensing and construction of the proposed plan. The schedule of milestones will be used to demonstrate due diligence to the Reliability Committee and the ISO.

A draft motion describing the conditions of the approval for the Proposed Plan Application is recommended. Such motion will be distributed by the ISO consistent with the Technical Committee Bylaws.

1.1.3 Review and Consideration of a Proposed Plan Application

The ISO will supply the Reliability Committee brief statements describing the ISO’s recommendation on Proposed Plan Applications that require Level II or Level III analysis, including any opinions expressed by Affected Entities regarding significant impacts that they believe to be insufficiently addressed. Such recommendations are preferably provided to the Reliability Committee with the distribution of the meeting material and agenda. If any of the recommendations are not available at the time of the distribution of the meeting material and agenda, the recommendations should be provided prior to the Reliability Committee acting on the Proposed Plan Application. If the recommendations are not available by the time the Reliability Committee is prepared to act on the application, the committee may elect to defer action subject to the time constraints defined in Section 1.3.

If in reviewing the application and associated information, the Reliability Committee decides additional information, review, or study is required prior to acting on the application, the Reliability Committee may elect to defer action and solicit supplementary information, review, or study as required. Sources for such additional information may be, but are not limited to, the Market Participant or Transmission Owner sponsoring the application, other Market Participants or Transmission Owners, the ISO, and other committees.

The actions the Reliability Committee may take are to defer action, recommend approval by the ISO, or recommend disapproval by the ISO. The Reliability Committee is expected to act on all Proposed Plan Applications that require Level II or Level III analysis. Applications requiring Level I analysis do not need approval, but do need Reliability Committee concurrence that only Level I analysis is required.

Reliability Committee members will be responsible for establishing an understanding of each application through their own knowledge, review of the documentation provided with the application, and/or consultation with the ISO, and/or other committees.

The Secretary of the Reliability Committee will notify the Members and Alternates of the Participants Committee and the ISO of the actions taken by the Reliability Committee. This written notice will be delivered prior to the end of the fifth (5th) business day following a meeting of the Reliability Committee as specified by the Technical Committee Bylaws. This notification will constitute formal confirmation that such action was taken. The ISO will consider the recommendations of the Reliability Committee in the process of approving/disapproving each Proposed Plan Application. The ISO will transmit an official letter to the Market Participant or Transmission Owner submitting the Application noting such approval or disapproval. Upon approval the Market Participant or Transmission Owner shall be free to implement the proposed
plan in accordance with the Tariff, including compliance with any additional requirements contained therein, e.g. the requirements of the process for the interconnection of new generating resources or modification of existing generating resources pursuant to Schedules 22 and 23 of Part II of the Tariff, subject to the terms of this document. If any Reliability Committee member provides a written objection to a Proposed Plan Application, such objection will be conveyed to the ISO. In the event that another Market Participant or Transmission Owner objects to the actions of the ISO, the Tariff specifies avenues for resolution of the objection.

1.1.4 Withdrawal of a Proposed Plan Application

Withdrawal of a Proposed Plan Application is indication that a Market Participant or Transmission Owner no longer intends to pursue a proposed plan. Should a Market Participant or Transmission Owner wish to withdraw its Proposed Plan Application, a letter to that effect should be sent to the ISO. The ISO will distribute the notice of withdrawal to the appropriate committees. Consideration as to which committees should be notified will be subject to the stage of the processing of the application. Proposed Plan Applications associated with projects that have withdrawn from the interconnection queue shall be considered automatically withdrawn.

1.1.5 Currency of Approved Applications

Following review and approval of the proposed plans associated with one or more Proposed Plan Applications, implementation of the proposed plans must continue to be actively pursued for such applications to remain current. Any of the following conditions may result in a determination that approval of such applications is revoked:

a. Two years have elapsed from the proposed in-service date on the approved Proposed Plan Application(s) and the Market Participant or Transmission Owner has not demonstrated due diligence in pursuit of permitting, licensing and construction of the approved proposed plans. For proposed plans associated with an application submitted pursuant to the Tariff ("Tariff Application"), a valid and current Tariff Application shall constitute due diligence in pursuit of implementation of the proposed plans.

b. The Market Participant or Transmission Owner has not sufficiently modified the proposed plans as required to address the difference between the modeled and actual or expected system.

c. The Market Participant or Transmission Owner has elected not to pursue completion of the proposed plans described in the approved Proposed Plan Application(s).

d. The Market Participant or Transmission Owner makes a change in the scope of the proposed plans described by the original Proposed Plan Application.

e. The Proposed Plan Applications were submitted for review and approved more than 5 years in advance of the proposed in-service date, and the Market Participant or Transmission Owner has not demonstrated due diligence in pursuit of permitting, licensing and construction of the approved proposed plans through annual progress reports. For proposed plans associated with an application submitted pursuant to the Tariff ("Tariff Application"), a
valid and current Tariff Application shall constitute due diligence in pursuit of implementation of the proposed plans.

The ISO, in consultation with the Reliability Committee, will notify the Market Participant or Transmission Owner where such conditions have led to the conclusion that the approval of the associated Proposed Plan Applications may be revoked. However, within 90 days following notification of such action the Market Participant or Transmission Owner may submit studies and/or information for review and approval by the ISO that addresses the issues leading to this conclusion in order to maintain approval of such applications. The ISO may modify the time limits identified above as appropriate.

