

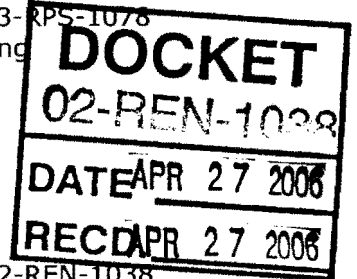
**Before the Energy Resources Conservation and Development Commission
of the State of California**

Implementation of Renewables
Portfolio Standard Legislation
(Public Utilities Code Sections 381,
383.5, 399.11 through 399.15, and 445;
[SB 1038], [SB 1078])

and

Implementation of Renewables
Investment Plan Legislation
(Public Utilities Code Sections 381,
383.5, and 445; [SB 1038])

) Docket No. 03-RPS-1078
) RPS Proceeding



) Docket No. 02-REN-1038
) Renewable Energy Program

ERRATA TO THE *RENEWABLES PORTFOLIO STANDARD ELIGIBILITY GUIDEBOOK* and *NEW RENEWABLE FACILITIES PROGRAM GUIDEBOOK*

The following list of Errata shall be incorporated by reference into the *Renewables Portfolio Standard Eligibility Guidebook* and *New Renewable Facilities Program Guidebook* which are scheduled for hearing by the full Commission at its April 26, 2006, Business Meeting. The Errata provide staff clarifications to the *Guidebooks'* texts in addition to responding to comments filed by parties during the comment period.

RENEWABLES PORTFOLIO STANDARD ELIGIBILITY GUIDEBOOK

TABLE OF CONTENTS

Replace Table of Contents with revised Table of Contents incorporating new page numbers.

**ELIGIBILITY REQUIREMENTS
RPS Targets**

Page 5, paragraph 1, revise 3rd sentence as follows:

The CPUC sets an "incremental procurement target" (IPT) for this 1 percent or greater annual increase and sets the APT for total annual RPS-eligible procurement needed to meet the 20 percent goal.

Page 5, paragraph 3, revise as follows:

In accounting for RPS-eligible procurement, it is necessary to categorize specific purchases as incremental procurement or baseline procurement as discussed in the section on *Generation Tracking System*. Applying CPUC rules, this accounting depends on both static and dynamic information. To determine if procurement is baseline or may qualify towards the IPT depends on statutory restrictions and implementation of CPUC compliance rules.

Page 5, footnote 2, revise as follows:

²The CPUC is refining its definitions and compliance rules through Rulemaking 06-02-012 and 04-06-026 and its successor.

Page 6, numeral 2, revise as follows:

2. Dynamic information: The amount of time the retail seller has been procuring energy from the RPS-eligible facility ~~is dynamic and can~~ may be the determining factor in accounting for procurement as baseline or incremental, as defined by CPUC compliance rules.

Page 6, paragraph after numeral 2, delete sentence 3:

The Energy Commission's RPS certification identifies if a facility is RPS-eligible, or RPS and SEP-eligible. In the event that the generation from a facility is statutorily restricted to baseline, the Energy Commission will note this on the facility's RPS-certification notice. ~~The "vintage" of the RPS procurement is dynamic and therefore outside the scope of the Energy Commission's RPS certification process.~~

Eligibility of Out-of-State Facilities

Page 18, item 1.c), revise as follows:

- c) Demonstrates delivery of its generation to an in-state market hub or in-state substation located within the CA ISO control area of the WECC transmission system (or located anywhere in California if applicable CPUC rules allow delivery outside CA ISO).

Page 19, item 2.c), revise as follows:

- c) Demonstrates delivery of its generation to an in-state market hub or in-state substation located within the CA ISO control area of the WECC transmission system (or located anywhere in California if applicable CPUC rules allow delivery outside CA ISO).

Page 19, paragraph after 2.g), revise as follows:

For retail sellers that serve end-use customers outside California and have 60,000 or fewer customer accounts in California pursuant to PUC Section 399.17, such as PacifiCorp and Sierra Pacific Power, electricity procured from a facility located out-of-state must meet the following criteria to be eligible for the RPS.

Page 19, paragraph after b), revise as follows:

Generation procured by ~~PacifiCorp or Sierra Pacific Power~~ retail sellers pursuant to PUC Section 399.17 is not eligible for SEPs.

Pages 19 and 20, paragraph 1, revise as follows:

To count generation from out-of-state facilities for purposes of RPS compliance, it must be delivered to an in-state market hub (also referred to as “zone”) or in-state substation (also referred to as “node”) located within the CA ISO control area of the WECC transmission system (or located anywhere in California if applicable CPUC rules allow delivery outside CA ISO). The retail seller and Seller may negotiate ~~a delivery location that is located out-of-state which party is responsible for securing transmission at any point along the delivery path~~ as long as the energy is ultimately delivered into the CA ISO or a delivery location that otherwise satisfies applicable CPUC rules on delivery location (or delivered into California if applicable CPUC rules allow delivery outside CA ISO). The delivery must be made consistent with North American Electricity Reliability Council (NERC) rules and documented with a NERC tag as described below.

Page 20, paragraph 2, sentence 2, revise as follows:

These requirements must be satisfied for an out-of-state facility to qualify for the RPS or SEPs (with the exception noted above for ~~Sierra Pacific Power and PacifiCorp~~ retail sellers pursuant to PUC Section 399.17).

Page 20, numeral 1, revise as follows:

1. The facility must either (a) engage in an interchange transaction with the CA ISO to deliver the facility’s generation to the market hub or substation in the CA ISO control area or (b) engage in an interchange transaction with another control area operator to deliver the facility’s generation to an in-state location that satisfies applicable CPUC rules for delivery location. In accordance with the policies of the NERC, the interchange transaction must be tagged as what is commonly referred to as a “NERC tag,” which requires, among other things, that information be provided identifying the Generation Providing Entity, the “Source” “source” or the “Point of Injection Receipt”, the physical transmission path for delivery showing intermediary “Points of Delivery”, the contract or market path, the ~~location to which the electricity will be delivered to~~ (final Point of Delivery or load center, known as the “sink” or

~~“Point of Withdrawal”~~), and the Load Serving Entity responsible for the consumption of electricity delivered.

Page 20, numeral 2, revise as follows:

2. The owner of the eligible facility shall register the facility as a unique ~~source~~Source with NERC. This ~~source~~Source shall be used on NERC transaction tags for all eligible energy deliveries.

Page 20, numeral 3, revise as follows:

3. The facility must provide the Energy Commission with its NERC identification ~~number~~ (Source point name)⁴ when it applies for RPS certification.

Page 20, add footnote 4:

⁴The NERC identification is the Source point name, an alpha-numeric code the generator uses to identify itself when it registers with the Transmission Services Information Network (TSIN). Registration with TSIN is mandatory for participation in the NERC tagging system.

CERTIFICATION PROCESS

Applying for Certification and Pre-Certification

Page 21, paragraph 1, sentence 2, add the following:

An application may be submitted for a facility by the facility operator (CEC-RPS-1A) or by the procuring retail seller on the operator’s behalf (CEC-RPS-2) for facilities under contract with the retail seller prior to April 21, 2004, the initial adoption date of this *Guidebook*.

Page 22, paragraph 3, revise as follows:

Provisional or “pre” certification as an eligible renewable resource is available for applicants whose facilities are not yet online or do not have a contract in place to sell their generation to a retail seller at the time of application. Applicants seeking pre-certification must complete CEC-RPS-1B. The information submitted by these applicants will be subject to further verification once the pre-certified facility comes online or secures a contract with a retail seller. Applicants must indicate their desire to be pre-certified on their completed CEC-RPS-1B form and must submit all required supplemental information, as described below, to the extent available. If the required supplemental information is not available at the time of pre-certification application because of the facility’s stage of development or contract negotiations, the applicant must explain this in its application and identify the missing information and the dates when this information is expected to be available. Facilities that are pre-certified must

submit a complete and updated certification application (CEC-RPS-1A) with all required supplemental information and be certified as RPS or RPS and SEP eligible before any of its generation may be counted toward satisfying a retail seller's RPS procurement requirements.

Page 22, paragraph 5, sentence 3, revise as follows:

The certificate will list the Energy Commission-issued certification number for the facility as well as the size, fuel type and percentage of annual fossil fuel usage (if any), name, location, and owner/operator of the facility.

Amending Certification and Pre-Certification

Page 24, paragraph 5, revise as follows:

Representatives of certified and pre-certified facilities must notify the Energy Commission promptly of any changes in information previously submitted in an application for certification or pre-certification. A facility failing to do so risks losing its certification status. Any changes to a certification or pre-certification application should be reported on an amended CEC-RPS-1 form (CEC-RPS-1A to amend certification and CEC-RPS-1B to amend pre-certification). For example, if a facility's annual fossil fuel use changes from the percentage identified in its previous application for certification, the facility must submit an amended application. The Energy Commission will review the amended application and notify the applicant of any modifications to their certification status.

Supplemental Information

Page 24, paragraph 6, revise as follows:

The following supplemental instructions apply to applications for biomass, small hydroelectric, incremental geothermal, and MSW/solid waste conversion facilities. Supplemental instructions are also included for applicants seeking certification or pre-certification of repowered facilities and facilities located outside California. The information described below must be submitted as an attachment to the applicant's completed CEC-RPS-1A or CEC-RPS-1B form.

Page 25, paragraph 1 under "Supplemental Instructions for Biomass Facilities," revise as follows:

Applicants for certification or pre-certification of biomass facilities that commenced commercial operations on or after January 1, 2002, must submit an attestation attached to the applicant's completed CEC-RPS-1A or CEC-RPS-1B that they comply or will

comply, in the case of pre-certification, with the biomass fuel requirements described above.

Page 25, paragraph 1 under “Supplemental Instructions for Small Hydropower Facilities,” sentence 1, revise as follows:

To demonstrate that a hydropower facility built or repowered on or after September 12, 2002, is eligible for the RPS and SEPs, the applicant must provide the following water-use data and documentation attached to its completed CEC-RPS-1A (for certification) or CEC-RPS-1B (for pre-certification) form to substantiate its self-certification.

Page 27, paragraph 1 under “Supplemental Instructions for Incremental Geothermal Facilities,” revise as follows:

Applicants must provide the following information attached to the completed CEC-RPS-1A or CEC-RPS-1B form when applying for certification or pre-certification as an incremental geothermal facility. The following information must be presented for individual facilities and may not be aggregated for the entire steam field.

Page 28, paragraph 1 under “Supplemental Instructions for Municipal Solid Waste Conversion Facilities,” sentence 1, revise as follows:

Applicants for certification or pre-certification of solid waste conversion facilities must provide copies of permits issued by the California Integrated Waste Management Board (CIWMB) attached to the completed CEC-RPS-1A or CEC-RPS-1B form to verify compliance with the requirements specified above.

Page 29, paragraph 1 under “Supplemental Instructions for Out-of-State Facilities,” sentences 1 and 2, revise as follows:

Out-of-state facilities seeking certification as RPS-eligible must provide their NERC identification ~~number~~ (the Source point name) and the control area to which the facility is connected in a completed CEC-RPS-1 form. The NERC identification ~~number and control area~~ is required to receive certification that a facility located outside California is eligible for California’s RPS.

Page 31, paragraph 1 under “Supplemental Instructions for Repowered Facilities,” revise as follows:

To apply for certification or pre-certification as a repowered facility, an applicant must submit a completed CEC-RPS-1A or CEC-RPS-1B form, along with documentation confirming the replacement of the facility’s prime generating equipment and the capital investments made to repower the facility as well as the value of those investments.

GENERATION TRACKING SYSTEM

Energy Commission RPS Verification Report

Pages 37, paragraph 4, revise as follows:

To verify deliveries from out-of-state facilities, the Energy Commission intends to compare the monthly generation data for a procured from an RPS-eligible facility with the monthly NERC tag data for that facility, with the lesser of the two considered to be eligible RPS procurement. For example, if the monthly energy delivery shown on the NERC tags for a facility transmission capacity exceeds the monthly amount of energy procured-generated, then the Energy Commission will count the amount generated procured as RPS-eligible procurement (~~assuming the retail seller procures the full amount of energy generated from the facility~~). Conversely, if the amount procured generated exceeds the monthly amount that ~~could be transmitted via~~ was delivered as demonstrated by the NERC tags, the Energy Commission will assume some of the generation was delivered elsewhere and will only count as RPS-eligible the amount of procurement supported by the NERC tag data.

