

\$10 million available on a first-come, first-served basis
Applications accepted through December 31, 2005 by 5:00PM Eastern Time*

Effective January 1, 2005

NYSERDA announces its New Construction Program PON No. 913.

The New York State Energy Research and Development Authority (NYSERDA), as administrator of the **New York Energy SmartSM** program, requests applications from eligible building owners and leaseholders for financial incentives to improve the energy efficiency of new and renovated buildings.

\$10 million is available through this PON (Program Opportunity Notice) to conduct technical assessments of energy-efficiency measures in building designs and to offset up to **60%** of the incremental capital costs to purchase and **install** energy-efficient equipment in these buildings to reduce electric energy consumption. Applicants may choose among pre-qualified equipment, custom measure or whole building capital cost incentives. Applicants may also be eligible for technical assistance services to: conduct commissioning; install advanced solar and daylighting technologies; and evaluate green building and peak load reduction opportunities in their building projects. Incentives offered for projects are available on **a first-come first-served basis** and will be paid only if there are funds available and are not guaranteed. Limited incentives are available for projects that are in the latter stages of the design process (*e.g.*, construction documents and beyond).

Eligible Applicants are New York State electricity distribution customers of Central Hudson Gas & Electric Corp., Consolidated Edison Company of New York, Inc., New York State Electric & Gas Corporation, Niagara Mohawk Power Corporation, Orange and Rockland Utilities, Inc. and Rochester Gas and Electric Corporation.

APPLICATION SUBMISSION: Application packets must be clearly labeled, contain an original signature, and be mailed to the following address:

New Construction Program, PON No. 913
NYSERDA
17 Columbia Circle
Albany, NY 12203-6399

Questions can be directed to Marcia Chandler locally at (518) 862-1090, ext. 3412 or info@nyserdera.org, or toll-free 1-866-697-3732.

*Late, incomplete, or unsigned applications will be returned. Faxed or e-mailed applications will not be accepted. Applications, with an original signature, will be accepted on a first-come, first-served basis until **December 31, 2005** or until funds are fully committed, whichever comes first. Application forms are available directly from the NYSERDA website at http://www.nyserdera.org/programs/New_Construction/default.asp. Applications will not be accepted at any other location other than the address above. If changes are made to the program terms, notification will be posted on NYSERDA's website.

I. INTRODUCTION

A. OBJECTIVE

NYSERDA announces the continuation of a program to save electric energy in buildings by providing technical and financial incentives to Applicants to specify and install selected energy-efficient equipment or to erect buildings that exceed the energy efficiency of standard design practice as determined by NYSERDA and the minimum requirements of the New York State Energy Conservation Construction Code (Energy Code).

The NYSERDA New Construction Program (NCP) is designed to accelerate the incorporation of energy efficiency and renewable **energy** sources in the design, construction, and operation of commercial, industrial, institutional, and multifamily buildings. Encouraging improvements in energy efficiency and the use of renewable energy sources in building design and equipment specification will result in reduced electrical demand usage and cost. The goal of the program is to encourage permanent improvements in standard design practice among building designers and owners.

The NCP provides opportunities to implement permanent energy efficiency and load management improvements in building envelopes and major systems (*e.g.*, HVAC, lighting, controls, fans and pumps, etc.) at the time of new construction or substantial renovation. Capital cost incentives are available under this PON to Applicants to defray a portion of the incremental capital cost to purchase and install more energy-efficient or advanced equipment, and may cover up to 60% of the incremental costs of qualified energy-efficiency measures. The actual incentive is based upon the anticipated energy performance of the building.

Technical assistance incentives are available through this PON to Applicants and their design teams to assist in the evaluation of energy-saving options for each qualified project. **Incentives are also available to manage peak electrical demand in buildings, and to monitor and benchmark actual energy performance.**

Incentives **are available** to conduct building commissioning, to construct a qualified Green Building (for the purposes of this PON, “Green Building” is defined as a building that meets the requirements of the U.S. Green Buildings Council LEED® rating system) and to install advanced solar and daylighting technologies such as lighting controls, electrochromic glazing, light shelves, building overhangs, passive solar design features, and solar preheated ventilation.

Actual incentives are based upon the anticipated energy performance of the building. Interested Applicants should review the attached application forms and select from one of several ways to access incentives, which are based upon the complexity of the project and the schedule. Pre-qualified equipment (**set-rate**), Custom Measure (system-based) and Whole Building Design (**energy-modeling**) incentives are offered.

