



2017 Reliable Public Power Provider (RP3) Application

Utility: Freeport Electric

Application Status: Determination

Application Due: 9/30/2017

Determination: Diamond

Total Points: 99.00

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Discipline: Utility Demographics

Subsection: Employee Demographics

Question 0.0.0 :

*\*This is an informational question only.*

Please fill in the number of employees **in your electric department** for each category below.

Please **attach** an organizational chart and/or other supporting documentation that clearly illustrates your electric employee breakdown. For multi-service utilities (e.g. electric, gas, water, etc), look at the help text for additional information to complete this section.

Please also **attach** a high-quality photo featuring your utility logo or your RP<sub>3</sub> team with your utility logo. This will be used during the awards ceremony at the E&O Conference should your utility achieve designation status.

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

Overall Employee Demographics (Required)	Number of Employees
Total for Entire Utility	67
Total for Electric Only	62
Total Professional/Office Employees (Ex: HR, legal, accounting, etc.)	22
Total Operational Employees (ex: lineworkers, engineers, electricians, etc.)	45

Professional/Office Employees (Optional)	Number of Employees
Management (ex: general manager, office manager)	8
Legal (ex: general counsel, attorney)	0
Accounting (ex: billing manager, cashier)	12
Administrative (ex: secretary, bookkeeper)	3
Human Resources (ex: HR manager, payroll specialist)	0
Other	4

Operational Employees (Optional)	Number of Employees
Lineworkers	14
Engineers	1
Electricians	4
Metering Employees	6

Generation Employees	6
Transmission Employees	9
Distribution Employees	
Other	

Attachments:

Attachment Title	Upload Date	Uploaded By
Utility Logo	9/28/2017 2:43:55 PM	Al Livingston
Updated Final Summary Report	10/11/2017 5:40:32 PM	Reports APPA

Final Score: 0.00 of 0.00

Discipline: Reliability

Subsection: Reliability Indices Collection

Question I.A.1 :

Does your utility monitor and track reliability data?

Yes

What method(s) does your utility use to monitor and track reliability data?

Hand calculations

(Attach Sample)

American Public Power Association's eReliability Tracker service

Alternate software program

(Attach Sample)

Other method

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

No

Final Score: 2.00 of 2.00

Question I.A.2 :

Use the table below to indicate each reliability statistic tracked by your utility and provide the most recent year's calculation (**January 1, 2016 - December 31, 2016**). Please list the preferred time period of measure for each index below. If your utility uses a different time period or method of calculating the index, explain in the area below. Refer to the Institute of Electrical and Electronics Engineers (IEEE) 1366 standard for more information on reliability statistics. Also indicate your organization's goals/targets for each tracked index.

**NOTE:** If the data is imported from the eReliability Tracker, the indices will be calculated by having an end and start date of the current date (the date in which the indices are imported) and a year prior to that date, respectively.

Index	Value of Index	Utility Goal/Target
SAIDI (Minutes/Year)	14.856	30.0
CAIDI (Minutes/Year)	44.134	60.0
ASAI (% based on year)	99.9971	99.99
MAIFI (Interruptions per year)	.0024	0.1
SAIFI (Interruptions per year)	0.337	0.1
Other		

Other: Please describe the index your utility uses.

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part I.A.2(a) - Reliability Indices Collection	9/25/2017 2:39:11 PM	AI Livingston
Attachment to Part I.A.2(b) - Reliability Indices Collection	9/25/2017 2:41:00 PM	AI Livingston

Final Score: 4.00 of 4.00

Discipline: Reliability

Subsection: Reliability Indices Use

Question I.B.1 :

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

Yes

How is your utility using service reliability indices to improve the system?

**NOTE:** Leading practice is to use at least four of the methods listed below.

Check **all** that apply.

- Worst performing circuit identification
- Vegetation management (e.g., tree trimming)
- Install covered wire
- Distribution circuit inspection program
- Convert overhead to underground
- Install lightning arresters
- Install animal/squirrel guards

- Perform thermographic circuit inspections
- Perform transformer load management
- Economic development
- Send indices to Public Utilities Commission/City Council/Governing Board
- Produce publicly available report
- Underground cable replacements/injections and testing
- Other

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

See attachments to Part 1.B.1 (a) & (b).

- No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachement to Part I.B.1(a) - Reliability Indices Use	9/25/2017 2:50:54 PM	AI Livingston
Attachment to Part I.B.1(b) - Reliability Indices Use	9/25/2017 2:52:35 PM	AI Livingston

Final Score: 4.00 of 4.00

Question I.B.2 :

Does your utility participate in a national reliability benchmarking survey or service?