APPENDIX A – Forms

Page A-1, revise as follows:

- CEC-RPS-Track, Interim data collection from retail sellers
- CEC-RPS-GEN, Interim data collection from RPS-eligible facilities
- CEC-RPS-1A, Application for Certification, California Renewable Portfolio Standard Program
- CEC-RPS-1B, Application for Pre-Certification, California Renewable Portfolio Standard Program
- CEC-RPS-2, Utility Application for Certification of Renewable Facility, California Renewable Portfolio Standard Program

NEW RENEWABLE FACILITIES PROGRAM GUIDEBOOK

AWARD DETERMINATION

Page 9, paragraph 3 under above heading, sentence 2, revise as follows:

The Energy Commission requires the retail seller to provide the following information for ~~all~~ each bids received: levelized cent per KWh all-in bid price, the average annual generation by Time of Delivery (TOD) period, contract term, delivery start date, applicable levelized MPR, levelized bid price, and levelized above-market costs over the contract term.

Page 10, paragraph 1, add sentence as follows:

The Energy Commission will consider applications to hold data on the CEC-SEP-1 and CEC-SEP-2 forms confidential pursuant to its regulations on confidential designation, California Code of Regulations, Title 20, Section 2501 et seq.

Schedule 1: TO BE COMPLETED BY RETAIL SELLERS
Report to the California Energy Commission
Certified RPS Facilities from which Generation was Procured in 2005

INSTRUCTIONS: Please list the generating facilities from which procurement was claimed for 2005. Please enter the requested information for each generating unit. Do not enter information into the shaded cells. **To expedite the processing of this form, please list as many of the generating units' identification numbers as possible.** If you need additional rows, please click on the "Insert Row" button above.

[illegible]

¹ Please enter the California Energy Commission RPS Certification number for the facility, **REQUIRED**.

² Please enter the Energy Information Administration identification number for the generating facility, if available.

³ Please enter the Energy Commission Renewable Energy Program Registration number for the generating facility, if applicable.

⁴ Please enter the California Energy Commission's assigned unique number for the Certificate of Specific Generation Program, if applicable.

⁵ Please enter the California Energy Commission's Plant ID number, if applicable.

⁶ Please enter the ISO Meter ID Number for the facility, if available.

⁷ Please enter the ISO Resource ID Number for the facility, if available.

⁸ Please enter the Qualifying Facility ID Number for the facility, if available.

⁹ Please enter the NERC ID number if the facility is located out-of-state, **REQUIRED**. This requirement does not apply if the facility exclusively sells to retail sellers subject to 399.17 of the Public Utilities Code.

¹⁰ Please enter an alternative facility identifier such as a FERC number or if the facility does not have any of the identification numbers in the previous columns. Please describe the "Other Facility Identifier" in footnote a below.

¹¹ If the procurement claim qualifies for the retailer seller's baseline RPS procurement, please type the word "Baseline". If the procurement claims qualifies as incremental procurement, for the seller's RPS Incremental Procurement Target, please type "IP" for incremental procurement. If a portion of procurement from one facility is claimed and a portion qualifies as IP and another qualifies for the Baseline, please use a separate row for each portion of the claim.

SCHEDULE 2: TO BE COMPLETED BY RETAIL SELLERS
Report to the California Energy Commission
Procurement of Renewable Energy Generation in 2005

INSTRUCTIONS: Enter procurement by month made from all renewable facilities in 2005, regardless of their classification as an "eligible renewable energy resource" as defined in Public Utilities Code Section 399.12(a). If you need additional rows, please click on the "Insert Row" button on Schedule 1. PLEASE COMPLETE the field labeled "Total Retail Sales in 2005 in kWh" to indicate the base of retail sales against which the renewable energy purchases will be compared.

[illegible]

¹ Indicate whether a Generation Meter Multiplier (denote GMM), ISO settlement data (denote ISO), or another method (please indicate) was used to apply a line loss factor in computing kWh procured. If no line loss factor was used, denote "None".

² If this value differs from utility FERC Form 1 filing for this year, please detail the discrepancy in a footnote.

(TO BE COMPLETED BY RETAIL SELLERS)
Report to the California Energy Commission
Utility Procurement of Renewable Energy By Retail Sellers in 2005
ATTESTATION FORM

I, (print name and title) _____, declare under penalty of perjury that the statements contained in Schedules 1 and 2 are true and correct and that I, as an authorized agent of (print name of company) _____, have authority to submit this report on the company's behalf. I further declare that the kilowatt-hours claimed as specific purchases as shown in Schedule 2, are to the best of my knowledge, sold once and only once to retail consumers. The renewable electricity and associated Renewable Energy Certificates used for RPS compliance have not otherwise been, nor will be, sold, retired, claimed, or represented as part of electrical energy output or sales, or used to satisfy obligations in jurisdictions other than California, and for no other reason than to comply with California's Renewables Portfolio Standard. I certify that the procurement claimed to meet baseline and Interim Procurement Target, respectively meets those criteria.

Out-of-state facilities are subject to the same deliverability requirements as in-state facilities. Generation that will be counted for purposes of RPS compliance from out-of-state facilities must be delivered to an in-state market hub (also referred to as "zone") or in-state substation (also referred to as "node") located within the California ISO control area (or delivery point that meets applicable CPUC rules) of the WECC transmission system. The requirements of the two foregoing sentences do not apply to retail sellers subject to Public Utilities Code Section 399.17.

Signed: _____

Dated: _____

Executed at: _____

CONTACT INFORMATION

Name

Title

Company Name

Address

City, State, Zip

Phone

Fax

E-mail

(TO BE COMPLETED BY GENERATORS)
REPORT to the CALIFORNIA ENERGY COMMISSION
Report of Generation for California RPS Certified Facilities
for Calendar Year 2005

GENERAL INSTRUCTIONS

Please enter the following information:

Name of Company Preparing Form	
Name of Individual Completing Form	

PLEASE ENABLE MACROS IN ORDER FOR THE FORMS TO WORK PROPERLY. Generating facilities that were certified by an Investor-Owned Utility on their behalf are not required to complete Schedules 3 and 4. However generators that certified on their own behalf are required to complete Schedules 3 and 4. This form may be used to enter information for any number of generating facilities. Complete Schedules 3 and 4 and e-mail the completed file to the address shown below. Then print out the file, sign the attestation as appropriate, and mail the package to the address shown below:

California Energy Commission
e-mail: RPSTrack@energy.state.ca.us

Jason J. Orta
 Attn: Interim Tracking
 California Energy Commission
 1516 9th Street, MS-45
 Sacramento, CA 95814-5512

These forms are due by close of business on May 1, 2006.

PLEASE NOTE: The Energy Commission reserves the right to ask for supplemental documentation to this filing including utility statements provided to the individual generators.

Schedule 3: TO BE COMPLETED BY GENERATORS
Report to the California Energy Commission
Certified RPS Facilities (20054)

INSTRUCTIONS: Please list the generating facilities for which certified RPS generation will be reported on this form. Please enter the requested information for each generating unit. Do not enter information into the shaded cells. **To expedite the processing of this form, please list as many of the generating units' identification numbers as possible.** If you need additional rows, click the "Insert Row" button above.

[illegible]

¹ Please enter the California Energy Commission RPS Certification number for the facility, REQUIRED.

² Please enter the Energy Information Administration identification number for the generating facility, if available.

³ Please enter the Energy Commission Renewable Energy Program Registration number (i.e. the Existing and New Account Number) for the generating facility, if applicable.

⁴ Please enter the California Energy Commission's assigned unique number for the Certificate of Specific Generation Program, if applicable.

⁵ Please enter the California Energy Commission's Plant ID number, if applicable.

⁶ Please enter the ISO Meter ID Number for the facility, if available.

⁷ Please enter the ISO Resource ID Number for the facility, if available.

⁸ Please enter the Qualifying Facility ID Number for the facility, if available.

⁹ Please enter the NERC ID number if the facility is located out-of-state, **REQUIRED**. This requirement does not apply if the facility exclusively sells to retail sellers subject to Public Utilities Code Section 399.17.

¹⁰ Please enter an alternative facility identifier such as a FERC number or if the facility does not have any of the identification numbers in the previous columns. Please describe the "Other Facility Identifier" in footnote a below.

¹¹ Generation from the following facilities is statutorily limited to a retail seller's baseline: Geothermal facilities originally operating prior to September 26, 1996, Hydroelectric facilities owned by an IOU as of September 12, 2002, or hydroelectric generation procured by an IOU as of September 12, 2002, and municipal solid waste combustion facilities located in Stanislaus County and operating prior to September 26, 1996. If the generation reported was generated by the aforementioned technologies, please write "Baseline." If a portion of procurement from one facility is claimed and a portion qualifies as IP and another qualifies for the baseline, please use a

Schedule 4: TO BE COMPLETED BY GENERATORS
Report to the California Energy Commission
Generation from Certified RPS Facilities (2005)

Please list the monthly IOU or third party verified meter reads of generation for each generating facility. If you need additional rows, please click the "Insert Row" button above.

[illegible]

(TO BE COMPLETED BY GENERATORS)
REPORT to the CALIFORNIA ENERGY COMMISSION
Report of Generation for California RPS Certified Facilities for Calendar Year 2005
ATTESTATION FORM

I (print name and title) _____ declare under penalty of perjury that the following is true and correct to the best of my knowledge:

- 1) I am an authorize agent of (print name of company) _____ and have authority to submit this report on the company's behalf;
- 2) The information and data provided in this report, including information provided in Schedules 3 and 4, is correct and is submitted for use to verify generation and procurement requirements pursuant to the California Renewables Portfolio Standard;
- 3) The kilowatt-hours of electricity generation in Schedule 4 of this report have been sold once and only once by the generator signing this attestation;
- 4) To the best of my knowledge, none of the renewable electricity identified in Schedules 3 or 4 of this report, nor any of the Renewable Energy Certificates associated with this renewable electricity, has been or will be used, sold, retired, claimed, or represented as part of electrical energy output or sales to satisfy renewable procurement obligations in jurisdictions other than California;
- 5) Out-of-state facilities are subject to the same deliverability requirements as in-state facilities. Generation that will be counted for purposes of RPS compliance from out-of-state facilities must be delivered to an in-state market hub (also referred to as "zone") or in-state substation (also referred to as "node") located within the California ISO control area (or delivery point that meets applicable CPUC rules) of the WECC transmission system. The requirements of the two foregoing sentences do not apply to retail sellers subject to Public Utilities Code Section 399.17.

Signed: _____

Dated: _____

CONTACT INFORMATION
(FOR PREPARER OF THIS REPORT)

Name	
Title	
Company Name	
Address	
City, State, Zip	
Phone	
Fax	
E-mail	



***For certification, please fill out all applicable portions of application, sign,
and submit completed form to:***

California Energy Commission, Attn: RPS Certification
1516 Ninth Street, MS-45, Sacramento, CA 95814

Please also submit form electronically via e-mail to:
RPSTrack@energy.state.ca.us, subject line "RPS Certification"

To apply for pre-certification, use form CEC-RPS-1B

All data on this form is subject to public disclosure

Section I: Type of Certification Requested

Choose One	☐ Eligible for California RPS
	☐ Eligible for California RPS plus Supplemental Energy Payments (SEPs)
Choose One	☐ Certification ☐ Amended certification ☐ Renewal
	If this is an amendment or renewal, date of original certification (m/d/yyyy): _____ If an amendment, note certification number, if applicable. _____ <i>Please note: Facility must be on line to qualify for certification. To register as Renewable Only (not eligible for RPS or SEP), please use form CEC-1038-E1, available on-line at: www.energy.ca.gov/renewables/documents</i>

Section II: Applicant Contact Information

Name: _____	Title: _____
Company: _____	
Address: _____	
City: _____	State: _____ ZIP: _____
Telephone: _____	Fax: _____ E-Mail: _____
Person Completing Form (if different from Applicant Contact): _____	

Section III: Facility Information

Name of Facility: _____	
Location: City: _____ County: _____ State: _____	
☐ Located within California ☐ Located outside of California	
Telephone: _____	Fax: _____ E-Mail: _____
Owner Name: _____	
Owner Address: _____	
City: _____	State: _____ ZIP: _____
Owner Telephone: _____	Fax: _____ E-Mail: _____

Please specify any additional names this facility is or has been known by, including names the facility has used in the past, if known: _____

For example, the facility may have changed names or may be part of a group of facilities collectively known by one name.

