

## APPENDIX B - APPLICATION INSTRUCTIONS

This appendix provides comprehensive listings of the contents of an application for LIHI Certification. The materials described here and editable forms and tables are available for download at [www.lowimpacthydro.org/how-to-apply](http://www.lowimpacthydro.org/how-to-apply).

**Be sure to review the eligibility requirements in Section 2 of the Handbook before proceeding and contact LIHI staff for guidance and assistance in completing the application, following instructions in Sections 3, 4, 5 and 6 (if a recertification).**

The recommended approach for preparing an application package is as follows (see **Example Outline** below):

1. Provide an introductory narrative summary of the facility, its history, operations, location in the watershed and in relation to other dams, and a brief description of each ZoE. Include annotated maps, figures, and photographs that illustrate the facility layout and primary structures (e.g., dam, powerhouse, bypassed reach, fishways). Include one or more annotated aerial images that illustrate and delineate all ZoEs. If there are upstream and downstream dams, provide a map that locates those in relation to the facility.
  - a. For recertification applications, include a summary of any changes in facilities, structures, operations; and changes in facility requirements, obligations or agreements since the last LIHI Certification and describe them in detail for each Criterion and applicable ZoE (See #5 below). Even if previously provided to LIHI in annual compliance statements, provide a summary of the status of conditions attached to the current LIHI Certification including whether each condition has been fully satisfied or what aspects of each condition remain active and why, and include or provide links to relevant documents. Please also review the facility's webpage on the LIHI website ([www.lowimpacthydro.org](http://www.lowimpacthydro.org)) and provide any needed updates.
  - b. For "new" facilities describe how the facility meets the eligibility criteria in **Section 2** of the Handbook, and summarize all facility, equipment, and operational changes that occurred after August 1998.
2. Complete the facility description using **Table B-1.1** with facility-specific information, including the designation of all ZoEs in the appropriate section.
  - a. For multiple hydro developments included a single application see **Additional Information** below.
  - b. For pre-operational facilities please provide the additional information requested at the bottom of **Table B-1.1**.
3. Complete one Standards Matrix for each designated ZoE (**Table B-1.2.a**) or complete a consolidated

Standards Matrix for multiple ZoEs (**Table B-1.2.b**). Number the ZoEs consecutively starting with the upstream-most ZoE.

4. Using the standards selected, cut/paste the corresponding numbered rows in Tables B-2 through B-9 and provide detailed narrative and references to satisfy the applicable bulleted instructions. Group the tables by LIHI Criterion (e.g., discuss Criterion A – Ecological Flow Regimes for each ZoE and its selected standard, then discuss Criterion B – Water Quality for each ZoE, and so on). Where narrative text would be identical for different ZoEs, do not repeat the information, simply refer to the applicable text in another ZoE or note that the discussion applies to all or the identified ZoEs. Do not simply reference supporting documentation but summarize relevant information from and provide references to page numbers in supporting documents. If PLUS standards are requested, provide detailed narrative to justify the request and provide additional supporting documentation.
5. Provide a summary of any planned or unplanned deviations from, or violations of the FERC license, exemption, or other permit or authorization requirement (e.g., water quality certification) over the last five years. Indicate if each occurrence has or has not been resolved/corrected and include or provide links to relevant documents. For recertifications, this is needed even if such information was previously reported to LIHI in annual compliance statements.
6. Complete the **Sworn Statement and Waiver Form** (Appendix B.3) and the **Contacts Forms** (Appendix B.4).
7. Provide clearly named attachments or appendices containing supporting documentation that demonstrate compliance with existing regulatory requirements and that provide justification for how the facility meets each selected standard for each criterion in each ZoE (if different for different ZoEs). If documents are readily available electronically (e.g., from the FERC eLibrary or from state agency website), provide a list of relevant supporting documents with active weblinks to them. If any Critical Energy Infrastructure Information (CEII)<sup>1</sup> is included in an application, it should be placed in a separate document. Similarly, any privileged information (i.e., locational information about threatened and endangered species or cultural and historic resources) should be provided separately. All confidential documents should be submitted in pdf format and be clearly marked “Confidential – Do not Post”. If confidential information is imbedded in an application, both a public and non-public version of the application should be submitted and clearly identified as such.
8. Assemble all parts into a single document that includes a cover page, table of contents, and narrative text before or after the standards tables that explain how all LIHI criteria are satisfied. Fill-in forms and example applications are available on the LIHI website “[How to Apply](#)” page.

**Additional Information for multiple developments in a single application:**

- If there are only two or three developments (facilities) included in an application, all facility information can be combined into a single **Table B-1.1**. In each applicable table row, provide information for each facility starting from the upstream-most facility. If there are numerous

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<sup>1</sup> See <https://www.ferc.gov/legal/maj-ord-reg/land-docs/ceii-rule.asp>

facilities and a single **Table B-1.1** would be too onerous or complex, use separate tables for each facility or provide an alternative format that includes all required information.

- Provide the total nameplate capacity and average annual generation values for each facility and for the application as a whole.
- All ZoEs included in the application should be uniquely numbered from 1 to xx, from upstream to downstream, and identified as to which facility it belongs.
- All narrative and Tables B-2 through B-9 should be grouped by LIHI Criterion rather than by ZoE.

**Example Application Outline:**

1. Cover page
2. Table of contents
3. Introduction, facility description, compliance status, overview map(s)/image(s), description of ZoEs
  - a. **Table B-1.1**
  - b. Standards matrices for each ZoE (**Table B-1.2.a** or **Table B-1.2.b**)
4. Discussion of each Criterion and how the facility meets the selected standard in each ZoE:
  - a. Ecological Flows, use applicable portion for **Table B-2** for each ZoE
  - b. Water Quality, use applicable portion for **Table B-3** for each ZoE
  - c. Upstream Fish Passage, use applicable portion for **Table B-4** for each ZoE
  - d. Downstream Fish Passage, use applicable portion for **Table B-5** for each ZoE
  - e. Shoreline and Watershed Protection, use applicable portion for **Table B-6** for each ZoE
  - f. Threatened and Endangered Species, use applicable portion for **Table B-7** for each ZoE
  - g. Cultural and Historic Resources, use applicable portion for **Table B-8** for each ZoE
  - h. Recreational Resources, use applicable portion for **Table B-9** for each ZoE
5. Signed Sworn Statement and Waiver Form
6. Facility and Stakeholder Contact Forms
7. Appendices/Attachments
  - a. Additional figures, maps, photographs
  - b. Supporting letters, emails from resource agencies and/or stakeholders, if available
  - c. Supporting documents or hyperlinked list of documents available online

**\*NOTE:** Materials provided to LIHI as part of a pre-application consultation or during the intake review stage will be kept confidential, unless and until a complete certification application is submitted and public notice is made. Except in rare circumstances, all information submitted to LIHI and pertaining to a certification application provided to LIHI or its Executive Director will be available for public review and public access.