

APPENDIX A
Civil Nuclear Credit Program
Certification Application and Bid
Submission Checklist

Civil Nuclear Credit Program

Certification Application and Bid

Submission Checklist

General Instructions:

- Calculate all requests for information past or future from the date of application.
 - Unless noted otherwise herein, information should be presented on an annual basis rather than averaged or aggregated over the time period indicated.
 - Represent all costs in nominal dollars.
 - Provide source of all data.
 - Provide copies of all workbooks, with no locked content and all formulae intact, which are used to generate the attachments provided in applications.
 - This checklist is for the benefit of Applicant only, and is not required to be returned to the DOE.
 - Files should be named according to the following format. If a naming convention and format is not provided for a part of a deliverable, the information will be requested as part of the application submission form on the website.
- *File naming Format: UEI Number_Reactor Name_Section Name from Checklist_Year if Required_Workbook*

General Application Information	File Name	Format
Nuclear Reactor name or designation.		
Nuclear Reactor location.		
Organization(s) that own(s) the Nuclear Reactor. If the Nuclear Reactor is owned by multiple organizations, please provide all relevant information including ownership percentages.		
NRC License number.		
Unique Entity Identifier (UEI) number.		
Year Nuclear Reactor was commissioned and the commercial operation date of each unit.		
Total number of reactor units located at the Nuclear Reactor site.		
Total Nuclear Reactor nameplate capacity (MW).		
Applicant's Primary Contact Name, Title, Address, Email, and Telephone Number.		
A copy of the Nuclear Reactor's federal license.	UEI Number_Reactor Name_NRC License	PDF
A signed copy of the application certification included in Appendix E. (Note: This will be uploaded as the last part of the application process).	UEI Number_Reactor Name_Appendix E	PDF

Projected to Cease Operations Due to Economic Factors	File Name	Format
Copies of public filings that satisfy the requirements set out in Section V of the Guidance.	UEI Number_Reactor Name_Notice of Cessation	PDF
A narrative description specifying how requirements in Section V of the Guidance have been met by the supplied documentation.	Same as file above.	
Competes in a Competitive Electricity Market	File Name	Format
Most recent completed year's revenue sources and amounts, percentage of total revenue represented by each source, and identification of which sources are derived from competitive electricity markets as described in Section V.2.	UEI Number_Reactor Name_Revenue Sources	Excel
Identification and description of what, if any, changes to existing commercial or other corporate organizational arrangements affecting sources of revenue the Applicant anticipates will occur between the most recent completed year and the conclusion of the Award Period.	UEI Number_Reactor Name_Revenue Changes	PDF
Demonstration that cost-of-service regulatory pathways that may be available to reduce the amount of revenue exposed to market risk such as tracking or balancing accounts, construction work in progress (CWIP) policies, or other rate recovery methods for the Nuclear Reactor are unavailable, exhausted, or already accounted for.	UEI Number_Reactor Name_Cost-of-Service Pathways	PDF
Economic Factors	File Name	Format
Narrative description with references to supporting documentation and economic calculations that clearly and in detail identifies the basis for the projection that the Nuclear Reactor is projected to cease operations due to economic reasons as described in Section VII.D.	UEI Number_Reactor Name_Economic Narrative	PDF
<i>Historical Annual Costs for Previous Five (5) Years</i>	<i>File Name</i>	<i>Format</i>
(a.) A table of historical annual expenditures and revenues for the Nuclear Reactor for the previous five (5) years, with line items for categories as described in Section VII.D(i)	UEI Number_Reactor Name_Historic Annual Operating Conditions_Year	Excel
(b.) Annual electricity generation for the previous five (5) years, in units of MWh, as reported to the EIA on Form 923.	Same as file above.	
(c.) Number of planned and unplanned outages over the previous five (5) years along with duration of each outage.	Same as file above.	