ID#'s (if known): CEC-REP _____ CEC-RPS _____ CEC-Other _____
QFID _____ EIA _____ CA ISO _____ SO _____
Other (please explain) _____

CEC-REP refers to the CEC ID# under the Renewable Energy Program.

CEC-RPS refers to the CEC ID# issued under the Renewables Portfolio Standard, if this application is an amendment or renewal.

CEC-Other refers to any other CEC ID# issued.

QFID refers to a unique identifier assigned to a Qualifying Facility by the retail seller contracting for power from the facility.

EIA refers to the number assigned by the Energy Information Administration that is used to report monthly generation data to the EIA.

CAISO refers to the number assigned to the facility by the California Independent System Operator.

SO refers to number assigned to the facility by another system operator, not the CA ISO.

Location of WECC interconnection: _____

The WECC interconnection is the substation where radial lines from the facility interconnect/will interconnect to the WECC controlled transmission system.

Control area operator for facility: ☐ CA ISO ☐ Other (provide name): _____

Nameplate capacity of facility (in megawatts): _____

Choose One	☐ Facility commenced commercial operations prior to January 1, 2002 (specify date): _____
	☐ New facility, commenced commercial operation after January 1, 2002 (specify date): _____
	☐ Repowered facility, re-entered commercial operation after January 1, 2002 (specify date): _____

Section IV: Eligibility for Supplemental Energy Payments

1. Is the output from this facility being sold under a long-term contract entered into prior to January 1, 2002 with a California retail seller that includes fixed energy or capacity payments?

☐ Yes ☐ No

If yes: A. Date contract executed: _____

B. Retail seller contracted with: _____

C. Does the output from this facility meet the requirements in Public Utilities Code Section 399.6(c)(1)(C) as shown below? ☐ Yes ☐ No (If yes, attach a detailed explanation. If no, facility is not eligible for SEPs)

Public Utilities Code Section 399.6(c)(1)(C) – to be eligible for SEPs, all of the following must occur:

- 1) The facility's power purchase contract provides that all energy delivered and sold under the contract is paid at a price that does not exceed commission-approved short-run avoided cost of energy.
- 2) Either of the following:
 - a. The power purchase contract is amended to provide that the kWh used to determine the capacity payment in any time-of-delivery period in any month under the contract shall be equal to the actual kWh production, but no greater than the five-year average of the kWh delivered for the corresponding time-of-delivery period and month, in the years 1994 to 1998, inclusive.
 - b. If a facility's installed capacity as of December 31, 1998, is less than 75 percent of the nameplate capacity as stated in

<i>the power purchase contract, the power purchase contract is amended to provide that the kWh used to determine the capacity payment in any time-of-delivery period in any month under the contract shall be equal to the actual kWh production, but no greater than the product of the five-year average of the kWh delivered for the corresponding time-of-delivery period and month, in the years 1994 to 1998, inclusive, and the ratio of installed capacity as of December 31 of the previous year, but not to exceed contract nameplate capacity, to the installed capacity as of December 31, 1998.</i> 3) The Supplemental Energy Payments are payable only with respect to the kWh delivered in a particular month that exceeds the corresponding five-year average calculated pursuant to clause 2.																			
2. Is the facility owned by a retail seller or local publicly-owned electric utility? ☐ Yes ☐ No <i>Retail seller-owned facilities are not eligible to receive SEPs, but may be eligible for the RPS.</i>																			
3. Is the entire output of the facility intended to be used <u>exclusively</u> on-site (i.e. self generation)? ☐ Yes ☐ No <i>On-site generation is not eligible to receive SEPs.</i>																			
4. Is the entire output of facility excluded from paying an applicable competitive transition charge? ☐ Yes ☐ No <i>If yes, facility is not eligible to receive SEPs.</i>																			
Section V: Facility Fuel Type																			
5. Please indicate energy source used by the facility. For hybrid systems, indicate all energy sources used. <table style="width: 100%; border: none;"> <tr> <td style="width: 33%; vertical-align: top; padding: 5px;"> ☐ Biodiesel (complete Section VI, questions 7-11) </td> <td style="width: 33%; vertical-align: top; padding: 5px;"> ☐ Landfill Gas (skip to Section VII) </td> <td style="width: 33%; vertical-align: top; padding: 5px;"> ☐ Ocean Wave (skip to Section VII) </td> </tr> <tr> <td style="vertical-align: top; padding: 5px;"> ☐ Biomass (complete Section VI, questions 8-11) </td> <td style="vertical-align: top; padding: 5px;"> ☐ Municipal Solid Waste, combustion (complete Section VI, question 21) </td> <td style="vertical-align: top; padding: 5px;"> ☐ Ocean Thermal (skip to Section VII) </td> </tr> <tr> <td style="vertical-align: top; padding: 5px;"> ☐ Digester Gas (skip to Section VII) </td> <td style="vertical-align: top; padding: 5px;"> ☐ Municipal Solid Waste, conversion (complete Section VI, questions 21-23) </td> <td style="vertical-align: top; padding: 5px;"> ☐ Wind (skip to Section VII) </td> </tr> <tr> <td style="vertical-align: top; padding: 5px;"> ☐ Fuel Cell (skip to Section VII) </td> <td style="vertical-align: top; padding: 5px;"> ☐ Photovoltaic (skip to Section VII) </td> <td></td> </tr> <tr> <td style="vertical-align: top; padding: 5px;"> ☐ Geothermal (complete Section VI, questions 12-15) </td> <td style="vertical-align: top; padding: 5px;"> ☐ Solar Thermal Electric (skip to Section VII) </td> <td style="vertical-align: top; padding: 5px;"> ☐ Hybrid System (complete Section VI, questions 24-25) </td> </tr> <tr> <td style="vertical-align: top; padding: 5px;"> ☐ Hydropower (complete Section VI, questions 16-20) </td> <td style="vertical-align: top; padding: 5px;"> ☐ Tidal Current (skip to Section VII) </td> <td></td> </tr> </table>		☐ Biodiesel (complete Section VI, questions 7-11)	☐ Landfill Gas (skip to Section VII)	☐ Ocean Wave (skip to Section VII)	☐ Biomass (complete Section VI, questions 8-11)	☐ Municipal Solid Waste, combustion (complete Section VI, question 21)	☐ Ocean Thermal (skip to Section VII)	☐ Digester Gas (skip to Section VII)	☐ Municipal Solid Waste, conversion (complete Section VI, questions 21-23)	☐ Wind (skip to Section VII)	☐ Fuel Cell (skip to Section VII)	☐ Photovoltaic (skip to Section VII)		☐ Geothermal (complete Section VI, questions 12-15)	☐ Solar Thermal Electric (skip to Section VII)	☐ Hybrid System (complete Section VI, questions 24-25)	☐ Hydropower (complete Section VI, questions 16-20)	☐ Tidal Current (skip to Section VII)	
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6. Does this facility use any fossil fuel for purposes of generating electricity? ☐ Yes ☐ No If yes, please specify average annual percentage on a total heat input basis for the calendar year immediately prior to the date of application: _____ <i>Facilities that use fossil fuel must complete Section VI, questions 24-25 for hybrid systems.</i>																			
Section VI: Additional Required Information for Specific Fuel Types																			
<i>Facilities using digester gas, fuel cell, landfill gas, photovoltaic, solar thermal, tidal current, ocean wave, ocean thermal, and wind technologies have no special fuel requirements. Applicants for facilities using these fuels or resources exclusively may skip to Section VII.</i>																			
For Biodiesel Applicants																			
7. Source of biodiesel fuel <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; padding: 5px; text-align: center;"> Choose One </td> <td style="padding: 5px;"> ☐ Biodiesel derived from biomass fuel – answer questions 8-11. ☐ Biodiesel derived from MSW conversion process – answer questions 21-23. </td> </tr> </table>		Choose One	☐ Biodiesel derived from biomass fuel – answer questions 8-11. ☐ Biodiesel derived from MSW conversion process – answer questions 21-23.																
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For Biomass Applicants																			
8. Did the facility commence commercial operations prior to January 1, 2002? ☐ Yes, please note that facility is not eligible for SEPs ☐ No																			

9. Indicate current source of biomass fuel supply (*check all that apply*):

- ☐ Agricultural crops and agricultural wastes and residues.
- ☐ Solid waste materials - Includes waste pallets, crates, dunnage, manufacturing and construction wood wastes; landscape or right-of-way tree trimmings; mill residues resulting directly from milling of lumber; rangeland maintenance residues; and sludge derived from organic sludge.
- ☐ Wood and wood wastes from forest timbering operations, including forest fuel fire reduction, and forest stand improvement.
- ☐ Wood and wood wastes that meet all of the following requirements (if a facility uses wood and wood wastes and the applicant seeks certification as SEP-eligible, the fuel must meet these criteria):
 - 1) Harvested pursuant to an approved timber harvest plan prepared in accordance with the Z'berg-Nejedly Forest Practice Act of 1973 (Ch. 8 (commencing with Sec. 4511), Pt. 2, Div. 4, Public Resources Code).
 - 2) Harvested for the purpose of forest fire fuel reduction or forest stand improvement.
 - 3) Do not transport or cause the transportation of species known to harbor insect or disease pests outside zones of infestation or current quarantine zones, as identified by the Department of Food and Agriculture or the Department of Forestry and Fire Protection, unless approved by those agencies.

Facilities using these biomass fuels are eligible for the RPS, regardless of the date they commenced commercial operations.

10. To be eligible for SEPs, an applicant for a “new” or “repowered” biomass facility must agree to use only eligible biomass fuel and to annually provide written attestations from its fuel supplier(s) documenting that the supplier(s) have delivered eligible biomass fuel to the facility. Applicant must also agree to provide documentation, or make documentation available upon request, to the Energy Commission verifying ongoing compliance with these requirements.

☐ Applicant acknowledges and agrees to comply with the above requirements as more fully described in the *Renewable Portfolio Standard Eligibility Guidebook*.

11. For biomass facility operators receiving SEPs only: You must submit an annual report to the Energy Commission describing fuel use as follows: tons of biomass by type of biomass, the air district from which the biomass originated if the fuel may have been open-field burned had it not been used for electricity production, and an attestation from the fuel supplier(s) that the biomass fuel continues to meet the RPS eligibility standards. The report is due to the Energy Commission on February 15th of each year to report on the biomass supply consumed in the previous calendar year.

☐ Applicant acknowledges and agrees to comply with the above requirements as more fully described in the *Renewable Portfolio Standard Eligibility Guidebook*.

For Geothermal Applicants

12. Date facility commenced commercial operations

Choose **One**

- ☐ Prior to September 26, 1996
Generation may be eligible for the RPS but only to establish or adjust a retail seller's baseline.
- ☐ Between September 26, 1996 and January 1, 2002
Generation may be eligible for RPS but not for SEPs.
- ☐ On or after January 1, 2002
Generation may be eligible for both RPS and SEPs.

13. Are you applying for certification for incremental geothermal?

- ☐ Yes (*complete question 14*) ☐ No (*skip to Section VII*)

Incremental generation from geothermal facilities is eligible for the RPS but is limited to generation resulting from “eligible capital expenditures” as defined in the Renewables Portfolio Standard Eligibility Guidebook. Incremental geothermal generation may be eligible for SEPs to the extent that the generation meets criteria for a “new” or “repowered” facility.