- Yes

Please **identify** the type(s) of reliability survey your utility participates in by checking the relevant box(es) below.

- Our utility participates in the American Public Power Association's Distribution System Reliability & Operations Survey.
- Our utility uses the Association's eReliability Tracker benchmarking service.
- Our utility participates in some other reliability survey or service.

**Attach** documentation of the other survey or service that your utility uses.

- No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part I.B.2 - Benchmarking Survey or Service	9/25/2017 2:54:27 PM	AI Livingston

Final Score: 2.00 of 2.00

Discipline: Reliability

Subsection: Mutual Aid

Question I.C.1 :

Does your utility participate in a mutual aid program?

Yes

Check **all** that apply.

National - American Public Power Association

National - Other

Regional

State

Other

If **other**, please explain:

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part I.C.1 (a) - Mutual Aid - Assistance Protocol	9/25/2017 2:57:59 PM	AI Livingston

Final Score: 3.00 of 3.00

Discipline: Reliability

Subsection: Disaster Plan

Question I.D.1 :

Does your utility have a disaster plan, or does your city have a disaster plan which includes an electric utility specific section?

**NOTE:** Leading practice is for disaster plans to include detailed information on how utility personnel should proceed in a disaster.

**NOTE:** A utility should review or revise their disaster plan on an annual basis.

Yes

Please **attach** an executive summary, table of contents, or the completed version of your utility's disaster plan including the revision date.

Indicate below when your utility's disaster plan was last revised or reviewed.

0-1 years ago

1-3 years ago

Over 3 years ago

No, we are in the process of developing a plan.

Please **attach** an executive summary, table of contents, or the completed portions of the draft from your utility's disaster plan including a draft date.

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part I.D.1 - Disaster Plan	9/25/2017 2:59:37 PM	Al Livingston
Attachment to Part I.D.1(a) - Reliability - Disaster Plan	9/27/2017 6:37:49 PM	Al Livingston

Final Score: 4.00 of 4.00

Discipline: Reliability

Subsection: Physical Security

Question I.E.1 :

Has your city/utility addressed its physical security needs?

Yes

Please use the boxes below to indicate what protective measures your utility has taken in the area of physical security.

Check **all** that apply:

- Security policy and plan awareness training for all employees
- Continuous barrier (fence or wall) around sensitive utility infrastructure
- Alarms and surveillance systems where needed
- Lighting around sensitive utility infrastructure
- Procedures for managing access control, such as recovering all keys and access cards from terminated utility employees or replacing locks on perimeter doors and gates as needed
- Required identification for all visitors entering utility's facilities and access cards for employees
- Background investigation concurrent with employment offer for all employees and special additional screening for fiduciary positions
- Other

If **other**, please describe the measures your utility uses:

Annual mandatory training for all employees on "Violence in the Workplace" and "Active Shooter" video presentation.

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part I.E.1 - Physical Security	9/28/2017 3:28:59 PM	Al Livingston

Final Score: 3.00 of 3.00

Discipline: Reliability

Subsection: Cyber Security

Question I.F.1 :

Does your utility have a policy or procedure in place that covers both cyber event prevention and cyber response in the event of a cyber security incident?

Yes

Please use the boxes below to indicate the items addressed by your utility.

Check **all** that apply:

- Maintain an inventory of critical cyber or information technology assets
- Monitor networks and assets for suspicious activities
- Plan for relocation of information systems
- Plan for the recovery of information and system performance
- Ensure relevant employees are trained to respond to incidents
- Establish emergency contact information for cyber specific incidents
- Plan to identify new preventative measures
- Plan for conducting a business impact analysis
- Other

If **other**, please explain:

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part I.F.1(a) - Cyber Security	9/25/2017 3:25:11 PM	Al Livingston
Attachment to Part I.F.1(b) - Cyber Security	9/25/2017 3:27:01 PM	Al Livingston
Attachment to Part I.F.1(c) - Cyber Security - Acceptable Usage Policy	9/25/2017 3:28:27 PM	Al Livingston

Final Score: 1.00 of 1.00

Question I.F.2 :

Has your utility trained all relevant employees in cyber security awareness?

Yes

Please use the boxes below to indicate the topics addressed in the training.