(d.) A calculation of historical annual net operating gain or loss over the previous five (5) years in \$/MWh, using the revenue and cost data provided in point (a) and the generation from point (b).	Same as file above.	
<i>Projected Annual Operating Loss Over the Award Period</i>	<i>File Name</i>	<i>Format</i>
Projected annual generation in MWh for the Award Period.	UEI Number_Reactor Name_Projected Operating Conditions_Year	Excel
Projected planned and unplanned outages assumptions.	Same as file above.	
Projected annual revenues in total dollars for the Award Period.	Same as file above.	
Projected annual costs in total dollars for the Award Period.	Same as file above.	
Projected annual going-forward capital costs, depreciated consistent with GAAP.	Same as file above.	
Identification and estimates of the portion of projected costs that are avoidable by retirement.	Same as file above.	
Projected monetized annual operating and market risk in dollars.	Same as file above.	
A detailed narrative explanation, including supporting workbooks and calculations, of how the costs of operational and market risks were calculated for each Award Year of the Award Period.	UEI Number_Reactor Name_Risk Explanation_Year	PDF
Supporting workbooks and calculations for above narrative.	UEI Number_Reactor Name_Risk Explanation Year Workbook	Excel
Projected average annual operating loss over the Award Period.	UEI Number_Reactor Name_Projected Annual Operating Loss	Excel
<i>Supporting Documentation and Descriptions</i>	<i>File Name</i>	<i>Format</i>
Signed attestation that submitted forecasts are consistent with Applicant's standard business practices. In the case of a joint Certification Application, attestation should be signed by each of the joint Applicants.	UEI Number_Reactor Name_Appendix E	PDF
Copies of any analysis, presentations, or assessments of past or projected financial performance of the Nuclear Reactor from the previous five (5) years.	UEI Number_Reactor Name_Financial Performance	PDF
Identification and description of any obligations or commitments the Nuclear Reactor has operated	UEI Number_Reactor Name_Obligations	PDF

in the past five (5) years and/or currently operates in any relevant RTO/ISO markets.		
A list of all active and anticipated contracts for capacity, energy, ancillary services, or environmental attributes and/or energy supply by the Nuclear Reactor.	UEI Number_Reactor Name_List of Contracts	PDF
Annual average Nuclear Reactor bid price in the annual capacity auctions over the previous five (5) years in \$/MW, including all capacity auction bids by year and any cost data submitted to the relevant RTO/ISO and relevant RTO/ISO Independent Market Monitor as part of a unit-specific review process.	UEI Number_Reactor Name_Capacity Auctions	PDF
Supporting cost data for above.	UEI Number_Reactor Name_Capacity Auctions_Workbook	Excel
A list of all data provided by the Applicant and related to the Nuclear Reactor to the FERC and NRC over the past five (5) years.	UEI Number_Reactor Name_Data Provided to FERC - NRC	PDF
A list of all audits performed on the Nuclear Reactor by internal employees, commissioned or performed by any governmental agency in the previous five (5) years.	UEI Number_Reactor Name_Audits Completed	PDF
A statement of all assumptions used in the revenue and cost projections for the Nuclear Reactor, including projected electricity market prices, forward and futures market prices, and a description of any differences.	UEI Number_Reactor Name_Assumptions Statement	PDF
<i>Additional Calculations and Documentation for State-Supported Reactors</i>	<i>File Name</i>	<i>Format</i>
A description of and citation to the state statute, regulation, or public contract that describes how payments from state programs would be reduced or replaced entirely if the Nuclear Reactor is allocated Credits.	UEI Number_Reactor Name_State Program Information	PDF
A recalculation of the Nuclear Reactor's projected average annual operating loss as described above, with the payments from state programs appropriately reduced or removed as defined by the applicable state statute, regulation, or public contract.	UEI Number_Reactor Name_State Funding Operating Loss	Excel
<i>Other Economic Factors Relevant to Reactor Retirement</i>	<i>File Name</i>	<i>Format</i>
The remaining useful life of the generating Nuclear Reactor.	UEI Number_Reactor Name_License Extension Requests	PDF