14. Eligible capital expenditures	
Choose all that apply	☐ The capital expenditure results in replaced generating equipment or increased steam converted to generation. ☐ The capital expenditure does not cause an increase in the decline rate of the reservoir. ☐ The capital project was completed after September 26, 1996. <i>Only capital expenditures that meet all of the above criteria are considered "eligible."</i>
15. Please attach the documentation specified in the section titled "Supplemental Instructions for Incremental Geothermal Facilities" in the <i>Renewables Portfolio Standard Eligibility Guidebook</i> .	
<i>For Hydropower Applicants</i>	
16. Facility size	
☐ Applicant certifies that total facility size, including any incremental additions to original facility, does not exceed 30 megawatts. <i>Only hydropower facilities 30 megawatts or less in size qualify for the RPS or RPS and SEPs.</i>	
17. Date facility commenced commercial operations (choose one)	
☐ Facility commenced commercial operations prior to September 12, 2002 (<i>complete question 18</i>) ☐ Facility commenced commercial operations on or after Sept. 12, 2002 (<i>complete question 19</i>) ☐ Facility is "repowered" and re-entered commercial operation after September 12, 2002 (<i>complete questions 18-19</i>) <i>Generation may be eligible for RPS or RPS and SEPs</i>	
18. Was facility owned by, and/or its generation procured by, a retail seller as of September 12, 2002?	
☐ Yes ☐ No <i>If yes, generation may be eligible only for purposes of establishing a retail seller's RPS baseline. Facility's generation may not be used for adjusting a retail seller's baseline or meeting a retail seller's annual procurement target.</i>	
19. "New" or "Repowered" Hydropower Facilities: please check all that apply:	
<i>Facility located within California</i>	<i>Facility located outside California</i>
☐ The applicant has a permit or license from the State Water Resources Control Board (SWRCB) to appropriate water, which was issued before September 12, 2002. ☐ The applicant can operate its facility under its existing SWRCB permit or license. <i>The facility does not require a new or revised permit from the SWRCB for a new appropriation of water.</i> <i>The facility does not require a new permit or license from the SWRCB for a new diversion of water.</i> <i>The facility will not require an increase in the volume or rate of water diverted that would require a new permit or license from the SWRCB.</i> ☐ The facility does not require an increase in the volume or rate of water diverted under an existing right, even if such a change would not require a water right permit or license from the SWRCB.	☐ The applicant has a permit or license from the applicable governing body to appropriate water, which was issued before September 12, 2002. ☐ The applicant can operate its project under its existing government-issued permit or license. <i>The facility does not require a new permit or license from any government body for a new appropriation of water.</i> <i>The facility does not require a new permit or license from any government body for a new diversion of water.</i> ☐ The facility does not require an increase in the volume or rate of water diverted under an existing right, even if such a change would not require a new permit or license from any government body.
20. Please attach the documentation specified in the section titled "Supplemental Instructions for Small Hydropower Facilities" in the <i>Renewables Portfolio Standard Eligibility Guidebook</i>	

For Municipal Solid Waste Applicants

21. Type of MSW Facility

Choose **One**

- ☐ MSW combustion facility that meets the following criteria (*skip to Section VII*)
Generation is eligible for the RPS only if the facility is located in Stanislaus County and commenced commercial operations prior to September 26, 1996. Applicant must attach documentation to this application demonstrating that the facility meets both of these requirements. Generation from MSW combustion facilities is only eligible to establish or adjust a retail seller's RPS baseline.
- ☐ MSW conversion facility (*answer questions 22-23*)
Facility uses a non-combustion thermal process to convert MSW to a clean-burning fuel that is then used to generate electricity.

22. MSW conversion facilities must meet **all** of the following criteria to be eligible for the RPS or RPS and SEPs. Please check all that apply:

- ☐ The technology does not use air or oxygen in the conversion process, except ambient air to maintain temperature control.
- ☐ The technology does not produce any discharges of air contaminants or emissions, including greenhouse gases as defined in Section 42801.1 of the Health and Safety Code.
- ☐ The technology does not produce any discharges to surface or groundwaters of the state.
- ☐ The technology does not produce any hazardous wastes.
- ☐ To the maximum extent feasible, the technology removes all recyclable materials and marketable green waste compostable materials from the solid waste stream before the conversion process and the owner or operator of the facility certifies that those materials will be recycled or composted.
- ☐ The facility at which the technology is used is in compliance with all applicable laws, regulations, and ordinances.
- ☐ The technology meets any other conditions established by the State Energy Resources Conservation and Development Commission.
- ☐ The facility certifies that any local agency sending solid waste to the facility diverted at least 30 percent of all solid waste it collects through solid waste reduction, recycling, and composting.
- ☐ The facility certifies that any local agency sending solid waste to the facility is in compliance with Division 30 (Commencing with Section 4000), has reduced, recycled, or composted solid waste to the maximum extent feasible. (The California Integrated Waste Management Board must find that the facility has diverted at least 30 percent of all solid waste through source reduction, recycling, and composting.) Facilities must satisfy these criteria to be eligible for SEPs.

23. Please attach the documentation specified in the section entitled "Supplemental Instructions for Municipal Solid Waste Conversion Facilities" in the *Renewables Portfolio Standard Eligibility Guidebook*.

For Hybrid System Applicants

24. Type of Hybrid System:

Choose **One**

- ☐ Pumped Storage Hydropower (*identify energy source used for pumping*) _____
*Must use a renewable energy source to be eligible for RPS or RPS and SEPs; **only the amount of energy dispatched to the transmission system is eligible.***
- ☐ Other (*describe fuels used – attach additional sheets if necessary*) _____

25. For Hybrid Systems using fossil fuel (please select A or B)	
☐ A. Facility commenced commercial operations or was repowered before January 1, 2002:	
<i>If you checked "A", choose one</i>	☐ Applicant attests that the percentage of fossil fuel used in the facility does not exceed 25 percent of the total annual energy input of the facility. <i>Facilities using fossil fuel that were operational or repowered prior to January 1, 2002 may use up to 25 percent fossil fuel and still have the total generation from their facility considered renewable and eligible for the RPS.</i> ☐ Percentage of fossil fuel used in the facility exceeds 25 percent of the total annual energy input of the facility. <i>Only the renewable portion of electricity production may qualify for the RPS, and only once an appropriate tracking system is developed to monitor such production.</i> ☐ Facility was developed and awarded a power purchase contract as a result of a retail seller Interim RPS procurement solicitation approved by the California Public Utilities Commission, and applicant attests that the facility uses no more than 25 percent fossil fuel annually on a total energy input basis. <i>Facilities developed and awarded power purchase contracts as a result of a retail seller's Interim RPS procurement solicitation and approved by the CPUC may use up to 25 percent fossil fuel and count 100 percent of the electricity generated as RPS-eligible.</i>
☐ B. Facility commenced commercial operation or was repowered on or AFTER January 1, 2002:	
<i>If you checked "B", choose one</i>	☐ Facility is certified as a Qualifying Small Power Production Facility (QF), and applicant attests that the facility satisfies the fossil fuel use limitations specified in PURPA. <i>Facilities certified as QFs under the federal Public Utilities Regulatory Policies Act may use up to 25 percent fossil fuel and count 100 percent of the electricity generated as RPS eligible provided the facility otherwise satisfies the applicable California RPS standards.</i> ☐ Facility is NOT certified as a Qualifying Small Power Production Facility but uses some percentage of fossil fuel. <i>Only the renewable portion of electricity production may qualify for the RPS, and only once an appropriate tracking system is developed to monitor such production.</i> ☐ Facility was developed and awarded a power purchase contract as a result of a retail seller's Interim RPS procurement solicitation approved by the California Public Utilities Commission, and applicant attests that the facility uses no more than 25 percent fossil fuel annually on a total energy input basis. <i>Facilities developed and awarded power purchase contracts as a result of a retail seller's Interim RPS procurement solicitation and approved by the CPUC may use up to 25 percent fossil fuel and count 100 percent of the electricity generated as RPS eligible.</i>
Section VII: Repowered Facility Information	
26. Is applicant requesting certification for RPS and SEP eligibility for a repowered facility that re-entered commercial operations after January 1, 2002? ☐ Yes. Answer questions 27 and 28. ☐ No. Skip to Section VIII	
27. Please indicate the method used to demonstrate compliance with the 80 percent threshold: ☐ Tax Records Methodology ☐ Replacement Value Methodology <i>Applicant must document the value of the capital investments made to the facility and the total value of the repowered facility, and the value of the capital investments must equal at least 80 percent of the total value of the repowered facility.</i>	
28. Generally describe the prime generating equipment replaced at the facility: _____ Please attach the documentation specified in the section titled "Supplemental Instructions for Repowered Facilities" in the <i>Renewables Portfolio Standard Eligibility Guidebook</i>. <i>The applicant must document that the facility's prime generating equipment is new. For a definition of each renewable resource's prime generating equipment, please see the Renewables Portfolio Standard Eligibility Guidebook.</i>	

Section VIII: Out-of-State Facility Information

29. Is the facility's first point of interconnection to the WECC transmission system located within California?

- ☐ Yes. Facility is considered an in-state facility for purposes of RPS and SEP eligibility. Skip to Section IX.
- ☐ No. Answer questions 30-34.
- ☐ Other. Check here if the facility exclusively serves retail sellers subject to Public Utilities Code Section 399.17. Skip to Section IX

30. Provide the facility NERC ID (the Source point name) _____

The NERC ID refers to the North American Electricity Reliability Council identification Source point name for this facility. The NERC ID is **required** to certify RPS eligibility of a facility that is located outside of California.

31. For RPS eligibility only, applicants for out-of-state facilities must submit documentation showing that the facility meets all of the following criteria (check all that apply):

- ☐ Facility has guaranteed contracts to sell its generation to a retail seller or the California Independent System Operator (CA ISO).
- ☐ Facility can demonstrate delivery of its generation to the in-state market hub/zone or in-state substation/node located within the CA ISO control area of the WECC transmission system (or located anywhere in California if applicable CPUC rules allow delivery outside CA ISO).
- ☐ Applicant agrees to participate in the Energy Commission's RPS tracking and verification system.

32. For SEP eligibility: Applicants for out-of-state facilities must submit documentation showing that their facility meets all of the following criteria (check all that apply, skip to question 33 if not seeking SEP eligibility).

- ☐ Facility is located within the United States.
Facility may not cause or contribute to any violation of a California environmental quality standard or requirement.
- ☐ Facility is located outside of the United States.
Facility must be developed and operated in a manner that is as protective of the environment as a similar facility located within California.
- ☐ Facility is located so that it is/will be connected to the WECC transmission system.
- ☐ Facility is developed with guaranteed contracts to sell its power to end use customers of California retail sellers during the period in which it will receive SEPs.
- ☐ Facility can demonstrate delivery of its generation to the in-state market hub/zone or in-state substation/node located within the CA ISO control area of the WECC transmission system (or located anywhere in California if applicable CPUC rules allow delivery outside CA ISO).
- ☐ Applicant agrees to participate in the Energy Commission's RPS tracking and verification system.

33. To be eligible solely for RPS or also for SEPs, an applicant for an out-of-state facility must agree to comply with the "Delivery Requirements" specified in the "Eligibility of Out-of-State Facilities" section of the *Renewables Portfolio Standard Eligibility Guidebook*.

- ☐ Applicant acknowledges and agrees to comply with the above requirements as more fully described in the *Renewables Portfolio Standard Eligibility Guidebook*.

34. Please attach the documentation specified in the section titled "Supplemental Instructions for Out-of-State Facilities" in the *Renewables Portfolio Standard Eligibility Guidebook*.

Section IX: General Information

The Energy Commission reserves the right to request additional information to confirm or clarify information provided in this application including any attachments.

The Energy Commission's Accounting Office or its authorized agents, in conjunction with Energy Commission technical staff, may audit any applicant to verify the accuracy of any information included as part of an application for RPS or RPS and SEP certification, pursuant to the *Overall Program Guidebook for the Renewable Energy Program*. As part of an audit, an awardee may be required to provide the Accounting Office or its authorized agents with any and all information and records necessary to verify the accuracy of any information included in the awardee's applications, invoices, or reports. An awardee may also be required to open its business records for on-site inspection and audit by the Accounting Office or its authorized agents for purposes of verifying the accuracy of any information included in the awardee's applications, invoices, and reports.

Certified facilities must notify the Energy Commission promptly of any changes in information previously submitted to the Energy Commission. A facility failing to do so risks losing its certification status. Any changes affecting the facility's certification status should be reported on an amended CEC-RPS-1A form. If there are any changes to the status of a facility's certification, the new information will be posted on the Energy Commission's Web site, and any affected retail seller contracting with that facility will be promptly notified.