Studies must be updated and proposed plans modified accordingly if the actual or expected system is, as of the proposed plans’ actual in-service date, sufficiently different from what was modeled in the analysis supporting the approved Proposed Plan Application(s). The updated studies will identify whether a part of a proposed plan that is no longer being pursued, as identified per this Procedure, is a necessary component or condition of another proposed plan that has maintained its currency. In this case, a Proposed Plan approval associated with the necessary component or condition will remain current.

1.2 Time Limits Prescribed in Section I.3.9 of the Tariff for Review of a Proposed Plan Application for a New Plan or a Revised Proposed Plan Application for a Revised Plan

Section I.3.9 of the Tariff requires each Market Participant or Transmission Owner to submit a Proposed Plan Application to the ISO at least sixty (60) days prior to the proposed in-service date. In the case of transmission facilities developed through the Solutions Study process or the competitive solution process, no significant action (other than engineering reasonably necessary to support the Solutions Study or competitive solution process) shall be taken. Any revisions to a previously approved Proposed Plan Application proposed for implementation prior to the in-service date of such previously approved Proposed Plan must be specified on a revised Proposed Plan Application form. The completed Proposed Plan Application form for a new plan or a revised Proposed Plan Application for a revised plan requiring analysis must include documentation of the analyses that have been determined to be required by the ISO, in consultation with Affected Entities, as necessary, or the Reliability Committee. If during the Proposed Plan Application review process a significant adverse impact on the New England Control Area system or any Market Participant’s or Transmission Owner’s system is identified, then the Proposed Plan Application will be rejected.

Due to the amount of time required for the Proposed Plan process, Market Participants or Transmission Owners are strongly recommended to supply appropriate data, with adequate lead times for performance and completion of any anticipated analyses and its review by ISO as described in “Level of Analysis Required” (see PP5-3, Section III.A.2.0), prior to formal submittal of a Proposed Plan Application to the ISO. If the appropriate data is not supplied with adequate lead times for performance and completion of any anticipated analyses and its review by ISO, then

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2 See also Section 2.06 of the Transmission Operating Agreement.
implementation of the proposed plans may be delayed or rejected regardless of their stage of physical completion.

1.3 Issues Not Covered by These Procedures

For issues not covered by these or any other documented procedure, Market Participants or Transmission Owners are expected to discuss pertinent issues with, and seek guidance first from the ISO. If the issue involves a policy decision, the ISO may suggest an approach for addressing the issue. Such approach may involve raising the issue for discussion, guidance, or decision from one or more committees.
2.0 Additions or Changes Requiring Proposed Plan Applications

This section identifies when a Proposed Plan Application is required based upon the type and/or size of facility.

2.1 Generation Additions or Changes in Net Station Output

The following table describes the Proposed Plan Application requirements for all new generation or changes in station output that meet the defined conditions.

<table>
<thead>
<tr>
<th>Generation Change</th>
<th>Proposed Plan Application Required?</th>
<th>Study and Performance Requirements</th>
<th>Modeling Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>New or Increased Generation ≥5MW⁶</td>
<td>Yes</td>
<td>Requirements of Planning Procedure 5-6 and 5-3</td>
<td>Requirements of Planning Procedure 5-6</td>
</tr>
<tr>
<td>≥ 5 MVAR Unit or ≥ 10 MVAR Station Change in Reactive Capability ⁷</td>
<td>Yes</td>
<td>Requirements of Planning Procedure 5-6 and 5-3</td>
<td>Requirements of Planning Procedure 5-6</td>
</tr>
<tr>
<td>New or Increased Generation &gt;1MW and &lt; 5 MW</td>
<td>No / Notification Form ⁸ only is Required – Unless the ISO identifies that a PPA is required</td>
<td>None, unless the ISO identifies that a PPA is required, in which case Requirements of Planning Procedure 5-6 and 5-3</td>
<td>None, unless the ISO identifies that a PPA is required, in which case Requirements of Planning Procedure 5-6</td>
</tr>
<tr>
<td>New or Increased Generation ≤1MW</td>
<td>No</td>
<td>None</td>
<td>None</td>
</tr>
</tbody>
</table>

This language only encompasses requirements related to the submission of Proposed Plan Applications under Section 3.9 of Part I of the Tariff. The provisions of Schedules 22 and 23 of the ISO New England Open Access Transmission Tariff with regard to the interconnection of new generation or modification of existing generation or the provisions of Market Rule 1, Section III of the Tariff, with regard to a reduction in the capacity or a retirement of a generator must also be observed. Proposed Plan Applications shall be submitted in accordance with this Planning Procedure within 30 calendar days from the end of the Interconnection Customer’s comment process following the completion of a System Impact Study pursuant to Schedule 22 or Schedule 23 of the ISO New England Open Access Transmission Tariff.