Check **all** that apply:

- Utility cyber security event policy and risk mitigation plan
- Understanding of sensitive information
- Use of security protections such as firewalls, data encryption, and password strength
- Additional training for employees with access to critical assets
- Assigning cyber security responsibilities to appropriate personnel
- Detecting and avoiding phishing or spam email
- Using secure communication networks
- Procedures for incident response
- Other

If **other**, please explain:

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part I.F.2 - Cyber Security Awareness	9/25/2017 3:30:16 PM	AI Livingston

Final Score: 1.00 of 1.00

Question I.F.3 :

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

**NOTE:** This assessment would involve looking at all cyber security aspects including security gaps in network-connected devices.

Yes

What is the schedule for assessments of your system?

**NOTE:** Leading practice is for a utility to conduct these assessments annually **and** when new systems are implemented.

Check **all** that apply:

- Every year (annually)
- Every 1-3 years.
- When new systems are implemented
- Other

If **other**, please explain:

No

Final Score: 1.00 of 1.00

Discipline: Safety

Subsection: Safety Manual

Question II.A.1 :

Does your utility use a safety manual?

 Yes

Please choose below:

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

Which edition of the Association's Safety Manual is you utility currently using?

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

15th Edition

 Our utility uses a safety manual developed in-house.

When was your utility's safety manual last revised or reviewed?

**NOTE:** Leading practice is to revise or review your safety manual at least every five years.**NOTE:** The date of last revision or review must be clearly shown on any documentation you provide.**Please attach a copy** of your utility's safety manual. Our utility uses another safety manual or innovative approach.Please **attach** documentation of your utility's innovative approach. Date of any updates/reviews should be clear. No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.A.1(a) - Safety Manual	9/25/2017 3:46:40 PM	Al Livingston
Attachment to Part II.A.1(b) - Safety Manual	9/25/2017 3:50:29 PM	Al Livingston

Final Score: 2.00 of 2.00

Question II.A.2 :

Are all utility employees directed by utility management to use, read, and understand the designated safety manual?

 YesPlease **provide documentation** of directive.

**NOTE:** Examples of a directive include minutes from a city/utility board meeting, a copy of a formal memo issued to all employees, a copy of an e-mail sent to all employees from utility management (such as General Manager), etc.

**NOTE:** A signed front page of a safety manual **does not constitute a formal directive** to all employees to use the safety manual, and will not be considered as documentation of a directive.

Does your utility formally review the manual with employees on an annual (or more frequent) basis and when a new revision is published?

**NOTE:** This review can be a special meeting, or part of a regular safety meeting.

Yes

No

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.A.2(a) - Safety Manual	9/25/2017 4:14:15 PM	Al Livingston
Attachment to Part II.A.2(b) - Safety Manual - Receipt	9/25/2017 4:16:02 PM	Al Livingston

Final Score: 2.00 of 2.00

Discipline: Safety

Subsection: Safe Work Practices

Question II.B.1 :

Does your utility conduct regular safety meetings for electric employees?

Yes

How often are the meetings held? Please **indicate the frequency and duration** (minutes/hours) of meetings for operations/field and management/administrative employees.

For both employee groups, **please attach a sample** attendee list from a safety meeting along with an agenda or outline and any handouts or materials for that meeting.

**NOTE:** Leading practice for meeting frequency and duration has been established as at least one hour per month for operations/field employees, and one hour per quarter for management/administrative/other employees. **Job briefings, such as tailboard discussions, are not considered safety meetings for the purpose of this question.**

**Operations/Field Employees**

Daily

Duration

Monthly

Duration

Quarterly

Duration

Semi-Annually

Duration

Other

Please explain:

**Management/Administrative/Other Employees**

Daily

Duration

Monthly

Duration

Quarterly

Duration

Semi-Annually

Duration

Other

Please explain

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.B.1 - Safety Work Practices	9/25/2017 5:46:16 PM	AI Livingston

Final Score: 3.00 of 3.00

Does your utility have a written policy or practice to enforce its safety rules, including conducting monthly (or more often) job site inspections?

Yes

Please **attach a copy** of your utility's policy/ practice **and** job site inspection form.

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.B.2(a) - Safe Work Practices	9/25/2017 5:51:06 PM	Al Livingston
Attachment to Part II.B.2(b) - Safe Work Practices	9/25/2017 5:52:28 PM	Al Livingston

Final Score: 2.00 of 2.00

Question II.B.3 :

Does your utility require job briefings to be held for electric employees?

Yes

Does your utility require the briefings to be documented?

Yes

Please **attach a sample** job briefing template.