Section X: Signature

I am an authorized officer of the above-noted facility owner or a retail seller contracting with the above noted facility owner and hereby submit this application on behalf of said facility owner for certification of the facility as a renewable facility eligible for California's RPS or certification as eligible for California's RPS and SEPs. I have read the above information as well as the *Renewables Portfolio Standard Eligibility Guidebook*, the *Overall Program Guidebook for the Renewable Energy Program*, and the *New Renewable Facilities Program Guidebook* and understand the provisions of these guidebooks and my responsibilities. I acknowledge that the receipt of any certification approval from the California Energy Commission is conditioned on the acceptance and satisfaction of all program requirements as set forth in the *Renewables Portfolio Standard Eligibility Guidebook* and the *Overall Program Guidebook for the Renewable Energy Program*. I declare under penalty of perjury that the information provided in this application and any attachments is true and correct to the best of my knowledge.

Applicant Name: _____

Applicant Title: _____

Signature: _____

Date signed: _____

**REMINDER:
HAVE YOU INCLUDED
ALL NECESSARY ATTACHMENTS?**

Supplemental Information is required for:

*Biodiesel (New or Repowered)
Biomass (New or Repowered seeking SEP-eligibility)
Incremental Geothermal, Hydropower,
New or Repowered Municipal Solid Waste Conversion
Hybrids, Repowered Facilities, Out-of-State Facilities*



California
Energy
Commission

CEC-RPS-1B
Application for Pre-Certification
California Renewables Portfolio Standard Program

**For Pre-certification, please fill out all applicable portions of application, sign,
and submit completed form to:**

California Energy Commission, Attn: RPS Certification
1516 Ninth Street, MS-45, Sacramento, CA 95814

Please also submit form electronically via e-mail to:
RPSTrack@energy.state.ca.us, subject line "RPS Certification"

To apply for certification, use form CEC-RPS-1B

All data on this form is subject to public disclosure

Section I: Type of Pre-Certification Requested

Choose
One

☐ Eligible for California RPS

☐ Eligible for California RPS plus Supplemental Energy Payments (SEPs)

Choose
One

☐ Pre-certification ☐ Amended pre-certification ☐ Renewal

If this is an amendment or renewal, date of original certification (m/d/yyyy): _____

If an amendment, note pre-certification number, if applicable. _____

Please note: Pre-certification is available for facilities that are not on line or do not have power purchase contracts with a retail seller at the time of application. To register as Renewable Only (not eligible for RPS or SEP), please use form CEC-1038-E1, available on-line at: www.energy.ca.gov/renewables/documents/index.html

Section II: Applicant Contact Information

Name: _____ Title: _____

Company: _____

Address: _____

City: _____ State: _____ ZIP: _____

Telephone: _____ Fax: _____ E-Mail: _____

Person Completing Form (if different from Applicant Contact): _____

Section III: Facility Information

Name of Facility: _____

Location: City: _____ County: _____ State: _____

☐ Located within California ☐ Located outside of California

Telephone: _____ Fax: _____ E-Mail: _____

Owner Name: _____

Owner Address: _____

City: _____ State: _____ ZIP: _____

Owner Telephone: _____ Fax: _____ E-Mail: _____	
Please specify any additional names this facility is or has been known by, including names the facility has used in the past, if known: _____ <i>For example, the facility may have changed names or may be part of a group of facilities collectively known by one name.</i>	
ID#'s (if known): CEC-REP _____ CEC-RPS _____ CEC-Other _____ QFID _____ EIA _____ CA ISO _____ SO _____ Other (please explain) _____	
CEC-REP refers to the CEC ID# under the Renewable Energy Program. CEC-RPS refers to the CEC ID# issued under the Renewables Portfolio Standard, if this application is an amendment or renewal. CEC-Other refers to any other CEC ID# issued. QFID refers to a unique identifier assigned to a Qualifying Facility by the retail seller contracting for power from the facility. EIA refers to the number assigned by the Energy Information Administration that is used to report monthly generation data to the EIA. CAISO refers to the number assigned to the facility by the California Independent System Operator. SO refers to number assigned to the facility by another system operator, not the CA ISO.	
Location of WECC interconnection: _____ <i>The WECC interconnection is the substation where radial lines from the facility interconnect/will interconnect to the WECC controlled transmission system.</i>	
Control area operator for facility: ☐ CA ISO ☐ Other (provide name): _____	
Nameplate capacity of facility (in megawatts): _____	
Choose One	☐ Facility commenced commercial operations prior to January 1, 2002 (specify date): _____
	☐ New facility, commenced/will commence commercial operation after January 1, 2002 (specify date/expected date): _____
	☐ Repowered facility, re-entered/will re-enter commercial operation after January 1, 2002 (specify date/expected date): _____
Section IV: Pre-Certification Eligibility for Supplemental Energy Payments	
1. Is the output from this facility being sold under a long-term contract entered into prior to January 1, 2002 with a California retail seller that includes fixed energy or capacity payments? ☐ Yes ☐ No If yes: A. Date contract executed: _____ B. Retail seller contracted with: _____ C. Does the output from this facility meet the requirements in Public Utilities Code Section 399.6(c)(1)(C) as shown below? ☐ Yes ☐ No (If yes, attach a detailed explanation. If no, facility is not eligible for SEPs)	
Public Utilities Code Section 399.6(c)(1)(C) – to be eligible for SEPs, <u>all</u> of the following must occur: 1) The facility's power purchase contract provides that all energy delivered and sold under the contract is paid at a price that does not exceed commission-approved short-run avoided cost of energy. 2) Either of the following: a. The power purchase contract is amended to provide that the kWh used to determine the capacity payment in any time-of-delivery period in any month under the contract shall be equal to the actual kWh production, but no greater than the	

<i>five-year average of the kWh delivered for the corresponding time-of-delivery period and month, in the years 1994 to 1998, inclusive.</i> b. <i>If a facility's installed capacity as of December 31, 1998, is less than 75 percent of the nameplate capacity as stated in the power purchase contract, the power purchase contract is amended to provide that the kWh used to determine the capacity payment in any time-of-delivery period in any month under the contract shall be equal to the actual kWh production, but no greater than the product of the five-year average of the kWh delivered for the corresponding time-of-delivery period and month, in the years 1994 to 1998, inclusive, and the ratio of installed capacity as of December 31 of the previous year, but not to exceed contract nameplate capacity, to the installed capacity as of December 31, 1998.</i> 3) <i>The Supplemental Energy Payments are payable only with respect to the kWh delivered in a particular month that exceeds the corresponding five-year average calculated pursuant to clause 2.</i>																			
2. Is/will the facility owned by a retail seller or local publicly-owned electric utility? ☐ Yes ☐ No <i>Retail seller-owned facilities are not eligible to receive SEPs, but may be eligible for the RPS.</i>																			
3. Is/will the entire output of the facility intended to be used <u>exclusively</u> on-site (i.e. self generation)? ☐ Yes ☐ No <i>On-site generation is not eligible to receive SEPs.</i>																			
4. Is/will the entire output of facility excluded from paying an applicable competitive transition charge? ☐ Yes ☐ No <i>If yes, facility is not eligible to receive SEPs.</i>																			
Section V: Pre-Certification Facility Fuel Type																			
5. Please indicate energy source that is or will be used by the facility. For hybrid systems, indicate all energy sources used. <table style="width: 100%; border: none;"> <tr> <td style="width: 33%; vertical-align: top; padding: 5px;"> ☐ Biodiesel <i>(complete Section VI, questions 7-11)</i> </td> <td style="width: 33%; vertical-align: top; padding: 5px;"> ☐ Landfill Gas <i>(skip to Section VII)</i> </td> <td style="width: 33%; vertical-align: top; padding: 5px;"> ☐ Ocean Wave <i>(skip to Section VII)</i> </td> </tr> <tr> <td style="vertical-align: top; padding: 5px;"> ☐ Biomass <i>(complete Section VI, questions 8-11)</i> </td> <td style="vertical-align: top; padding: 5px;"> ☐ Municipal Solid Waste, combustion <i>(complete Section VI, question 21)</i> </td> <td style="vertical-align: top; padding: 5px;"> ☐ Ocean Thermal <i>(skip to Section VII)</i> </td> </tr> <tr> <td style="vertical-align: top; padding: 5px;"> ☐ Digester Gas <i>(skip to Section VII)</i> </td> <td style="vertical-align: top; padding: 5px;"> ☐ Municipal Solid Waste, conversion <i>(complete Section VI, questions 21-23)</i> </td> <td style="vertical-align: top; padding: 5px;"> ☐ Wind <i>(skip to Section VII)</i> </td> </tr> <tr> <td style="vertical-align: top; padding: 5px;"> ☐ Fuel Cell <i>(skip to Section VII)</i> </td> <td style="vertical-align: top; padding: 5px;"> ☐ Photovoltaic <i>(skip to Section VII)</i> </td> <td></td> </tr> <tr> <td style="vertical-align: top; padding: 5px;"> ☐ Geothermal <i>(complete Section VI, questions 12-15)</i> </td> <td style="vertical-align: top; padding: 5px;"> ☐ Solar Thermal Electric <i>(skip to Section VII)</i> </td> <td style="vertical-align: top; padding: 5px;"> ☐ Hybrid System <i>(complete Section VI, questions 24-25)</i> </td> </tr> <tr> <td style="vertical-align: top; padding: 5px;"> ☐ Hydropower <i>(complete Section VI, questions 16-20)</i> </td> <td style="vertical-align: top; padding: 5px;"> ☐ Tidal Current <i>(skip to Section VII)</i> </td> <td></td> </tr> </table>		☐ Biodiesel <i>(complete Section VI, questions 7-11)</i>	☐ Landfill Gas <i>(skip to Section VII)</i>	☐ Ocean Wave <i>(skip to Section VII)</i>	☐ Biomass <i>(complete Section VI, questions 8-11)</i>	☐ Municipal Solid Waste, combustion <i>(complete Section VI, question 21)</i>	☐ Ocean Thermal <i>(skip to Section VII)</i>	☐ Digester Gas <i>(skip to Section VII)</i>	☐ Municipal Solid Waste, conversion <i>(complete Section VI, questions 21-23)</i>	☐ Wind <i>(skip to Section VII)</i>	☐ Fuel Cell <i>(skip to Section VII)</i>	☐ Photovoltaic <i>(skip to Section VII)</i>		☐ Geothermal <i>(complete Section VI, questions 12-15)</i>	☐ Solar Thermal Electric <i>(skip to Section VII)</i>	☐ Hybrid System <i>(complete Section VI, questions 24-25)</i>	☐ Hydropower <i>(complete Section VI, questions 16-20)</i>	☐ Tidal Current <i>(skip to Section VII)</i>	
☐ Biodiesel <i>(complete Section VI, questions 7-11)</i>	☐ Landfill Gas <i>(skip to Section VII)</i>	☐ Ocean Wave <i>(skip to Section VII)</i>																	
☐ Biomass <i>(complete Section VI, questions 8-11)</i>	☐ Municipal Solid Waste, combustion <i>(complete Section VI, question 21)</i>	☐ Ocean Thermal <i>(skip to Section VII)</i>																	
☐ Digester Gas <i>(skip to Section VII)</i>	☐ Municipal Solid Waste, conversion <i>(complete Section VI, questions 21-23)</i>	☐ Wind <i>(skip to Section VII)</i>																	
☐ Fuel Cell <i>(skip to Section VII)</i>	☐ Photovoltaic <i>(skip to Section VII)</i>																		
☐ Geothermal <i>(complete Section VI, questions 12-15)</i>	☐ Solar Thermal Electric <i>(skip to Section VII)</i>	☐ Hybrid System <i>(complete Section VI, questions 24-25)</i>																	
☐ Hydropower <i>(complete Section VI, questions 16-20)</i>	☐ Tidal Current <i>(skip to Section VII)</i>																		
6. Does/will this facility use any fossil fuel? ☐ Yes ☐ No If yes, please specify average annual percentage on a total heat input basis. If the facility has been operational, please provide the average annual percentage on a total heat input basis for the calendar year immediately prior to the date of application: _____ <i>Facilities that use fossil fuel must complete Section VI, questions 24-25 for hybrid systems.</i>																			
Section VI: Pre-Certification Additional Required Information for Specific Fuel Types																			
<i>Facilities using digester gas, fuel cell, landfill gas, photovoltaic, solar thermal, tidal current, ocean wave, ocean thermal, and wind technologies have no special fuel requirements. Applicants for facilities using these fuels or resources exclusively may skip to Section VII.</i>																			
<i>For Biodiesel Applicants</i>																			
7. Source of biodiesel fuel																			
Choose One	☐ Biodiesel derived from biomass fuel – answer questions 8-11. ☐ Biodiesel derived from MSW conversion process – answer questions 21-23.																		