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⁶ Changes in MW or MVAR capability reflect a change in the fundamental capability of the unit or station.
⁷ For the purposes of this section, a station is a group of generators and associated terminal equipment (including generator interconnections) all contained by a continuous fence and owned by a single entity.
⁸ Net station output is output delivered to the Point of Interconnection.
⁹ An increase of 5 MW or more of net station output for a single unit within a station or an increase of 5 MW or more of total net station output.
ña An increase or decrease (lead or lag) of 5 MVAR or more in net station output for a single unit within a station, or, an increase or decrease (lead or lag) of 10 MVAR or more in total net station output.
⁴ Generation Notification Form submissions are subject to the same timing requirements contained in Section 1.1.2.
At the same time (and for the same Reliability Committee meeting) as the submittal of the Generation Proposed Plan Application, the Market Participant or Transmission Owner, if necessary, must submit a Proposed Plan Application for transmission associated with the generation in accordance with Section 2.2 of this procedure.

2.2 Transmission Changes

All transmission changes that change the topology or characteristics of the transmission system or that change the thermal capability of a portion of the system by replacement of transmission facilities except as exempted in Section 4 require a Proposed Plan Application (Attachment 3). Transmission Applications must be approved by the ISO.

For all major changes to transmission facilities with design voltages at or above 69 kV, the Market Participant or Transmission Owner will supply the results of completed studies to the ISO sufficiently in advance of the Proposed Plan Transmission Application so that sufficient time for review is allowed. This includes changes to generator leads and their associated equipment, such as a GSU.

Proposed Plan Applications associated with Elective Transmission Upgrades shall be submitted in accordance with this Planning Procedure within 30 calendar days from the end of the Interconnection Customer’s comment process following the completion of a System Impact Study pursuant to Schedule 25 of the ISO New England Open Access Transmission Tariff.

2.3 Demand Resource Additions and/or Incremental Updates

Any generation additions or changes, including Distributed Generation, should follow the generation submittal and notification requirements of this PP5-1, even if they are intended to participate in ISO New England markets as demand resources. No notification or submittal is required pursuant to this PP5-1, for demand resources that are not comprised of generation.

2.4 Protection Systems

Any addition or change in a protection system which results in actions such as transmission cross-tripping, runback, fast valving, removal of voltage regulators or a permanent change which results in significant limitations to generating equipment, opening or removal of transmission lines from service, etc. requires submission of a Proposed Plan Application. Such application will be treated the same as Section 2.2.

2.5 Interconnections Operating at 69 kV or Above with Non-Market Participants or Non-Transmission Owners

Interconnections operating at 69 kV or above with non-Market Participants or non-Transmission Owners (such as a new connection with a neighboring Control Area) require a Proposed Plan Application to be approved by the ISO.

2.6 Dynamic Controls System

Any addition or significant change in a continuously acting control system and associated devices that respond to normal and abnormal system conditions or events, so as to change the stability, reliability, or operating characteristics of the bulk power system requires submission of a Proposed
Plan Application. Any significant difference in a continuously acting control system and associated
devices from those parameters studied and approved under a Proposed Plan Application or
otherwise conveyed to the ISO as part of the Applicant’s ongoing data provision requirements
requires submission of a new Proposed Plan Application to assess the actual operating
parameters. This includes, but is not limited to significant changes in control systems associated
with static var and synchronous compensators, HVdc, generator excitation systems, power system
stabilizers and turbine governor systems. Please note that the provisions of Schedule 22, 23 and
25 of the ISO Open Access Transmission Tariff regarding modifications to existing generators and
 Elective Transmission Upgrades must also be observed.

3.0 Retirements
This section identifies when a Proposed Plan Application is required based upon the type and/or
size of facility.

3.1 Requirements
Generator retirements do not require the submission of a Proposed Plan Application. However, all
requirements in the ISO New England Manual for Registration and Performance Auditing (M-RPA)
must be met. Retirement of a capacity resource must follow the requirements of Section III.13 of
the Tariff.

4.0 Facility Changes That Do Not Require Proposed Plan Applications or Revisions to
Previously Approved Proposed Plan Applications
Facility changes, such as but not limited to the following, do not require Proposed Plan
Applications or revisions to previously approved Proposed Plan Applications:

- Routine protection and relaying changes only if there will be no increase in the fault
clearing times and no material change in elements tripped for all events that would be
analyzed pursuant to the Proposed Plan Application process.
- Minor adjustments of parameters of continuously acting control systems from what
had been previously approved under a Proposed Plan Application (However, such
adjustments must be conveyed to the ISO as part of the Applicant’s ongoing data
provision requirements.)
- Disconnect switches
- Replacement in kind or with greater energy dissipation of surge arrestors
- Station automation
- SCADA
- Communications
- Metering
- Rehabilitation with like equipment that does not affect transmission capability
- Static wire changes
- Counterpoise changes
• Replacement in kind of line terminal equipment and bus conductor to increase thermal capability (Such changes however require the Market Participant to submit revised NX-9 data to the ISO in accordance with OP 16 “Transmission System Data”)
• Reductions in capability that result from the retirement of the resource/asset

5.0 Application Forms
Attachments 1, 2 and 3 are forms to be used to notify the ISO of proposed generation and transmission changes.

5.1 Summary Statement
Each application will include a summary statement describing the proposed change and its purpose, and explaining its impact on the system, if any.