No

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.B.3(a) - Safe Work Practices	9/25/2017 6:01:07 PM	Al Livingston
Attachment to Part II.B.3(b) - Safe Work Practices	9/25/2017 6:05:30 PM	Al Livingston
Attachment to Part II.B.3(c) - Safe Work Practices	9/25/2017 6:23:20 PM	Al Livingston

Final Score: 2.00 of 2.00

Question II.B.4 :

Does your utility have a practice or procedure to conduct a safety orientation with all non-utility employees (e.g. contractors, mutual aid situations) working on your system to ensure compliance with your utility's safety standards?

Yes

Please **attach an example**.

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.B.4 - Safe Work Practices - Non Utility Employees	9/25/2017 6:35:46 PM	Al Livingston

Final Score: 1.00 of 1.00

Question II.B.5 :

Does your utility change its safety practices/rules or takes action to promote safety based on findings from accident investigations or near-miss reports when appropriate? (i.e. email to all staff to promote caution from a previous accident, changing a policy to reflect the accident, etc.)

**NOTE:** If no accidents or near-misses have occurred during the review period, the utility will receive full points if they provide a standard report form for near-misses and accidents.

Yes

Please **provide examples** of the changes made based on investigation if an accident or near-miss has occurred.

See Attachments to Part II.B.5 (a), (b), (c), & (d).

Please **attach a sample** copy of a report form.

No (either our utility does not change its safety practices/rules based on the findings **OR** our utility does not conduct accident investigations or near miss reports).

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.B.5(a) - Safe Work Practices	9/25/2017 6:43:08 PM	Al Livingston
Attachment to Part II.B.5(b) - Safe Work Practices	9/25/2017 7:24:05 PM	Al Livingston
Attachment to Part II.B.5(c) - Safe Work Practices	9/25/2017 7:24:48 PM	Al Livingston
Attachment to Part II.B.5(d) - Safe Work Practices	9/28/2017 2:57:17 PM	Al Livingston

Final Score: 2.00 of 2.00

Question II.B.6 :

Does senior management actively participate in the utility's safety training initiatives for all employees at least once per year?

Yes

Please **specify all levels** of involvement by checking the relevant box(es) below:

Electric superintendent/general manager

Management or department head

Human resources

Operations & maintenance

Other

If **other**, please list:

Line Crew and Meter Department

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.B.6(a) - Safe Work Practices	9/25/2017 6:58:50 PM	Al Livingston
Attachment to Part II.B.6(b) - Safe Work Practices	9/25/2017 7:05:29 PM	Al Livingston

Final Score: 2.00 of 2.00

Question II.B.7 :

Does your utility provide annual refresher training for OSHA-type issues?

**Note:** Leading practice is for a utility to provide at least four types of safety training each year.

Yes

Please **specify all types** of training by checking the relevant box(es) below:

Bucket-truck rescue

Confined space rescue/permit required confined spaces

CPR/AED

Cranes/derricks

Hazardous energy control

HazMat

Job briefing

Ladder safety

Lockout/tagout

Pole-top rescue

Enclosed spaces and working underground

Underground electric transmission and distribution work

Hazard recognition in trenching and shoring

Other

Please list:

First Aid, Fire and Line safety, Asbestos equipment, Lift truck safety, spill response, personal protection equipment, Fork Lift safety operation.

No

Attachments:

Attachment Title	Upload Date	Uploaded By
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Attachment Title	Upload Date	Uploaded By
Attachment to Part II.B.7 - Safe Work Practices	9/27/2017 3:11:45 PM	AI Livingston
Attachment to Part II.B.7(a) - Safe Work Practices	9/28/2017 3:55:24 PM	AI Livingston

Final Score: 2.00 of 2.00

Question II.B.8 :

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

**NOTE:** "At all work site locations" means immediately available in any work site environment, from an office setting to a field job site. If employees are working at a site in the field, there must be an AED present.

Yes

Please **describe** how the utility ensures that AEDs are available when needed.

See attachment

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.B.8 - Safe Work Practices	9/25/2017 7:28:01 PM	AI Livingston

Final Score: 1.00 of 1.00

Question II.B.9 :

Has your utility performed an arc hazard assessment for all areas where your personnel are exposed to electric hazard?

Yes

Has your utility notified and trained all affected employees regarding the arc hazard requirements for each type of job?

Yes

No

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.B.9 - Safe Work Practices	9/27/2017 3:08:40 PM	AI Livingston

Final Score: 2.00 of 2.00

Question II.B.10 :

Does your utility conduct disaster drills that are electricity-utility specific?

Yes

Please **indicate which drill(s) were conducted** and **when the drill(s) were conducted** in 2015, 2016, and 2017 (actual or planned drills), where applicable.