Supporting financial modeling for above.	Name File: UEI Number_Reactor Name_License Extension Requests_Workbook Format: Excel	Excel
Information on any planned license extension requests for the Nuclear Reactor, including any financial modeling done in association with such planning.	UEI Number_Reactor Name_License Extension Requests	PDF
Estimates of the costs that would be incurred by the Applicant to shut down the Nuclear Reactor, including identifying the portion of those costs that would be funded by the Nuclear Reactor's nuclear decommissioning trust funds and those that would be funded by the Applicant.	UEI Number_Reactor Name_Costs for Shut Down	Excel
Demonstrate the impact on ownership and Applicant's earnings during each of the next four (4) years, assuming the Nuclear Reactor shuts down. Include any financial impact(s) to the parent organization. A description demonstrating the impact on ownership and Applicant's earnings during each Award Year during the Award Period, assuming the Nuclear Reactor ceases operations. Include any financial impact(s) to the parent organization.	UEI Number_Reactor Name_Shut Down Impacts_Year	PDF
A description of the current status of the nuclear decommissioning trust fund for the Nuclear Reactor, including any shortfall of decommissioning funds resulting from the Nuclear Reactor's early retirement.	UEI Number_Reactor Name_Decommissioning Fund	PDF
Copies of any decommissioning activity reports filed with the NRC.	UEI Number_Reactor Name_Decommissioning Reports	PDF
Identify and describe all of the Applicant's commitments and obligations to the NRC that would be required in advance of a unit shutdown.	Same as above file.	
Indicate the earliest date the Applicant could access decommissioning trust funds in excess of 3 percent for the Nuclear Reactor.	Same as above file.	
Indicate the earliest date the Applicant could realistically shut down the Nuclear Reactor per NRC, relevant RTO/ISO, or other commitments and obligations.	Same as above file.	
Emissions Impact		
<i>Emissions Spreadsheet, Including:</i>	<i>File Name</i>	<i>Format</i>
(a.) A quantitative estimate using EPA's eGRID	UEI Number_Reactor	Excel

of total emissions (in tons) of each Air Pollutant in the eGRID subregion where the Nuclear Reactor is located. Three (3) years of annual estimates must be provided for the years 2018–2020 for CO ₂ , NO _x (annual), NO _x (ozone season), SO ₂ , CH ₄ , and N ₂ O and one (1) year of annual estimates for the year 2018 must be provided for PM _{2.5} as described in Section VII.E.	Name_Emissions Spreadsheet	
(b.) A quantitative estimate using EPA’s eGRID of total emissions (in tons) of each Air Pollutant at the plant level for the Nuclear Reactor.	Same as above file.	
(c.) A quantitative estimate using EPA’s eGRID of output emission rates (in lb/MWh) for CO ₂ , NO _x (annual), NO _x (ozone season), SO ₂ , CH ₄ , and N ₂ O for all fuels for the eGRID subregion where the Nuclear Reactor is located for the years 2018, 2019, and 2020.	Same as above file.	
(d.) A quantitative estimate using EPA’s eGRID of output emission rates (in lb/MWh) in eGRID for PM _{2.5} for all fuels for the eGRID subregion where the Nuclear Reactor is located for the year 2018.	Same as above file.	
(e.) The Facility ID, Plant State, eGRID subregion, and Total Generation (in MWh) at the plant level for the Nuclear Reactor for the years 2018, 2019, and 2020.	Same as above file.	
(f.) A quantitative estimate of historical annual emissions of each Air Pollutant should the Nuclear Reactor have ceased operation, calculated by multiplying the output emission rates in (c.) or (d.) by total generation in (e.) for the Nuclear Reactor for each year of requested data in (a.) – (e.) for the specific Air Pollutant.	Same as above file.	
(g.) A quantitative estimate for each Air Pollutant of future emissions should the Nuclear Reactor cease operation defined as the product of the annual emission rate for each Air Pollutant averaged across three (3) years from (c.) or the 2018 annual emission rate for PM _{2.5} from (d.) multiplied by annual projected generation for the next four (4) years (i.e. four annual estimates for each Air Pollutant) of the Nuclear Reactor as requested in Section VII.E.	Same as above file.	
Replacement Generation	File Name	Format
Provide a narrative, with supporting data if available, discussing which generation assets	UEI Number_Reactor Name Shutdown Emissions	PDF