5.2 Design Voltage versus Initial Operating Voltage
Where a transmission line will be operated initially at a voltage lower than its design voltage, both voltage levels will be specified in the space provided. The procedure to be followed is determined by the initial operating voltage. A separate Proposed Plan Application is required when the line is to be converted to the higher voltage.

5.3 Protection System and Dynamic Control System Descriptions
5.3.1 Protection System Description
The relaying section of the transmission form will describe the types of line relaying, backup relaying, communications and reclosing to be installed. Breaker failure protection also will be described. Any protective system that requires remote tripping, runback, or fast valving of generating equipment must be described in detail.

5.3.2 Dynamic Control System Description
If applicable, a description of the equipment and design considerations must be provided. If testing and maintenance is an important factor in the overall performance in mitigating any adverse system impact, then a plan of the system testing and maintenance must be provided.

5.4 Transformer Description
Transformer terminal voltages will be stated in the space provided, including tertiary winding, if there is one. The type of transformer or transformer bank should be described in the "comments" section. A separate sheet may be used, if needed.

5.5 Application Identification
A company identification number will be assigned to each application by the Market Participant or Transmission Owner preparing it. The following codes will be used:
• Company initials
• Last two digits of year submitted
- Letter(s) indicating
  G - Generation Addition
  T - Transmission Change
  X - Protection System/Dynamic Control System Change or Addition
- Company's serial number of Section I.3.9 filing for year indicated
- REV indicating a revision to a previously completed and approved Proposed Plan Application
- Serial number reflecting sequence of revisions to the previously completed and approved Proposed Plan Application

These codes will be assembled into a string as shown in the example below:

EXAMPLES: NSTAR-03-T06
           NSTAR-03-T06-REV-01
### 6.0 Document History

<table>
<thead>
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<th>Date</th>
<th>Reason</th>
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<td>Rev. 0</td>
<td>Rec: RTPC – 1/18/00; App: PC – 2/4/00</td>
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<tr>
<td>Rev. 1</td>
<td>Rec: RC – 11/14/00; App: PC – 12/1/00</td>
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<td>Rev. 2</td>
<td>Rec: RC – 6/10/03; App: PC – 6/25/03</td>
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<td>Rev. 3</td>
<td>Eff: 2/1/05</td>
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<tr>
<td>Rev. 4</td>
<td>App: RC – 9/19/07; PC – 10/12/07; ISO-NE – 10/12/07</td>
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<td>RC – 12/19/07</td>
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<td>Rev. 4.2</td>
<td>RC – 1/30/08</td>
<td>Revision to Attachment 2</td>
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<td>Rev. 4.3</td>
<td>PC – 2/4/09</td>
<td>Revision to Attachment 5</td>
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<td>Rev. 7</td>
<td>App: RC – 11/17/10; PC – 12/10/10; ISO-NE – 12/10/10</td>
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<td>Rev. 8</td>
<td>App: RC – 3/19/13; PC – 4/5/13; ISO-NE – 4/5/13</td>
<td>Updated Section 2.4 description of the review of Demand Resources</td>
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<tr>
<td>Rev. 9</td>
<td>App: RC – 2/18/14; PC – 3/7/14; ISO-NE – 4/9/14</td>
<td>Conforming change recognizing paragraph 2.9 had been made Section 4</td>
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<tr>
<td>Rev. 10</td>
<td>App: RC – 8/18/15; PC – 9/11/15; ISO-NE – 10/2/15</td>
<td>Added data field on Attachment 4; updated website links on Attachment 5</td>
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<tr>
<td>Rev. 12</td>
<td>App: RC – 2/13/18; PC – 3/2/18; ISO-NE – 3/9/18</td>
<td>Applicability of the requirements of PP5-6; timely submittal and automatic withdrawal of PPAs; removal of waiver for Settlement-Only Generators from underfrequency protection requirements and PPA forms update</td>
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<tr>
<td>Rev. 13</td>
<td>App: RC – 12/18/19; PC – 2/6/20; ISO-NE – 2/6/20</td>
<td>Updated Section 1.2 to conform with changes to Tariff Section I.3.9. Changed Governance Participant to Market Participant or Transmission Owner to match Section I.3.9.</td>
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This Document History documents action taken on the equivalent NEPOOL Procedure prior to the RTO Operations Date as well as revisions to the ISO New England Procedure subsequent to the RTO Operations Date.
### 7.0 Attachment 1 – Generation Proposed Plan Application

**GENERATION PROPOSED PLAN APPLICATION**

ISO New England Planning Procedure 5-1
Page 1 of 2

| Applicant _______________________________ | Date ______________ |
| Contact Person __________________________ | Phone ______________ |

1. **Station Name** _______________________________  
   **and Location** _______________________________  
   **Unit Identification** __________________________

<table>
<thead>
<tr>
<th></th>
<th>Winter (0 or higher Deg F)*</th>
<th>Winter (20 Deg F)</th>
<th>Summer (50 or higher Deg F)**</th>
<th>Summer (90 Deg F)</th>
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<tr>
<td>Gross Unit Rating (MW)</td>
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<tr>
<td>Net Unit Rating (MW)</td>
<td></td>
<td></td>
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<tr>
<td>Unit Rating (Lagging MVAR)</td>
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</tr>
<tr>
<td>Unit Rating (Leading MVAR)</td>
<td>N/A</td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

* Enter all values in this column corresponding to the temperature of 0 degrees F or greater at which gross facility output will be the highest. As an example, if the maximum gross facility output occurs at 12 degrees F, all values in this column shall correspond to the 12 degree F operating condition.