Attach a description of the procedures for each drill. Drills planned for the latter half of 2017 can also be included.

**NOTE:** An actual event can qualify as a "drill" **only if** the utility determined lessons learned from the event. Please provide documentation of lessons learned, if applicable.

**NOTE:** Leading practice is to conduct a minimum of one disaster drill each calendar year.

Drill Type	Drill Type Table Top(T), Field (F), or Both (B)	Dates of 2015 Drills Performed	Dates of 2016 Drills Performed	Dates of 2017 Drills Performed (Actual or Planned)
Earthquake				
Fire	F	Sept. 11	Sept. 13	Sept. 14
Flood	B	July 17	July 19	July 20
Hurricane	B	June 19	June 21	June 22
Snow/Ice Storm				
Terrorist Attack				
Tornado				
Other	B	April 23	April 25	April 26

Other: Please list other drill types and any additional information below:

Emergency Restoration Drill - Severe Weather Electric System Restoration - See attachment to Part II. B.10

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.B.10 - Safe Work Practices	9/26/2017 2:24:35 PM	AI Livingston

Final Score: 2.00 of 2.00

Discipline: Safety

Subsection: Benchmarking

Question II.C.1 :

Does your utility participate in safety index benchmarking?

Yes

Please **provide** your utility's incidence rate:

12.43

Please **indicate** the ways in which your utility benchmarks/participates.

- The American Public Power Association's Safety Awards of Excellence
- OSHA 300 form

Please **attach** form.

Other

If **other**, please explain:

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part II.C.1(a) - Benchmarking	9/26/2017 2:29:09 PM	Al Livingston
Attachment to Part II.C.1(b) - Benchmarking	9/26/2017 2:30:16 PM	Al Livingston

Final Score: 2.00 of 2.00

Discipline: Workforce Development

Subsection: Succession Planning and Recruitment

Question III.A.1 :

Has your utility identified the demographics of its employees to prepare for succession planning?

Yes

What items does your utility identify for each employee?

- Age
- Eligibility for retirement

If your utility tracks this, what percent of employees are eligible for retirement within the next 5 years?

12.5%

- Position
- Other

If **other**, please explain:

No

Attachments:

Attachment Title	Upload Date	Uploaded By
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<b>Attachment Title</b>	<b>Upload Date</b>	<b>Uploaded By</b>
Attachment to Part III.A.1(a) - Succession Planning and Recruitment	9/26/2017 3:42:47 PM	Al Livingston
Attachment to Part II.A.1(b) - Succession Planning and Recruitment	9/26/2017 3:45:35 PM	Al Livingston

Final Score: 3.00 of 3.00

Question III.A.2 :

Has your utility addressed knowledge management relative to the changing workforce?

Yes

Please check **all** that apply, and please attach supporting documentation or describe how you utilize these tools:

- Developed a succession plan
- Cross training
- Shadowing
- Leadership programs
- Procedure manuals/desk reference materials/task manuals for key positions
- Hiring replacements for critical positions prior to departure
- Establishing relationships with universities and trade or technical schools
- Other

If **other**, please explain:

No

Attachments:

<b>Attachment Title</b>	<b>Upload Date</b>	<b>Uploaded By</b>
Attachment to Part III.A..2(a) - Succession Planning and Recruitment	9/26/2017 3:47:55 PM	Al Livingston

Final Score: 5.00 of 5.00

Question III.A.3 :

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

Yes

Please check **all** that apply:

- Established recruitment procedure and/or policy

- Maintain competitive total compensation packages
- Employee recognition
- Flexible hours
- Option to work from home
- Other

If **other**, please explain:

- No

Attachments:

<b>Attachment Title</b>	<b>Upload Date</b>	<b>Uploaded By</b>
Attachment to Part III.A..3(a) - Succession Planning and Recruitment	9/26/2017 4:01:33 PM	Al Livingston
Attachment to Part III.A..3(b) - Succession Planning and Recruitment	9/26/2017 4:06:46 PM	Al Livingston

Final Score: 3.00 of 3.00

Discipline: Workforce Development

Subsection: Employee Development and Recognition

Question III.B.1 Panel recommends for best practices and to receive the maximum score, evaluations and goal setting be established for all levels of employees which would include management.:

At the time of annual review, or other time of the year, does your utility set personal and/or professional goals for every employee?

**NOTE:** For purposes of this application a generic apprentice program is not considered part of a training program. To be considered for the RP<sub>3</sub> application, specific personal and/or professional goals must be set for each individual.

- Yes

Please **provide a description** via an attachment of an example of development plan(s) **for each employee category** identified.