For Biomass Applicants

8. Did the facility commence commercial operations prior to January 1, 2002?

☐ Yes, please note that facility is not eligible for SEPs

☐ No

9. Indicate current/anticipated source of biomass fuel supply (*check all that apply*):

☐ Agricultural crops and agricultural wastes and residues.

☐ Solid waste materials - Includes waste pallets, crates, dunnage, manufacturing and construction wood wastes; landscape or right-of-way tree trimmings; mill residues resulting directly from milling of lumber; rangeland maintenance residues; and sludge derived from organic sludge.

☐ Wood and wood wastes from forest timbering operations, including forest fuel fire reduction, and forest stand improvement.

☐ Wood and wood wastes that meet all of the following requirements (if a facility uses wood and wood wastes and the applicant seeks certification as SEP-eligible, the fuel must meet these criteria):

- 1) Harvested pursuant to an approved timber harvest plan prepared in accordance with the Z'berg-Nejedly Forest Practice Act of 1973 (Ch. 8 (commencing with Sec. 4511), Pt. 2, Div. 4, Public Resources Code).
- 2) Harvested for the purpose of forest fire fuel reduction or forest stand improvement.
- 3) Do not transport or cause the transportation of species known to harbor insect or disease pests outside zones of infestation or current quarantine zones, as identified by the Department of Food and Agriculture or the Department of Forestry and Fire Protection, unless approved by those agencies.

Facilities using these biomass fuels are eligible for the RPS, irrespective of the date they commenced commercial operations.

10. To be eligible for SEPs, an applicant for a "new" or "repowered" biomass facility must agree to use only eligible biomass fuel and to annually provide written attestations from its fuel supplier(s) documenting that the supplier(s) have delivered eligible biomass fuel to the facility. Applicant must also agree to provide documentation, or make documentation available upon request, to the Energy Commission verifying ongoing compliance with these requirements.

☐ Applicant acknowledges and agrees to comply with the above requirements as more fully described in the *Renewable Portfolio Standard Eligibility Guidebook*.

11. For biomass facility operators receiving SEPs only: You must submit an annual report to the Energy Commission describing fuel use as follows: tons of biomass by type of biomass, the air district from which the biomass originated if the fuel may have been open-field burned had it not been used for electricity production, and an attestation from the fuel supplier(s) that the biomass fuel continues to meet the RPS eligibility standards. The report is due to the Energy Commission on February 15th of each year to report on the biomass supply consumed in the previous calendar year.

☐ Applicant acknowledges and agrees to comply with the above requirements as more fully described in the *Renewable Portfolio Standard Eligibility Guidebook*.

For Geothermal Applicants

12. Date facility commenced/will commence commercial operations

Choose **One**

☐ Prior to September 26, 1996

Generation may be eligible for the RPS but only to establish or adjust a retail seller's baseline.

☐ Between September 26, 1996 and January 1, 2002

Generation may be eligible for RPS but not for SEPs.

☐ On or after January 1, 2002

Generation may be eligible for both RPS and SEPs.

13. Are you applying for certification for incremental geothermal? ☐ Yes (<i>complete question 14</i>) ☐ No (<i>skip to Section VII</i>) <i>Incremental generation from geothermal facilities is eligible for the RPS but is limited to generation resulting from “eligible capital expenditures” as defined in the Renewables Portfolio Standard Eligibility Guidebook. Incremental geothermal generation may be eligible for SEPs to the extent that the generation meets criteria for a “new” or “repowered” facility.</i>	
14. Eligible capital expenditures	
Choose <i>all that apply</i>	☐ The capital expenditure results/will result in replaced generating equipment or increased steam converted to generation. ☐ The capital expenditure does not/will not cause an increase in the decline rate of the reservoir. ☐ The capital project was completed after September 26, 1996. <i>Only capital expenditures that meet all of the above criteria are considered “eligible.”</i>
15. Please attach the documentation specified in the section titled “Supplemental Instructions for Incremental Geothermal Facilities” in the <i>Renewables Portfolio Standard Eligibility Guidebook</i>.	
<i>For Hydropower Applicants</i>	
16. Facility size ☐ Applicant certifies that total facility size, including any incremental additions to original facility, does not/will not exceed 30 megawatts. <i>Only hydropower facilities 30 megawatts or less in size qualify for the RPS or RPS and SEPs.</i>	
17. Date facility commenced/will commence commercial operations (choose one) ☐ Facility commenced commercial operations prior to September 12, 2002 (<i>complete question 18</i>) ☐ Facility commenced/will commence commercial operations on/after Sept. 12, 2002 (<i>complete question 19</i>) ☐ Facility is “repowered” and re-entered/will re-enter commercial operation after September 12, 2002 (<i>complete questions 18-19</i>) <i>Generation may be eligible for RPS or RPS and SEPs</i>	
18. Was facility owned by, and/or its generation procured by, a retail seller as of September 12, 2002? ☐ Yes ☐ No <i>If yes, generation may be eligible only for purposes of establishing a retail seller’s RPS baseline. Facility’s generation may not be used for adjusting a retail seller’s baseline or meeting a retail seller’s annual procurement target.</i>	
19. “New” or “Repowered” Hydropower Facilities: please check all that apply:	
<i>Facility located within California</i> ☐ The applicant has a permit or license from the State Water Resources Control Board (SWRCB) to appropriate water, which was issued before September 12, 2002. ☐ The applicant can operate its proposed facility under its existing SWRCB permit or license. • <i>The facility does not require a new or revised permit from the SWRCB for a new appropriation of water.</i> • <i>The facility does not require a new permit or license from the SWRCB for a new diversion of water.</i> • <i>The facility will not require an increase in the volume or rate of water diverted that would require a new permit or license from the SWRCB.</i> ☐ The facility does not/will not require an increase in the volume or rate of water diverted under an existing right, even if such a change would not require a water right permit or license from the SWRCB.	<i>Facility located outside California</i> ☐ The applicant has a permit or license from the applicable governing body to appropriate water, which was issued before September 12, 2002. ☐ The applicant can operate its proposed project under its existing government-issued permit or license. • <i>The facility does not require a new permit or license from any government body for a new appropriation of water.</i> • <i>The facility does not require a new permit or license from any government body for a new diversion of water.</i> ☐ The facility does not/will not require an increase in the volume or rate of water diverted under an existing right, even if such a change would not require a new permit or license from any government body.

20. Please attach the documentation specified in the section titled "Supplemental Instructions for Small Hydropower Facilities" in the <i>Renewables Portfolio Standard Eligibility Guidebook</i>	
<i>For Municipal Solid Waste Applicants</i>	
21. Type of MSW Facility	
Choose One	☐ MSW combustion facility that meets the following criteria (<i>skip to Section VII</i>) <i>Generation is eligible for the RPS only if the facility is located in Stanislaus County and commenced commercial operations prior to September 26, 1996. Applicant must attach documentation to this application demonstrating that the facility meets both of these requirements. Generation from MSW combustion facilities is only eligible to establish or adjust a retail seller's RPS baseline.</i> ☐ MSW conversion facility (<i>answer questions 22-23</i>) <i>Facility uses or will use a non-combustion thermal process to convert MSW to a clean-burning fuel that is then used to generate electricity.</i>
22. MSW conversion facilities must meet all of the following criteria to be eligible for the RPS or RPS and SEPs. Please check all that apply: ☐ The technology does not/will not use air or oxygen in the conversion process, except ambient air to maintain temperature control. ☐ The technology does not/will not produce any discharges of air contaminants or emissions, including greenhouse gases as defined in Section 42801.1 of the Health and Safety Code. ☐ The technology does not/will not produce any discharges to surface or groundwaters of the state. ☐ The technology does not/will not produce any hazardous wastes. ☐ To the maximum extent feasible, the technology removes/will remove all recyclable materials and marketable green waste compostable materials from the solid waste stream before the conversion process and the owner or operator of the facility certifies that those materials will be recycled or composted. ☐ The facility at which the technology is used/will be used is in compliance with all applicable laws, regulations, and ordinances. ☐ The technology meets/will meet any other conditions established by the State Energy Resources Conservation and Development Commission. ☐ The facility certifies that any local agency sending solid waste to the facility diverted/will divert at least 30 percent of all solid waste it collects through solid waste reduction, recycling, and composting. ☐ The facility certifies that any local agency sending solid waste to the facility is/will be in compliance with Division 30 (Commencing with Section 4000), has reduced, recycled, or composted solid waste to the maximum extent feasible. (The California Integrated Waste Management Board must find that the facility has diverted at least 30 percent of all solid waste through source reduction, recycling, and composting.) Facilities must satisfy these criteria to be eligible for SEPs.	
23. Please attach the documentation specified in the section entitled "Supplemental Instructions for Municipal Solid Waste Conversion Facilities" in the <i>Renewables Portfolio Standard Eligibility Guidebook</i> .	
<i>For Hybrid System Applicants</i>	
24. Type of Hybrid System:	
Choose One	☐ Pumped Storage Hydropower (<i>identify energy source used for pumping</i>) _____ <i>Must use a renewable energy source to be eligible for RPS or RPS and SEPs; only the amount of energy dispatched to the transmission system is eligible.</i>
	☐ Other (<i>describe fuels used – attach additional sheets if necessary</i>) _____

25. For Hybrid Systems using fossil fuel (please select A or B)	
☐ A. Facility commenced commercial operations or was repowered before January 1, 2002:	
If you checked "A", choose one	☐ Applicant attests that the percentage of fossil fuel used in the facility does not/will not exceed 25 percent of the total annual energy input of the facility. <i>Facilities using fossil fuel that were operational or repowered prior to January 1, 2002 may use up to 25 percent fossil fuel and still have the total generation from their facility considered renewable and eligible for the RPS.</i> ☐ Percentage of fossil fuel used in the facility exceeds/will exceed 25 percent of the total annual energy input of the facility. <i>Only the renewable portion of electricity production may qualify for the RPS, and only once an appropriate tracking system is developed to monitor such production.</i> ☐ Facility was developed and awarded a power purchase contract as a result of a retail seller Interim RPS procurement solicitation approved by the California Public Utilities Commission, and applicant attests that the facility uses no more than 25 percent fossil fuel annually on a total energy input basis. <i>Facilities developed and awarded power purchase contracts as a result of a retail seller's Interim RPS procurement solicitation and approved by the CPUC may use up to 25 percent fossil fuel and count 100 percent of the electricity generated as RPS-eligible.</i>
☐ B. Facility commenced/will commence commercial operation or was/is repowered on or AFTER January 1, 2002:	
If you checked "B", choose one	☐ Facility is/will be certified as a Qualifying Small Power Production Facility (QF), and applicant attests that the facility satisfies the fossil fuel use limitations specified in PURPA. <i>Facilities certified as QFs under the federal Public Utilities Regulatory Policies Act may use up to 25 percent fossil fuel and count 100 percent of the electricity generated as RPS eligible provided the facility otherwise satisfies the applicable California RPS standards.</i> ☐ Facility is NOT certified as a Qualifying Small Power Production Facility but uses some percentage of fossil fuel. <i>Only the renewable portion of electricity production may qualify for the RPS, and only once an appropriate tracking system is developed to monitor such production.</i> ☐ Facility was developed and awarded a power purchase contract as a result of a retail seller's Interim RPS procurement solicitation approved by the California Public Utilities Commission, and applicant attests that the facility uses no more than 25 percent fossil fuel annually on a total energy input basis. <i>Facilities developed and awarded power purchase contracts as a result of a retail seller's Interim RPS procurement solicitation and approved by the CPUC may use up to 25 percent fossil fuel and count 100 percent of the electricity generated as RPS eligible.</i>
Section VII: Pre-Certification Repowered Facility Information	
26. Is applicant requesting pre-certification for RPS and SEP eligibility for a repowered facility that re-entered or will re-enter commercial operations after January 1, 2002? ☐ Yes. Answer questions 27 and 28. ☐ No. Skip to Section VIII	
27. Please indicate the method used to demonstrate compliance with the 80 percent threshold: ☐ Tax Records Methodology ☐ Replacement Value Methodology <i>Applicant must document the value of the capital investments made to the facility and the total value of the repowered facility, and the value of the capital investments must equal at least 80 percent of the total value of the repowered facility.</i>	
28. Generally describe the prime generating equipment replaced at the facility: _____ Please attach the documentation specified in the section titled "Supplemental Instructions for Repowered Facilities" in the <i>Renewables Portfolio Standard Eligibility Guidebook</i> . <i>The applicant must document that the facility's prime generating equipment is new. For a definition of each renewable resource's prime generating equipment, please see the Renewables Portfolio Standard Eligibility Guidebook.</i>	

Section VIII: Pre-Certification Out-of-State Facility Information

29. Is or will the facility's first point of interconnection to the WECC transmission system be located in California?

- ☐ Yes. Facility is considered an in-state facility for purposes of RPS and SEP eligibility. Skip to Section IX.
- ☐ No. Answer questions 30 – 34 UNLESS the facility is: 1) exclusively serving retail sellers subject to Public Utilities Code Section 399.17, or 2) is not yet on-line. If 1) or 2) applies, skip to Section IX.
- ☐ Other. Check here if the facility exclusively serves retail sellers subject to Public Utilities Code Section 399.17. Skip to Section IX.