** Enter all values in this column corresponding to the temperature of 50 degrees F or greater at which net facility output will be the highest. As an example, if the maximum net facility output occurs at 67 degrees F, all values in this column shall correspond to the 67 degree F operating condition.

2. **Type of Application**
   - [ ] Construction
   - [ ] Capacity Change

3. **Requested Commercial Operation Date** ______________

4. **Will the facility be equipped with a functioning governor?**
   - [ ] Yes
   - [ ] No (A "No" response may be grounds for rejection pursuant to OP 14.)

5. **Is the unit equipped with under-frequency protection?**
   - [ ] Yes
   - [ ] No
   *If "Yes:"
     a. Has the host utility reviewed the settings?
        - [ ] Yes
        - [ ] No
     b. Will the unit be tripped for under-frequency conditions in the area above the curve in Figure 1 of Standard PRC-006-NPCC?
        - [ ] Yes
        - [ ] No
        i. If “Yes,” has additional automatic load shedding been provided equivalent to the amount of generation to be tripped?
           - [ ] Yes
           - [ ] No

**Application Identification No. ______________**
c. Will the unit be tripped in conjunction with dropping low voltage feeders during load shedding?
   
   □ Yes □ No

   i. If “Yes,” has the host utility ensured that sufficient automatic load shedding capability will be available to system operators? □ Yes □ No

Note: A "No" response to b.i or c.i is grounds for rejection.

6. Provide the following information on fuel used by the unit
   a. List the unit's primary fuel ____________.
   b. and secondary fuel ____________.

7. Will the unit have black start capability? □ Yes □ No
   a. If "Yes," can it be operated on its own auxiliaries prior to synchronization with the system? □ Yes □ No

8. Attach an electrical one-line diagram showing all essential devices including GSU impedance, station arrangements, station service and connections to the transmission system (69 kV and higher), including the voltage levels.

9. Is a Transmission Proposed Plan Application required? □ Yes □ No
   a. If "Yes," identify the Transmission Applications associated with this Application, the Transmission Owner or Market Participant responsible for filing and the date the Application was/will be submitted.

10. System Reliability Studies
    
    Short Circuit □ Completed □ Planned □ Not Needed
    Load Flow □ Completed □ Planned □ Not Needed
    Stability □ Completed □ Planned □ Not Needed
    Other ______________ □ Completed □ Planned □ Not Needed

Application Identification No. ______________

Revision 14 – August 6, 2020 ISO-NE Public 17
Additional Information
(Only to be filled out if unit is <5MW & on the distribution system)

1. Provide the following information on the Location/Interconnection point.
   a. Location/Interconnection Point (Indicate point of coupling with utility system by specifying
distribution feeder or transmission line name(s) or substation name. Distribution facilities should
include the transmission facility substation(s) that the distribution facilities are supplied from.)

   b. Address of Plant
   Street Address ________________________________________________________________
   Town or City ________________________________________________________________
   County ____________ State ____________ Zip Code ____________

   c. Specify the interconnection bus name and the voltage level the unit is connected to.
      Name: ___________________________ Voltage Level (kV): _______

   d. Specify the modeled PSS/E bus name and number that is electrically closest to where the unit is
      interconnected Name: ___________________________ Number: _______

   e. What is the maximum net power injection at the point of interconnection? __________ (MW)

   f. Is there load reduced by operating this generation? (Check Yes or No)
      Yes ☐ No ☐
      If “Yes:”
      By how much is the load reduced? __________ (MW)
      Where is the load located? ___________________________
      (Check the appropriate box and provide appropriate diagram(s))
      ☐ The unit is connected to the power system at transmission voltage (69 kV or higher). Provide an
electrical one-line diagram showing all essential devices including GSU impedance, station arrangements,
station service and connections to the bulk power system, including the voltage levels below 69 kV.
      ☐ The unit is connected to the distribution system. Provide one-line diagram(s) showing the unit
connection and where the distribution network connects to the bulk power system

2. Provide the following information on fuel used by the unit.
   a. List the unit’s primary energy source code (from “Energy Sources” listed on the following page)
      __________________

   b. List the unit’s secondary energy source code (from “Energy Sources” listed on the following page)
      __________________

3. Comments:

Application Identification No. _____________
8.0 Attachment 2 – Transmission Facilities Proposed Plan Application

TRANSMISSION FACILITIES PROPOSED PLAN APPLICATION
ISO New England Planning Procedure 5-1

1. Applicant _____________________________ Date ________________

2. Type of Facility ____________________________ In-Service Date ________________

3. Transmission Line and/or Substations
   a. From ____________________________ To ____________________________
      (Terminal - Name - Location) (Terminal - Name - Location)
   b. Third Terminal or tap (if any) ____________________________
      (Name - Location)
   c. Distance - Overhead _____ miles   Underground _____ miles   Design Voltage _____ KV