Please **indicate** which category/categories of employees your utility prepares development plans for, and **attach a sample** development plan and/or goal for each category (you may black out the employee names for privacy if desired).

**NOTE:** A utility should have development plans for all employee categories. Annual reviews can fulfill this requirement, as long as the review incorporates defined development plans for employees.

**NOTE:** An individual development plan does not need to be an outline for employee promotion within the utility;

rather, it should be designed to offer steps for employees to better themselves as individuals and employees.

- Operations/field employees (including lineworkers, meter readers, etc.)
- Management level employees
- Office personnel (including engineers, administrative, etc.)
- Other

If **other**, please identify:

Including engineers, administrative personnel, etc.

- No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part III.B..1(a) - Workforce Development - Employee Development	9/26/2017 4:12:55 PM	Al Livingston
Attachment to Part III.B..1(b) - Workforce Development - Employee Development	9/26/2017 4:16:26 PM	Al Livingston
Attachment to Part III.B..1(c) - Workforce Development - Employee Development	9/26/2017 4:19:04 PM	Al Livingston

Final Score: 2.00 of 3.00

Panel recommends for best practices and to receive the maximum score, evaluations and goal setting be established for all levels of employees which would include management.

Discipline: Workforce Development  
 Subsection: Education, Participation and Service  
 Question III.C.1 :

Does your utility have a written education policy, procedure, or program for professional development?

- Yes

Please **attach a copy** of your utility's written education policy/procedure/program.

Please **indicate** which area(s) your utility's policy, procedure or program covers using the relevant boxes below.

- Tuition/reimbursement for courses, workshops, certificates, and credentials
- Internal university/school
- Alliance or agreement with an external university/school
- Other

If **other**, please describe:

See Attachment

Please **indicate** how your utility communicates its policy/procedure/program using the relevant boxes below:

- E-mail  
 Internal newsletter  
 Office posting (e.g., to bulletin boards in lunchroom)  
 Other

If **other**, please explain:

See Attachment

Please **specify** how frequently the policy/procedure/program is communicated to employees using the relevant boxes below.

**NOTE:** Leading practice is to communicate the policy/procedure/program upon hire **and** regularly throughout the year **as well as** when changes are made. This can happen at the time of annual performance evaluations.

- Upon hire  
 Monthly  
 Quarterly  
 Annually  
 When policy/procedure/program changes  
 Other

If **other**, please explain:

FE communicates it's policy/procedure/program throughout the year, pre and post any emergency situation due to the weather, outages, as well as scheduled drills.

No

Attachments:

Attachment Title	Upload Date	Uploaded
		By
Attachment to Part III.C..1(a) - Workforce Development - Education, Participation and Service	9/26/2017 4:32:02 PM	AI Livingston
Attachment to Part III.C..1(b) - Workforce Development - Education, Participation and Service	9/26/2017 4:34:06 PM	AI Livingston
Attachment to Part III.C.1(c) - Workforce Development	9/27/2017 3:05:29 PM	AI Livingston

Final Score: 4.00 of 4.00

Question III.C.3 :

Does your utility encourage and support active membership in professional and community organizations and service on committees and boards that benefit the utility?

- Yes

**Active** membership in professional and community organizations:

- Yes

Please **attach** a representative listing of memberships your utility employees participated in during the last three years (October 1, 2014-September 30, 2017). Please include name of the employee, name of the organization, and dates served.

**NOTE:** Include only electric employees and members of your utility's governing board.

- No

**Active** service on committees and/or boards:

- Yes

**Attach** a representative list of committees and/or boards your utility employees participated in during the last three years (October 1, 2014-September 30, 2017).

**NOTE:** Include only electric employees and members of your utility's governing board.

- No

- No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part III.C..3 - Workforce Development - Education, Participation and Service	9/26/2017 5:06:17 PM	Al Livingston

Final Score: 3.00 of 3.00

Question III.C.2 :

Does your utility support networking and personal/professional development by encouraging attendance across all employee groups at a wide variety of continuing education classes, workshops, local/state/national conferences, and attendance/participation in user/interest group meetings?

- Yes

Please **provide a list** with a representative sample of specific networking, development, and training opportunities attended by employees in different departments within the electric utility. **Be sure to include name of the event, type of the event (local, regional, national), employee group, and date of event.**

**Indicate** which types of networking and personal/professional development activities utility employees were involved in during the RP<sub>3</sub> application period (October 1, 2014 - September 30, 2017) by marking the

appropriate boxes in the table below:

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

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part III.C..2 - Workforce Development - Education, Participation and Service	9/26/2017 4:46:36 PM	Al Livingston

Final Score: 4.00 of 4.00

Discipline: System Improvement

Subsection: Research and Development

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Question IV.A.1 :

Is your utility a member of a research and development program?