30. Provide the facility NERC ID (Source point name) _____.

The NERC ID refers to the North American Electricity Reliability Council identification Source point name for this facility. The NERC ID is **required** to certify RPS eligibility of a facility that is located outside of California.

31. For RPS eligibility only, applicants for out-of-state facilities must submit documentation showing that the facility meets/will meet all of the following criteria (check all that apply):

- ☐ Facility has/will have guaranteed contracts to sell its generation to a retail seller or the California Independent System Operator (CA ISO).
- ☐ Facility can/will be able to demonstrate delivery of its generation to the in-state market hub/zone or in-state substation/node located within the CA ISO control area of the WECC transmission system (or located anywhere in California if applicable CPUC rules allow delivery outside CA ISO).
- ☐ Applicant agrees to participate in the Energy Commission's RPS tracking and verification system.

32. For SEP eligibility: Applicants for out-of-state facilities must submit documentation showing that their facility meets all of the following criteria (check all that apply, skip to question 33 if not seeking SEP eligibility).

- ☐ Facility is/will be located within the United States.
Facility may not cause or contribute to any violation of a California environmental quality standard or requirement.
- ☐ Facility is/will be located outside of the United States.
Facility must be developed and operated in a manner that is as protective of the environment as a similar facility located within California.
- ☐ Facility is/will be located so that it is/will be connected to the WECC transmission system.
- ☐ Facility is/will be developed with guaranteed contracts to sell its power to end use customers of California retail sellers during the period in which it will receive SEPs.
- ☐ Facility can/will demonstrate delivery of its generation to the in-state market hub/zone or in-state substation/node located within the CA ISO control area of the WECC transmission system (or located anywhere in California if applicable CPUC rules allow delivery outside CA ISO).
- ☐ Applicant agrees to participate in the Energy Commission's RPS tracking and verification system.

33. To be eligible solely for RPS or also for SEPs, an applicant for an out-of-state facility must agree to comply with the "Delivery Requirements" specified in the "Eligibility of Out-of-State Facilities" section of the *Renewables Portfolio Standard Eligibility Guidebook*.

- ☐ Applicant acknowledges and agrees to comply with the above requirements as more fully described in the *Renewables Portfolio Standard Eligibility Guidebook*.

34. Please attach the documentation specified in the section titled "Supplemental Instructions for Out-of-State Facilities" in the *Renewables Portfolio Standard Eligibility Guidebook*.

Section IX: Pre-Certification General Information

The Energy Commission reserves the right to request additional information to confirm or clarify information provided in this application including any attachments.

The Energy Commission's Accounting Office or its authorized agents, in conjunction with Energy Commission technical staff, may audit any applicant to verify the accuracy of any information included as part of an application for RPS or RPS and SEP pre-certification, pursuant to the *Overall Program Guidebook for the Renewable Energy Program*. As part of an audit, an awardee may be required to provide the Accounting Office or its authorized agents with any and all information and records necessary to verify the accuracy of any information included in the awardee's applications, invoices, or reports. An awardee may also be required to open its business records for on-site inspection and audit by the Accounting Office or its authorized agents for purposes of verifying the accuracy of any information included in the awardee's applications, invoices, and reports.

Pre-certified facilities must notify the Energy Commission promptly of any changes in information previously submitted to the Energy Commission. A facility failing to do so risks losing its pre-certification status. Any changes affecting the facility's pre-certification status should be reported on an amended CEC-RPS-1B form. If there are any changes to the status of a facility's pre-certification, the new information will be posted on the Energy Commission's Web site, and any affected retail seller contracting with that facility will be promptly notified.

Section X: Pre-Certification Signature

I am an authorized officer of the above-noted facility owner or a retail seller contracting with the above noted facility owner and hereby submit this application on behalf of said facility owner for pre-certification of the facility as a renewable facility eligible for California's RPS or pre-certification as eligible for California's RPS and SEPs. I have read the above information as well as the *Renewables Portfolio Standard Eligibility Guidebook*, the *Overall Program Guidebook for the Renewable Energy Program*, and the *New Renewable Facilities Program Guidebook* and understand the provisions of these guidebooks and my responsibilities. I acknowledge that the receipt of any pre-certification approval from the California Energy Commission is conditioned on the acceptance and satisfaction of all program requirements as set forth in the *Renewables Portfolio Standard Eligibility Guidebook* and the *Overall Program Guidebook for the Renewable Energy Program*. I declare under penalty of perjury that the information provided in this application and any attachments is true and correct to the best of my knowledge.

Applicant Name: _____

Applicant Title: _____

Signature: _____ Date signed: _____

REMINDER: HAVE YOU INCLUDED ALL NECESSARY ATTACHMENTS?

Supplemental Information is required for:

Biodiesel (New or Repowered)
Biomass (New or Repowered seeking SEP-eligibility)
Incremental Geothermal, Hydropower,
New or Repowered Municipal Solid Waste Conversion
Hybrids, Repowered Facilities, Out-of-State Facilities



Tab 1

CEC-RPS-2

Utility Application for Certification of Renewable Facility California Renewables Portfolio Standard Program

INSTRUCTIONS FOR COMPLETING FORM ARE PROVIDED ON TAB 3

Please complete all applicable fields on the Facility Information sheet (TAB 1), read and sign the attestation (TAB 2), and submit to:

**California Energy Commission, Attn: RPS Certification
1516 Ninth Street, MS-45, Sacramento, CA 95814**

May be submitted electronically via e-mail to:

RPSTrack@energy.state.ca.us, subject line "RPS Certification"

(If submitted electronically, an original signed copy of attestation, along with a hard copy of the completed form, must be submitted to the address above)

Form may used to certify multiple facilities

All data on this form is subject to public disclosure

Line #	Facility Name	Type of Certification Requested Please Check One				If renewal or amendment, date of original certification	Date of Facility Operation (m-dd-yyyy)	Physical Address			
		Pre	Initial	Amended	Renewal			Street	City	State	ZIP
1		☐	☐	☐	☐						
2		☐	☐	☐	☐						
3		☐	☐	☐	☐						
4		☐	☐	☐	☐						
5		☐	☐	☐	☐						
6		☐	☐	☐	☐						
7		☐	☐	☐	☐						
8		☐	☐	☐	☐						
9		☐	☐	☐	☐						
10		☐	☐	☐	☐						
11		☐	☐	☐	☐						
12		☐	☐	☐	☐						
13		☐	☐	☐	☐						
14		☐	☐	☐	☐						
15		☐	☐	☐	☐						

CEC-RPS-2

Utility Application for Certification of Renewable Facility California Renewables Portfolio Standard Program

Tab 1 Continued

Line #	If facility is located out of state, check here	Other Names Used by Facility	Technology	Supplemental Information (if applicable; specify category)	Percentage of Fossil Fuel Used, If Any	Nameplate Capacity (in megawatts)
1	☐					
2	☐					
3	☐					
4	☐					
5	☐					
6	☐					
7	☐					
8	☐					
9	☐					
10	☐					
11	☐					
12	☐					
13	☐					
14	☐					
15	☐					

CEC-RPS-2

Utility Application for Certification of Renewable Facility California Renewables Portfolio Standard Program

Tab 1 Continued

Line #	Other Identification Numbers Used by Facility						
	QFID	CEC-REP	CEC-RPS	CEC-Other	EIA	ISO	Other
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							

Utility Application for Certification of Renewable Facility
California Renewables Portfolio Standard Program

Tab 1 Continued

Line #	Facility Contact	Title	Company	Address	City	State	ZIP
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							

CEC-RPS-2

Utility Application for Certification of Renewable Facility California Renewables Portfolio Standard Program

Tab 1 Continued

Line #	Contact Person			Location of WECC Interconnection	Name of Person completing form (if different from Contact Person)	Title	Phone	E-mail
	Phone	Fax	E-Mail					
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								



CEC-RPS-2

Utility Application for Certification

California Renewables Portfolio Standard Program

ATTESTATION

TO BE COMPLETED BY AN AUTHORIZED UTILITY REPRESENTATIVE

The Energy Commission reserves the right to request additional information to confirm or clarify information reported in this application, and to verify the RPS eligibility of any facility identified in the application

The Energy Commission's Accounting Office or its authorized agents, in conjunction with Energy Commission technical staff, may audit any applicant to verify the accuracy of any information included as part of an application for RPS certification, pursuant to the Overall Program Guidebook for the Renewable Energy Program. As part of an audit, an awardee may be required to provide the Accounting Office or its authorized agents with any and all information and records necessary to verify the accuracy of any information included in the awardee's applications, invoices, or reports. An awardee may also be required to open its business records for on-site inspection and audit by the Accounting Office or its authorized agents for purposes of verifying the accuracy of any information included in the awardee's applications, invoices, and reports.

Certified and pre-certified facilities must notify the Energy Commission in a timely manner of any material changes in information previously submitted to the Energy Commission. A facility failing to do so risks losing its certification status. Any changes affecting the facility's certification status should be reported on an amended CEC-RPS-1 form. If there are any changes to the status of a facility's certification, the new information will be posted on the Energy Commission's website and any affected utility contracting with that facility will be promptly notified.

I am an authorized employee of (specify utility) _____

and hereby submit this application on behalf of the noted facilities, and the owners of these facilities, for certification as a renewable facility eligible for California's RPS or certification as eligible for California's RPS and SEPs. I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook, the Overall Program Guidebook for the Renewable Energy Program, and the New Renewable Facilities Program Guidebook and understand the provisions and my responsibilities. I acknowledge that the receipt of any certification approval from the California Energy Commission is conditioned on the acceptance and satisfaction of all program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook and the Overall Program Guidebook for the Renewable Energy Program. I declare under penalty of perjury that the information provided in this form and attachments is true and correct to the best of my knowledge.

Applicant Name: _____

Applicant Title: _____

Signature: _____

Date Signed: _____

Tab 3 Instructions for CEC-RPS-2

Explanation of fields used:

Line Number

Used to distinguish multiple certifications.

Facility Name

Specify the name under which the facility will be certified and that will appear on the facility's certificate of eligibility issued by the Energy Commission.

Type of Certification Requested:

Pre-certification - applies to developers of renewable facilities that are not yet on-line but who are seeking a preliminary determination that their facility will be eligible for the RPS and/or SEPs.

Certification - applies to renewable facilities that are on-line who wish to establish eligibility for the

Amended - applies to facilities already certified as eligible for the RPS and/or SEPs that have undergone material changes since being certified (for example, change of ownership, size of facility, etc.). Facilities that do not notify the Energy Commission in a timely manner of material changes

Renewal - certification must be renewed every two years to ensure that facilities remain eligible for

Date of Certification - For amended applications or applications for renewal, please specify the most recent certification date shown on the facility's certificate issued by the Energy Commission.