4. Transformer Rating _____ MVA   HV _____ KV   LV _____ KV   Tertiary _____ KV
   Parameters in percent on a 100 MVA Base
   Resistance _____ -R   Reactance _____ -X

5. Attach simplified one-line diagram(s) of transmission and/or substations with breaker configuration, indicating existing and proposed additions or changes on construction.
Comments: __________________________________________________________________________

6. Reliability Studies
   Short Circuit:   Completed □   Planned □   Not Needed □   Explanation Attached □
   Load Flow:      Completed □   Planned □   Not Needed □   Explanation Attached □
   Stability:      Completed □   Planned □   Not Needed □   Explanation Attached □
   Other _________ Completed □   Planned □   Not Needed □   Explanation Attached □

7. a. If this Application is associated with a Generation Proposed Plan Application, identify the Generator Proposed Plan Application(s) and the Market Participant(s) or Transmission Owner(s) responsible for submitting it. N/A □

b. Has the Generation Proposed Plan Application(s) been submitted? Yes □ No □
   If "No," when will the Application(s) be submitted? ________________
   Application Identification No. ________________
9.0 Attachment 3 – Generator Notification Form for Units or Changes of Less Than 5 MW

ISO NEW ENGLAND GENERATOR NOTIFICATION FORM FOR
UNITS OR CHANGES OF LESS THAN 5 MW
ISO New England Planning Procedure 5-1
Page 1 of 4

Submit Completed Form to ProposedPlans@iso-ne.com

Contact Customer Service at 413-540-4220 or custserv@iso-ne.com to begin market system asset registration process

Applicant ___________________________________________ Date _____________________
Generation Owner (if different than Applicant) __________________________________________
Contact Person ___________________________________________
Phone # (___)______________ Fax # (___)_______________ E-mail ___________________

1. Station Name ___________________________________________
   a. Location/Interconnection Point (Indicate point of coupling with utility system by specifying distribution feeder or transmission line name(s) or substation name. Distribution facilities should include the transmission facility substation(s) that the distribution facilities are supplied from.)
   __________________________________________________________________________
   b. Address of Plant
      Street Address ______________________________________________________________________
      Town or City _______________________________________________________________________.
      County ___________________ State  ____________________ Zip Code  _______________
   c. Unit/Aggregate Generation Asset Identification _______________________________________

   Net ratings entered in below should reflect the netting of auxiliary loads from the gross unit rating(s) that are directly related to the operation of the unit/aggregate generation.

<table>
<thead>
<tr>
<th></th>
<th>Winter (0 or higher Deg F)*</th>
<th>Winter (20 Deg F)</th>
<th>Summer (50 or higher Deg F)**</th>
<th>Summer (90 Deg F)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gross Unit Rating (MW)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Net Unit Rating (MW)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unit Rating (Leading MVAR)</td>
<td>N/A</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unit Rating (Leading MVAR)</td>
<td>N/A</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Enter all values in this column corresponding to the temperature of 0 degree F or greater at which gross facility output will be the highest. As an example, if the maximum gross facility output occurs at 12 degrees F, all values in this column shall correspond to the 12 degree F operating condition.
** Enter all values in this column corresponding to the temperature of 50 degrees F or greater at which net unit facility output will be the highest. As an example, if the maximum net facility output occurs at 67 degrees F, all values in this column shall correspond to the 67 degree F operating condition.

Application Identification No. ______________

Revision 14 – August 6, 2020 ISO-NE Public 20
d. What is the maximum net power injection at the point of interconnection? __________________________

e. Is there load reduced by operating this generation? (Check Yes or No) ☐ Yes ☐ No

If "Yes:"

By how much is the load reduced? __________________________

Where is the load located? __________________________

2. Type of Application (Check one)

☐ Construction    ☐ Capacity Change

3. Requested Commercial Operation Date __________________

4. Is the unit equipped with under-frequency protection? (Check yes or no) ☐ Yes ☐ No

If "Yes:"

a. Has the host utility reviewed the settings? ☐ Yes ☐ No

b. Will the unit be tripped for under-frequency conditions in the area above the curve in Figure 1 of Standard PRC-006-NPCC? ☐ Yes ☐ No

   i. If "Yes," has additional automatic load shedding been provided equivalent to the amount of generation to be tripped? ☐ Yes ☐ No

c. Will the unit be tripped in conjunction with dropping low voltage feeder during load shedding? ☐ Yes ☐ No

   i. If "Yes," has the host utility ensured that sufficient automatic load shedding capability will be available to system operators? ☐ Yes ☐ No

Note: A "No" response to b.i or c.i is grounds for rejection.

5. Provide the following information on fuel used by the unit.

   a. List the unit’s primary energy source code (from “Energy Sources” listed on the following page) __________________

   b. List the unit’s secondary energy source code (from “Energy Sources” listed on the following page) __________________

6. Will the unit have black start capability? (Check Yes or No) ☐ Yes ☐ No

   If "Yes," can it be operated on its own auxiliaries prior to synchronization with the system? ☐ Yes ☐ No

Application Identification No. ______________
7. Provide the following information on the interconnection point.
   a. Specify the interconnection bus name and the voltage level the unit is connected to.
      Name: __________________________ Voltage Level (kV): ________

   b. Specify the modeled PSS/E bus name and number that is electrically closest to where
      the unit is interconnected.
      Name: __________________________ Number: ________

    (Check the appropriate box and provide appropriate diagram(s))

   ☐ The unit is connected to the power system at transmission voltage (69 kV or higher). Provide an
    electrical one-line diagram showing all essential devices including GSU impedance, station arrangements,
    station service and connections to the bulk power system, including the voltage levels below 69 kV.