Yes

Please **indicate** the specific type of program that your utility participates in using the boxes below:

- Our utility is a member of the American Public Power Association's R&D program, DEED
- Our utility is a member of EPRI's R&D program
- Our utility is a member of our state or regional R&D program

Please provide program name:

Other

If **other**, describe in detail the research and development program your utility participates in, and attach separate sheet(s) if needed:

Please **indicate** your utility's participation in the research and development program(s) that it is involved in by checking the relevant boxes below:

Currently involved in grants/scholarships

GOSR-NY for MicroGrid Project

Applied for grants/scholarships in past 3 years

Review of relevant research projects conducted by other utilities, and application to projects your utility is conducting (for example, DEED Project Database, DEED-published documents, or EPRI research papers)

See Attachment

Use of software or technology developed by a utility research group (for example, GridLAB-D)

Other

If **other**, please list:

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part IV.A..1 - System Improvement	9/26/2017 7:01:02 PM	Al Livingston

Final Score: 3.00 of 3.00

Discipline: System Improvement

Subsection: System Maintenance and Betterment

Question IV.B.1 :

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

Yes

Please **attach** a representative sample of maintenance or inspection records for assets identified below. In the chart below, please provide the schedule for maintenance/inspection for all plant assets requiring maintenance on your system.

**NOTE:** Inspections are not limited to the list of examples provided in the chart below.

Asset Requiring Maintenance	Schedule for Maintenance/Inspection (e.g., yearly, every 10 years, daily, N/A)
Cable testing	Inspection every five years (no testing)
Capacitor switch testing	Inspection every five years (maintain every 10 years)
Control house	Inspection/Maintenance every week
Crossarm/Insulator testing/inspections	Inspection every five years

Cut-out testing/inspections	Inspection every five years
Instrument transformer verification	Inspection every five years
Meter testing	
Pedestal inspections (single phase)	Inspection every five years
Pole testing	Inspection every five years
Relay testing	Inspection every three years
Substation battery testing/inspection	Inspection weekly/Testing every year
Substation switch testing	Inspection/Maintenance every year
Substation transformer testing/inspections	Inspection/Maintenance every year
Transformer inspections (3-phase)	Inspection every five years
Tree trimming	Trim every year
Other	GODS-Inspection/Maintenance every five years

Other: Please list or include attachment.

No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part IV.B.1 - System Improvement	9/26/2017 7:07:29 PM	AI Livingston

Final Score: 4.00 of 4.00

Question IV.B.2 :

Does your utility have any processes/programs in place that address overall system loss?

Yes

What are your utility's current system losses? (Percentage)

**NOTE:** Typical range is between 3-8%

5.1%

Please **attach** documentation showing how your system loss was calculated.

Please **indicate** the applicable method(s) used to lower system losses by checking the relevant box(es) below:

- Operation improvement (balancing loads and phases)
- Adding parallel feeders to reduce loading

- Volt/VAR management (capacitors, equipment upgrades, controllable loads, etc.)
- Distribution transformer management (e.g., analysis/upgrade, transformer load management to reduce losses, multiple transformers versus single transformer based on system analysis, voltage management, etc.)
- Theft prevention
- Calculate and consider losses in improvement decisions
- Voltage upgrade
- Conductor upgrade
- Other

If **other**, please describe in detail, and attach separate sheet(s) if needed:

Meter testing to detect slow or worn meters.

- No

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part IV.B..2 - System Improvement	9/26/2017 7:10:34 PM	AI Livingston

Final Score: 3.00 of 3.00

Question IV.B.3 :

Has your utility performed an internal or external analysis or planning study to help evaluate the long-term needs of your utility's system infrastructure?

- Yes

Please **attach** the current executive summary or table of contents of your utility's analysis or planning study.

Check **all** items below that are addressed in the analysis or planning study:

- Load forecast
- Contingency analysis (e.g., alternate feed)
- Fuse coordination/fault analysis
- Project identification
- Equipment age analysis
- Land and environmental analysis (e.g., SPCC, ROW)
- Capacity studies
- Load control (demand response)
- Other

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

Please **indicate** the time frame for your utility's analysis or planning study:

- Conducted Annually/Ongoing Process
- Three Year System Plan

Five Year System Plan

Ten Year System Plan

Other

If **other**, identify the year of your system plan (e.g., \_\_\_ Year System Plan):

See Attachments

No

Please provide an explanation as to why your utility does not conduct a load forecast.