would be likely to fulfill the capacity and energy requirements currently served by the Nuclear Reactor if the Nuclear Reactor were to shut down. Compare and describe any differences between the expected replacement generation emissions rates with the historical emissions rates reported in 1c above. Include consideration of known or expected future capacity additions in the relevant eGRID region, Federal and applicable regional, state, and local energy policies, as well as anticipated market trends, that may result in increased clean energy supply, energy efficiency, and electrification. Include assumptions, supporting data, and source information	Narrative	
Other Supporting Data	File Name	Format
Provide a list of submissions of data and documentation provided by the Applicant and related to the Nuclear Reactor and its surrounding property to state and Federal regulators, including permits, permit violations, enforcement actions, outstanding environmental compliance requirements, and remedial actions planned, ongoing, and completed over the past five (5) years to demonstrate that all standards and requirements are being met. DOE may require additional documentation of the Applicant.	UEI Number_Reactor Name_List of Regulatory Submissions	PDF
Uranium and Fuel Source	File Name	Format
Information and supporting documentation on the known source of the fuel to be used in the Nuclear Reactor during the Award Period.	UEI Number_Reactor Name_Uranium Sources	PDF
Supporting documentation for information reported above.	UEI Number_Reactor Name_Uranium Sources_Supporting	PDF, Excel
Calculation of percent domestic content for produced uranium, conversion, enrichment, and fabrication as described in Section VII.G.		
Calculation of Average Domestic Fuel Content as described in Section VII.G.	UEI Number_Reactor Name_Uranium Content	Excel
Post-Award Period Operations Plan	File Name	Format
A narrative description of the Applicant's plan to sustain operations in the Post-Award Period (I) without receiving additional Credits; or (II) with the receipt of additional Credits of a lower amount than the Credits allocated during the Award Period. Applicant's analysis should be consistent with the economic factor calculations	UEI Number_Reactor Name_Post-Award Sustainability Plan	PDF

submitted in accordance with Section VII.D.		
Estimate of revenue in \$/MWh that the Nuclear Reactor must achieve to sustain operations in the Post-Award Period given forecasts of future market conditions in the absence of additional Credits.		
Any existing policy barriers that prevent the Applicant from making changes to its business model or operations that would otherwise contribute to the Nuclear Reactor's ability to sustain operations after the Award Period.	UEI Number_Reactor Name_Policy Barriers	PDF
Workforce and Labor Considerations	File Name	Format
A written narrative describing workforce development and retainment efforts, as well as labor engagement, as described in Section VII.I.	UEI Number_Reactor Name_Workforce Narrative	PDF
A Diversity, Equity, Inclusion, and Accessibility plan with clear milestones that align to the Award Period.	UEI Number_Reactor Name_DEIA Plan	PDF
Community Engagement and Impact	File Name	Format
A written narrative describing community engagement efforts and impact, as described in Section VII.J.	UEI Number_Reactor Name_Community Engagement Narrative	PDF
Worker and community transition plans to prepare for the eventual closure of the plant.	UEI Number_Reactor Name_Closure Transition Plans	PDF
Credit Redemption Agreement	File Name	Format
Submit annotated red line of Credit Redemption Agreement or include a statement that the Credit Redemption Agreement in the form attached to the Guidance is acceptable to the Applicant.	UEI Number_Reactor Name_CRA Redline	MS Word
Bid Submission	File Name	Format
A completed copy of the Bid Sheet included in Appendix C.	UEI Number_Reactor Name_Appendix C	PDF
A signed copy of the bid certification included in Appendix D.	UEI Number_Reactor Name_Appendix D	PDF