   ☐ The unit is connected to the distribution system. Provide one-line diagram(s) showing the unit
    connection and where the distribution network connects to the bulk power system.

8. Has an interconnection request been submitted for the new unit or change of less than 5 MW? Yes ☐ No ☐
   a. If "Yes," when was the interconnection request submitted and to whom?

        ____________________________________________

   b. If "No," when will the interconnection request be submitted and to whom?

        ____________________________________________

9. Comments:

Application Identification No. _____________
## ISO NEW ENGLAND GENERATOR NOTIFICATION FORM FOR UNITS OR CHANGES OF LESS THAN 5 MW

ISO New England Planning Procedure 5-1
Page 4 of 4

### ENERGY SOURCES

<table>
<thead>
<tr>
<th>CODE</th>
<th>TYPE (FUEL)</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB</td>
<td>Agricultural Crop Byproducts/Straw/Energy Crops</td>
</tr>
<tr>
<td>BAT</td>
<td>Battery Energy Storage</td>
</tr>
<tr>
<td>BFG</td>
<td>Blast-Furnace Gas</td>
</tr>
<tr>
<td>BIT</td>
<td>Bituminous Coal</td>
</tr>
<tr>
<td>BLQ</td>
<td>Black Liquor</td>
</tr>
<tr>
<td>DFO</td>
<td>Distillate Fuel Oil (includes all Diesel and No. 1, No. 2 and No. 4 Fuel Oils)</td>
</tr>
<tr>
<td>GEO</td>
<td>Geothermal</td>
</tr>
<tr>
<td>JF</td>
<td>Jet Fuel</td>
</tr>
<tr>
<td>KER</td>
<td>Kerosene</td>
</tr>
<tr>
<td>LIG</td>
<td>Lignite Coal</td>
</tr>
<tr>
<td>LFG</td>
<td>Landfill Gas</td>
</tr>
<tr>
<td>MSW</td>
<td>Municipal Solid Waste</td>
</tr>
<tr>
<td>NG</td>
<td>Natural Gas</td>
</tr>
<tr>
<td>NUC</td>
<td>Nuclear (Uranium, Plutonium, Thorium)</td>
</tr>
<tr>
<td>PC</td>
<td>Petroleum Coke</td>
</tr>
<tr>
<td>PG</td>
<td>Propane</td>
</tr>
<tr>
<td>OBG</td>
<td>Other Biomass Gases (Digester Gas, Methane and other biomass gases)</td>
</tr>
<tr>
<td>OBL</td>
<td>Other Biomass Liquids (Ethanol, Fish Oil, Liquid Acetonitrile Waste, Medical Waste, Tall Oil, Waste Alcohol and other biomass liquids not specified)</td>
</tr>
<tr>
<td>OBS</td>
<td>Other Biomass Solids (Animal Manure and Waste, Solid Byproducts and other solid biomass not specified)</td>
</tr>
<tr>
<td>OG</td>
<td>Other Gas (Butane, Coal Processes, Coke-Oven, Refinery and other processes)</td>
</tr>
<tr>
<td>OTH</td>
<td>Other (Batteries, Chemicals, Coke Breeze, Hydrogen, Pitch, Sulfur, Tar Coal and miscellaneous technologies)</td>
</tr>
<tr>
<td>RFO</td>
<td>Residual Fuel Oil (includes No. 5 and No. 6 Fuel Oils and Bunker C Fuel Oil)</td>
</tr>
<tr>
<td>SC</td>
<td>Coal-based Synfuel, including briquettes, pellets or extrusions, which are formed by binding materials and processes that recycle material</td>
</tr>
<tr>
<td>SLW</td>
<td>Sludge Waste</td>
</tr>
<tr>
<td>SUB</td>
<td>Sub-bituminous Coal</td>
</tr>
<tr>
<td>SUN</td>
<td>Solar (Photovoltaic, Thermal)</td>
</tr>
<tr>
<td>TDF</td>
<td>Tires</td>
</tr>
<tr>
<td>WAT</td>
<td>Water (Conventional, Pumped Storage)</td>
</tr>
<tr>
<td>WC</td>
<td>Waste/Other Coal (Anthracite Coal, Anthracite Culm, Bituminous Gob, Fine Coal, Lignite Waste, Waste Coal)</td>
</tr>
<tr>
<td>WDL</td>
<td>Wood Waste Liquids</td>
</tr>
<tr>
<td>WND</td>
<td>Wind</td>
</tr>
<tr>
<td>WO</td>
<td>Oil – Other and Waste Oil (Butane (Liquid), Crude Oil, Liquid Byproducts, Oil Waste, Propane (Liquid), Re-refined Motor Oil, Sludge Oil, Tar Oil)</td>
</tr>
</tbody>
</table>

Application Identification No. ______________

Revision 14 – August 6, 2020   ISO-NE Public  23
10.0 Attachment 4 – Proposed Plan Application Submittal Procedure