Attachments:

Attachment Title	Upload Date	Uploaded By
Attachment to Part IV.B..3(a) - System Improvement	9/26/2017 7:13:42 PM	AI Livingston
Attachment to Part IV.B..3(b) - System Improvement	9/26/2017 7:22:34 PM	AI Livingston
Attachment to Part IV.B..3(c) - System Improvement	9/26/2017 7:23:51 PM	AI Livingston
Attachment to Part IV.B..3(d) - System Improvement	9/26/2017 7:26:11 PM	AI Livingston
Attachment to Part IV.B..3(e) - System Improvement	9/26/2017 7:29:52 PM	AI Livingston
Attachment to Part IV.B..3(f) - System Improvement	9/26/2017 7:53:36 PM	AI Livingston
Attachment to Part IV.B..3(g) - System Improvement	9/26/2017 7:55:31 PM	AI Livingston

Final Score: 4.00 of 4.00

Discipline: System Improvement

Subsection: Financial Health

Question IV.C.1 :

Please provide a detailed description of projects that your utility has recently completed or will be working on in the near term (with a focus on the **past two years** and the **next two years**) as a way to continually improve its system.

**Please attach a copy of your capital and O&M budget, along with detailed descriptions and a funding breakdown of those projects.**

Submission of your utility's capital improvement plan will suffice for this question, as long as it includes detailed descriptions of projects with a funding breakdown and any other information that will provide a clear picture of your utility's near-term capital and O&M projects. To sustain system excellence, a utility should regularly reinvest in maintaining and improving its system.

If your utility does not have a formal capital improvement plan, your write-up should be similar to what would be submitted to your utility and/or city board or council for approval and to inform them of projects to be completed in the current budget year. The write-up should include associated costs and projected budgets for all projects conducted in the past two years and planned for the next two years.

A document with project lists and estimated costs should be accompanied by detailed project descriptions. Suggested items that may be addressed in this section include:

- Distribution line extensions, replacements, or upgrades
- Substation projects (new installation or upgrades)
- Transmission replacements or extensions
- Upgrades to utility software/hardware
- Equipment upgrades (trucks/buildings/etc.)
- Reconductoring projects
- General maintenance

You may use the area below to provide a list with descriptions and supporting information. **Separate attachments for each item are highly encouraged.**

See attachments.

Attachments:

<b>Attachment Title</b>	<b>Upload Date</b>	<b>Uploaded By</b>
Attachment to Part IV.C.1(a) - System Improvement - Capital and O&M Projects - Planning	9/27/2017 5:59:28 PM	Al Livingston
Attachment to Part IV.C.1(b) - System Improvement - Financial Health	9/27/2017 6:09:45 PM	Al Livingston
Attachment to Part IV.C.1(c) - System Improvement - Financial Health	9/27/2017 6:21:46 PM	Al Livingston

Final Score: 5.00 of 5.00

Question IV.C.2 :

Does your utility have a policy or procedure to address the impact of customer-owned distributed energy resources (DER) on your utility's distribution system?

Yes

Please select the areas that your utility has addressed.

Check **all** that apply:

Safety

Power quality

- System optimization/DER circuit hosting capacity
- Interconnect agreement
- Other

If **other**, please explain:

See Attachments IV.C.2(a) & (b)

- No

Attachments:

<b>Attachment Title</b>	<b>Upload Date</b>	<b>Uploaded By</b>
Attachment to Part IV.C..2(a) - System Improvement - Financial Health	9/26/2017 8:08:40 PM	Al Livingston
Attachment to Part IV.C..2(b) - System Improvement	9/26/2017 8:30:46 PM	Al Livingston

Final Score: 3.00 of 3.00

Question IV.C.3 :

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

- Yes

What method(s) does your utility use to ensure financial health and stability?

Check **all** that apply.

- Has a cash reserve policy in place
- Financial ratio management
- Routinely conducts a cost of service study

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

- Other

If **other**, please explain:

Risk Management Policy, TCC & Rate Case. Please see attachments.

- No

Attachments:

<b>Attachment Title</b>	<b>Upload Date</b>	<b>Uploaded By</b>
Attachment to Part IV.C.3(a) - System Improvement	9/26/2017 8:33:38 PM	Al Livingston
Attachment to Part IV.C.3(b) - System Improvement - Financial Health	9/26/2017 8:37:43 PM	Al Livingston

Final Score: 3.00 of 3.00