Physical Address

If no physical address exists, attach the legal description of the facility location.

If Facility is Located Out-of-State

Please check this box if the facility is located out-of-state, and attach documentation showing that the facility meets all criteria for out-of-state facilities described in the *Renewables Portfolio Standard*

Other Names Used by Facility

Please list all names previously used in the past by the facility, or specify if the facility is part of a group of facilities collectively known by one name. This information will help the Energy Commission to cross-reference facilities listed under multiple names and ensure that there is no double counting

Other Identification Numbers

Facilities may have one or more identification numbers already assigned by the CEC or other organizations. Please provide information per facility as applicable.

QFID - Refers to the unique identifier assigned by the utility contracting for power from the facility.

CEC-REP - Refers to the CEC ID# issued under the Renewable Energy Program.

CEC-RPS - Refers to the CEC ID# issued under the Renewables Portfolio Standard, if this application is an amendment or renewal.

CEC-Other - Refers to ID#s issued by the CEC for the programs other than the Renewable Energy Program or the Renewables Portfolio Standard Program, or for other purposes.

EIA - The number assigned by the Energy Information Administration and used by the facility to report monthly generation data the EIA.

ISO - The number assigned to the facility by the California Independent System Operator.

Tab 3 Instructions for CEC-RPS-2

Other - Please list any other identification numbers used by the facility.

Technology

Please specify one or more of the following:

- Biodiesel
 - Biomass
 - Digester Gas
 - Fuel Cell
 - Geothermal
 - Incremental Geothermal
 - Hydropower (pumped storage hydropower must meet requirements shown in the Renewables Portfolio Standard Eligibility Guidebook, page 16.
 - Landfill Gas
 - Municipal Solid Waste Combustion - A facility that directly combusts MSW to produce electricity is only eligible for the RPS if it is located in Stanislaus County and was operational prior to September 26, 1996. Applicants for combustion facilities must submit documentation to the Energy Commission demonstrating that the facilities meet these requirements. The generation from such facilities is eligible for the RPS only to initially establish or adjust an IOU's baseline quantity of eligible
 - Municipal Solid Waste Conversion (must meet criteria shown in the *Renewables Portfolio Standard Eligibility Guidebook*, pages 13-14.)
 - Photovoltaic
 - Solar Thermal Electric
 - Wind
 - Hybrid System (please elaborate)
 - Other (please elaborate)
-

Supplemental Information

Please submit the required supplemental information, as discussed in detail in the *Renewables Portfolio Standard Eligibility Guidebook*, pages 21-30, for facilities in the following categories:

- Repowers, all technologies
 - Out-of-State Power
 - Hybrid Systems
 - New Hydropower
 - New Biomass
 - Municipal Solid Waste
 - Incremental Geothermal
-

Percentage of Fossil Fuel Used, If Any

A facility that uses some portion of fossil fuel may be considered a hybrid facility if the facility uses more than a designated percentage of fossil fuel. Please refer to the *Renewables Portfolio*

- For facilities that began commercial operation before 1-1-02: all generation is eligible for the RPS as long as the percentage of fossil fuel used does not exceed 25 percent of the total energy input of
 - For facilities that began commercial operation after 1-1-02:
 - All generation from facilities using up to 2% fossil fuel may be eligible for the RPS
 - For facilities that use more than 2% fossil fuel, only the renewable portion of the electricity production may qualify for the RPS, and not until an appropriate tracking system for such electricity
-

Tab 3 Instructions for CEC-RPS-2

Nameplate Capacity (in megawatts)

Please enter the nameplate capacity of the entire facility.

Facility Contact

The facility contact is the contact person for any questions about the technical information about the facility submitted in the application for certification.

Date of Facility Operation (mm-dd-yyyy)

For facilities that are already on-line, enter the date the facility began commercial operations, defined as the date on which a renewable energy facility first delivers power for sale to the procuring retailer seller (consistent with the facility's power purchase contract with the retailer seller).

For facilities that are not yet on-line, enter the date the facility is anticipated to begin commercial

Location of WECC Interconnection

The WECC interconnection is the substation where radial lines from the facility interconnect/will interconnect to WECC-controlled transmission. See the delivery requirements in the *Renewables*

Name of Person completing form, Title, Phone, E-mail

Please enter the name and contact information for the person completing the form in case the Energy Commission has questions about information submitted on the form.

Appendix B - Acronyms

APT	—	annual procurement target
CA ISO	—	California Independent System Operator
CCA	—	community choice aggregator
CIWMB	—	California Integrated Waste Management Board
CPUC	—	California Public Utilities Commission
DG	—	distributed generation
ESP	—	electric service provider
IOU	—	investor owned utility
kWh	—	kilowatt-hour
LFG	—	landfill gas
MSW	—	municipal solid waste
MW	—	megawatt
MWh	—	megawatt-hour
NERC	—	North American Electricity Reliability Council
NRFP	—	New Renewable Facilities Program
PGC	—	Public Goods Charge
PG&E	—	Pacific Gas and Electric Company
PUC	—	Public Utilities Code
PV	—	photovoltaic
REC	—	Renewable Energy Credit
REP	—	Renewable Energy Program
RPS	—	Renewable Portfolio Standard
SB	—	Senate Bill
SCE	—	Southern California Edison Company
SDG&E	—	San Diego Gas and Electric Company
SEP	—	supplemental energy payments
SWRCB	—	State Water Resources Control Board
WECC	—	Western Electricity Coordinating Council

Appendix C - Summary of RPS Reporting Requirements

Reporting Party	Reporting Requirement	Due Date
Facility	Certification/ Pre-certification, CEC-RPS-1	Anytime
Out-of-State Facility	Compliance documentation of the NERC tag requirement	May1 , 2005, and annually thereafter
New or Repowered Biomass Facility (or Biodiesel facility using biomass)	Annual attestation from fuel supplier(s) stating verifying ongoing compliance with fuel requirements	February 15, 2005, and annually thereafter
Facility or retail seller	Renewal of Certification/Pre-certification	Once every two years. Facilities certified in 2004 must renew in January 2007. Facilities certified in 2005 must renew in January 2008 and so forth.
Facility or retail seller	Amendment of Certification/ Pre-certification (form to be developed)	As needed
Facility or retail seller	retail seller monthly payment statement showing the amount of energy procured reported annually to the Energy Commission	May1 , 2005, and annually thereafter until data are reported through WREGIS
retail seller	Report on Procurement, CEC-RPS-Track	June 15, 2004, and May 1, 2005, and annually thereafter until data are reported through WREGIS
retail seller	Utility Certification for Pre-Existing Contracts, CEC-RPS-2	Anytime until contract expires or is voluntarily re-negotiated



Tab 1

CEC-RPS-2

Utility Application for Certification of Renewable Facility California Renewables Portfolio Standard Program

INSTRUCTIONS FOR COMPLETING FORM ARE PROVIDED ON TAB 3

Please complete all applicable fields on the Facility Information sheet (TAB 1), read and sign the attestation (TAB 2), and submit to:

**California Energy Commission, Attn: RPS Certification
1516 Ninth Street, MS-45, Sacramento, CA 95814**

May be submitted electronically via e-mail to:

RPSTrack@energy.state.ca.us, subject line "RPS Certification"

(If submitted electronically, an original signed copy of attestation, along with a hard copy of the completed form, must be submitted to the address above)

Form may used to certify multiple facilities

All data on this form is subject to public disclosure

Line #	Facility Name	Type of Certification Requested Please Check One				If renewal or amendment, date of original certification	Date of Facility Operation (m-dd-yyyy)	Physical Address			
		Pre	Initial	Amended	Renewal			Street	City	State	ZIP
1		☐	☐	☐	☐						
2		☐	☐	☐	☐						
3		☐	☐	☐	☐						
4		☐	☐	☐	☐						
5		☐	☐	☐	☐						
6		☐	☐	☐	☐						
7		☐	☐	☐	☐						
8		☐	☐	☐	☐						
9		☐	☐	☐	☐						
10		☐	☐	☐	☐						
11		☐	☐	☐	☐						
12		☐	☐	☐	☐						
13		☐	☐	☐	☐						
14		☐	☐	☐	☐						
15		☐	☐	☐	☐						

CEC-RPS-2

Utility Application for Certification of Renewable Facility California Renewables Portfolio Standard Program

Tab 1 Continued

Line #	If facility is located out of state, check here	Other Names Used by Facility	Technology	Supplemental Information (if applicable; specify category)	Percentage of Fossil Fuel Used, If Any	Nameplate Capacity (in megawatts)
1	☐					
2	☐					
3	☐					
4	☐					
5	☐					
6	☐					
7	☐					
8	☐					
9	☐					
10	☐					
11	☐					
12	☐					
13	☐					
14	☐					
15	☐					

CEC-RPS-2

Utility Application for Certification of Renewable Facility California Renewables Portfolio Standard Program

Tab 1 Continued

Line #	Other Identification Numbers Used by Facility						
	QFID	CEC-REP	CEC-RPS	CEC-Other	EIA	ISO	Other
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							

Utility Application for Certification of Renewable Facility
California Renewables Portfolio Standard Program

Tab 1 Continued

Line #	Facility Contact	Title	Company	Address	City	State	ZIP
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							

CEC-RPS-2

Utility Application for Certification of Renewable Facility California Renewables Portfolio Standard Program

Tab 1 Continued

Line #	Contact Person			Location of WECC Interconnection	Name of Person completing form (if different from Contact Person)	Title	Phone	E-mail
	Phone	Fax	E-Mail					
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								



CEC-RPS-2

Utility Application for Certification

California Renewables Portfolio Standard Program

ATTESTATION

TO BE COMPLETED BY AN AUTHORIZED UTILITY REPRESENTATIVE

The Energy Commission reserves the right to request additional information to confirm or clarify information reported in this application, and to verify the RPS eligibility of any facility identified in the application

The Energy Commission's Accounting Office or its authorized agents, in conjunction with Energy Commission technical staff, may audit any applicant to verify the accuracy of any information included as part of an application for RPS certification, pursuant to the Overall Program Guidebook for the Renewable Energy Program. As part of an audit, an awardee may be required to provide the Accounting Office or its authorized agents with any and all information and records necessary to verify the accuracy of any information included in the awardee's applications, invoices, or reports. An awardee may also be required to open its business records for on-site inspection and audit by the Accounting Office or its authorized agents for purposes of verifying the accuracy of any information included in the awardee's applications, invoices, and reports.

Certified and pre-certified facilities must notify the Energy Commission in a timely manner of any material changes in information previously submitted to the Energy Commission. A facility failing to do so risks losing its certification status. Any changes affecting the facility's certification status should be reported on an amended CEC-RPS-1 form. If there are any changes to the status of a facility's certification, the new information will be posted on the Energy Commission's website and any affected utility contracting with that facility will be promptly notified.

I am an authorized employee of (specify utility) _____

and hereby submit this application on behalf of the noted facilities, and the owners of these facilities, for certification as a renewable facility eligible for California's RPS or certification as eligible for California's RPS and SEPs. I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook, the Overall Program Guidebook for the Renewable Energy Program, and the New Renewable Facilities Program Guidebook and understand the provisions and my responsibilities. I acknowledge that the receipt of any certification approval from the California Energy Commission is conditioned on the acceptance and satisfaction of all program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook and the Overall Program Guidebook for the Renewable Energy Program. I declare under penalty of perjury that the information provided in this form and attachments is true and correct to the best of my knowledge.

Applicant Name: _____

Applicant Title: _____

Signature: _____

Date Signed: _____

Tab 3 Instructions for CEC-RPS-2

Explanation of fields used:

Line Number

Used to distinguish multiple certifications.

Facility Name

Specify the name under which the facility will be certified and that will appear on the facility's certificate of eligibility issued by the Energy Commission.

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Tab 3 Instructions for CEC-RPS-2

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Tab 3 Instructions for CEC-RPS-2

Nameplate Capacity (in megawatts)

Please enter the nameplate capacity of the entire facility.

Facility Contact

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Date of Facility Operation (mm-dd-yyyy)

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