PROPOSED PLAN APPLICATION SUBMITTAL PROCEDURE

Market Participants or Transmission Owners will follow the “Proposed Plan Application Submittal Procedure” contained herein for the submittal of their proposed plans for review pursuant to Section I.3.9 of the ISO New England Inc. Transmission, Markets and Service Tariff (the “Tariff”). The intent of this procedure is to detail the information required under Planning Procedure Nos. 5-1 (PP5-1) and 5-3 (PP5-3) to assure an efficient Proposed Plan Application (PPA) review by the Reliability Committee (RC) and by the ISO. PP5-1 and PP5-3 may be found on the ISO Website at:


The most recent revision of this Attachment 5 may be found on the ISO Website at:


Notification

The Market Participant or Transmission Owner is encouraged to discuss a proposed project (or project revision) with the ISO and, as necessary, the Transmission Owner for guidance regarding the appropriate level of study required and whether a PPA or a “Generator Notification Form for Units or Changes of Less Than 5 MW” should be submitted to the ISO. PPA forms may be found on the ISO Website at:


A Market Participant or Transmission Owner wishing to discuss a proposed project with the ISO should notify the ISO via the e-mail address ProposedPlans@iso-ne.com.

Submittal of Study Results and Proposed Plan Application Materials

- Level 0 Analysis

PP5-1 Section 4 lists the types of projects that do not require a PPA submittal under this procedure. Pursuant to this procedure and procedure PP5-3, these types of project require Level 0 analysis. However, subject to the provisions of PP5-1, a “Generator Notification Form for Units or Changes of Less Than 5 MW”, should be submitted to the ISO for proposed projects which are less than 5 MWs of new or increased generation. These submittals shall be made to the ISO via the email address ProposedPlans@iso-ne.com for ISO review and for RC distribution.
• Level I Analysis

In the case of a project requiring Level I analysis, as defined in PP5-3, the PPA submittal is for information only, and the reporting of any study results is not required. The Market Participant or Transmission Owner may submit the PPA requiring Level I analysis directly to the ISO for review and distribution. ISO may confer with potentially Affected Entities to confirm that no reporting of analysis is required and that the project requires Level I analysis.

The complete PPA package for a project requiring Level I analysis shall be submitted to the ISO via e-mail to ProposedPlans@iso-ne.com and shall include:

- A cover letter that is addressed to the Chair of the Reliability Committee and requests RC review under Section I.3.9 of the Tariff. The letter must identify the project, the submitted PPA(s), the level of analysis (Level I), and additional related materials that are being submitted.
- PPA(s) completed in accordance with this PP 5-1.
- One-line diagram(s) showing the proposed modification(s).
- Additional materials related to the project, as may be requested by the ISO.
- Once the project PPA package is deemed complete, the RC Secretary shall provide the materials to the RC for their review.

• Level II or III Analysis

A project requiring Level II or III analysis requires RC and ISO review.

1) The project’s proponent must contact the ISO via e-mail at ProposedPlans@iso-ne.com to coordinate the review of the project.

2) The project proponent shall submit to the ISO, via e-mail at ProposedPlans@iso-ne.com, a draft of each PPA for the project along with the study report(s). The complete study report(s) shall include a project description of sufficient detail for review and one-line diagrams showing the elements of the project, and sufficient reporting of the analyses performed to demonstrate that the project will not have any significant adverse effects under Section I.3.9 of the Tariff. The project description must include any additional upgrades necessary to mitigate any adverse effects that may be identified during the review and any specific conditions regarding the construction sequencing of the elements within the project and with the elements of other projects that have been determined to have no adverse effects under Section I.3.9 of the Tariff.

3) The ISO review will ensure consistency of the project description with the one-line diagrams in the report. ISO Planning staff will ensure that the project report and draft PPA(s) are consistent.

4) When the ISO confirms that the study results adequately support the project, it will provide a recommendation letter to the RC indicating the project reports are complete and that the project will not have any significant adverse effects pursuant to Section
I.3.9 of the Tariff. This recommendation letter will include any opinions expressed by Affected Entities regarding significant impacts that they believe to be insufficiently addressed.

5) After it has been confirmed that the study results adequately support the project, the Market Participant or Transmission Owner may submit a letter requesting Section I.3.9 review of the project to the RC Chair. The letter must identify the project, the submitted PPA(s), the level of analysis (Level II/III), the study report(s), and additional related materials that are being submitted. The letter shall be submitted to the ISO by email to ProposedPlans@iso-ne.com.

6) ISO Planning staff will provide to the RC Secretary the PPA(s), study report(s) and any additional related materials that were identified in the letter to the RC Chair. The RC Secretary will coordinate the RC review of the project with the project proponent.

General Requirements
The ISO will send an e-mail to the plan proponent to provide:

- confirmation of receipt of the project PPA materials or any appropriate modifications to the submitted materials; and
- verification of the submittal date of the complete project PPA package appropriate for review by the RC.

The appropriate project PPA package will be forwarded to all appropriate ISO personnel, and then distributed to the RC prior to the meeting at which the project is to be considered.

The applicant should provide additional copies of project PPA materials to committee members upon request.