**APPLICATION INSTRUCTIONS**

This appendix provides comprehensive information about the required contents of an application for LIHI Certification. Editable forms and tables are subject to change and should be downloaded from [www.lowimpacthydro.org/how-to-apply](http://www.lowimpacthydro.org/how-to-apply) at the time of application.

Be sure to review the eligibility requirements in Section 2 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). Certified facilities that have not yet been recertified under the 2nd Edition Handbook should also follow these instructions. Separate instructions for recertification applications for facilities already certified under the 2nd Edition Handbook are provided in a separate section [below](#appBrecert).

**General Instructions**

The recommended approach for preparing an application package is as follows (see [Example Outline](#outline) below):

1. Provide an introductory narrative summary of the facility, its history, history of ownership with dates of ownership transfer, facility 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, turbines, 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 and indicate which are owned by the applicant’s parent company or other affiliated company.

For “new” facilities describe how the facility meets the eligibility criteria in [Section 2](#_ELIGIBILITY_REQUIREMENTS) and summarize all facility, equipment, and operational changes that occurred after August 1998.

1. Complete the Facility Information Table (Table 1.a or alternate Excel format Table 1.b) with facility-specific information, including the designation of all ZoEs in the appropriate section.
   1. For multiple hydro developments included a single application see [Additional Information](#addlinfomult) below.
   2. For pre-operational facilities please provide the additional information requested at the bottom of Table 1.a or 1.b.
2. Complete one Standards Matrix for each designated ZoE (repeat Table 2.a for each ZoE) or complete a consolidated Standards Matrix for multiple ZoEs (Table 2.b or Table 2.c for more complex facilities). Number the ZoEs consecutively starting with the upstream-most ZoE. Select the single most applicable numbered standard for each Criterion in each ZoE. Indicate if a PLUS standard for one or more criteria is being requested for each applicable ZoE.
3. Using the standards selected, cut/paste the corresponding numbered rows in Tables 3 through 10 (and the PLUS standard if applicable) into the application and provide detailed narrative references and supplementary documentation that demonstrates satisfaction of 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 ZoEs or to the identified ZoEs. Do not simply reference supporting documentation but summarize relevant information from it and provide references to page numbers in the supporting documents. If PLUS standards are requested, provide a detailed narrative to justify the request and provide additional supporting documentation that supports the request.
4. 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 ten years. Indicate if each occurrence has or has not been resolved/corrected and include or provide links to or copies of relevant documents. For recertifications, provide supplemental information not previously reported to LIHI in annual compliance statements (e.g., since the last compliance statement was submitted).
5. Complete the [Attestation and Waiver Form](#attestation) and the facility and agency/stakeholder Contacts Forms.
6. Provide clearly named attachments or appendices containing supporting documentation that demonstrates compliance with existing regulatory requirements and that provide justification for how the facility meets each selected standard for each criterion in each ZoE. If documents are readily available electronically (e.g., from the FERC eLibrary or from a state agency website), provide a list of relevant supporting documents with active weblinks to them. If any Critical Energy Infrastructure Information (CEII)[[1]](#footnote-1) 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”. 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.

Assemble all parts into a single document that includes a cover page, table of contents, facility description, and narrative text before or after the standards tables that explain how all LIHI criteria are satisfied, along with any attachments. Submit the application package via email. If you need assistance or if the application package is too large to send via email, please contact LIHI staff.

**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 Facility Information Table. In each applicable table row, provide information for each facility starting from the upstream-most facility. If there are numerous facilities and a single Table 1.a would be too onerous or complex, use separate tables for each facility or use the alternate Excel format, Table 1.b that includes all required information for each facility.
* Provide the total installed 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 information from Tables 3 through 10 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
   1. Table 1.a or the alternate Excel format, Table 1.b
   2. Standards matrices for each ZoE (Table 2.a repeated for each ZoE, or Table 2.b or Table 2.c)
4. Discussion of each Criterion and how the facility meets the selected standard in each ZoE:
   1. Ecological Flows, use applicable portion for Table 3 for each ZoE
   2. Water Quality, use applicable portion for Table 4 for each ZoE
   3. Upstream Fish Passage, use applicable portion for Table 5 for each ZoE
   4. Downstream Fish Passage, use applicable portion for Table 6 for each ZoE
   5. Shoreline and Watershed Protection, use applicable portion for Table 7 for each ZoE
   6. Threatened and Endangered Species, use applicable portion for Table 8 for each ZoE
   7. Cultural and Historic Resources, use applicable portion for Table 9 for each ZoE
   8. Recreational Resources, use applicable portion for Table 10 for each ZoE
5. Signed Attestation and Waiver Form
6. Completed Facility and Stakeholder Contact Forms (Tables 11 - 13)
7. Appendices/Attachments
   1. Additional figures, maps, photographs
   2. Supporting letters, emails from resource agencies and/or stakeholders, if available
   3. 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 pertaining to a certification application not identified as confidential will be available for public review.

***\*NOTE:*** The contents of the tables in this appendix may change over time. Applicants should use the most current revision of the [LIHI Handbook](https://lowimpacthydro.org/handbook-review/) and template forms posted on the LIHI [How to Apply](https://lowimpacthydro.org/how-to-apply/) page. Please check with LIHI staff if you are unsure of the current versions of documents and forms.

1. See <https://www.ferc.gov/legal/maj-ord-reg/land-docs/ceii-rule.asp> [↑](#footnote-ref-1)