B. HIGHLIGHTED CHANGES FROM PREVIOUS PON 869

- **Maximum funding amounts have been reduced in several areas, including reduction in the maximum capital cost incentive from \$440,000 to \$375,000.**
- **Incentives for LEED® certified projects have been increased from 10% to 25%.**
- **New incentives are included for peak load reduction measures and for building performance monitoring and benchmarking.**
- **Additional LEED® incentives are included.**

C. AVAILABLE FUNDS

NYSERDA has up to a total of \$10 million available for incentives under this PON. Of this total, \$1 million is allocated to daylighting and advanced solar technologies. Applications will be accepted on a first-come, first-served basis until **December 31, 2005**. NYSERDA will review applications and any supporting technical studies, and provide written incentive offers to eligible Applicants. The timing of approval and incentive offers will depend upon available technical resources, individual building project schedules, Applicant cooperation and other factors beyond NYSERDA's control. Program funds will be allocated on a first-approved, first-funded basis as long as funds remain available. **Incentive offers are generally only valid for a one-year period from issue.**

The program terms offered through this PON apply to applications received after 5 p.m. **December 31, 2005.**

II. PROGRAM REQUIREMENTS

A. ELIGIBLE APPLICANTS

Applicants must sign a statement certifying that they are New York State electricity distribution customers of Central Hudson Gas & Electric Corp., Consolidated Edison Company of New York, Inc., New York State Electric & Gas Corporation, Niagara Mohawk Power Corporation, Orange and Rockland Utilities, Inc. or Rochester Gas and Electric Corporation, and that they pay the System Benefits Charge. Applicants in a negotiated rate class must also pay the System Benefits Charge in order to be eligible for this program and must certify so on their application. In no case will incentives under this program be paid to more than one Applicant for the same energy-efficiency measure within the same space. Applicants must sign a statement that they have legal authority to make energy efficiency improvements in the property that they own or will occupy. Eligible Applicants are defined as the owner of the building, a tenant/leaseholder with at least five years remaining on the lease, non-residential condominium owners occupying and holding title to space within the subject building, or non-residential cooperative shareholders having the right to occupy space within the subject building.

B. ELIGIBLE BUILDING PROJECTS

The focus of the New Construction Program is to improve electric energy efficiency in new buildings and substantial renovation projects. The following types of building projects are eligible for incentives under the program (one- to four-family dwellings are not eligible):

NEW CONSTRUCTION

Defined as a new building, or portion within a new building where a licensed professional architect or engineer has prepared and certified the building plans.

SUBSTANTIAL RENOVATIONS

Defined as one of the following types of projects where a licensed professional architect or engineer has prepared and certified the building plans:

- Change of use and reconstruction of an existing building or space within; or,
- Construction work of a nature requiring that the building or space within be out of service for at least 30 consecutive days; or,
- Reconstruction of a vacant structure or space within.

All other building projects not meeting these criteria, including equipment replacements, are ineligible for this program. Projects may qualify for one or more of other NYSERDA programs, such as: Peak-Load Reduction Program, Commercial / Industrial Performance Program, Smart Equipment Choices Program, or the **New York Energy SmartSM** Loan Fund. For more information on these programs, please check NYSERDA's website at www.nyserda.org/rddopps.html.

AS USED THROUGHOUT THE REMAINDER OF THIS SOLICITATION, "PROJECT" SHALL MEAN A PROJECT MEETING ALL ELIGIBILITY REQUIREMENTS AND FOR WHICH A SIGNED NEW CONSTRUCTION PROGRAM APPLICATION HAS BEEN SUBMITTED TO NYSERDA.

C. INCENTIVES AVAILABLE

Direct capital cost incentives **which are based upon building energy performance** cover a portion of the incremental equipment and installation costs beyond standard design practice costs. Advanced solar and renewable incentives cover a portion of the incremental equipment and installation costs beyond standard design practice. Technical assistance incentives cover a portion of the costs of energy analysis required to determine the feasibility of measures, to assist design teams **in identifying energy efficiency opportunities**, and to cover commissioning services.

1. Direct Capital Cost Incentives

All energy-efficiency measures must meet cost-effectiveness and benefit/cost criteria set by NYSERDA. Specific incentive levels for pre-qualified equipment for new construction and substantial renovation **projects** are identified in the Application Packet, Part 2. Capital cost incentives for Custom and Whole Building projects will be based upon the difference in predicted energy usage between a base-case building design and the expected improved building design as determined by NYSERDA. Capital cost incentives for advanced solar and daylighting will be based upon the incremental cost difference between base case design and the improved case design as determined by NYSERDA.

a. Pre-Qualified Equipment Incentives. Pre-approval and review by NYSERDA required. Refer to Part 2 of Application Packet.

This participation option is designed for small and medium-sized new construction and substantial renovation projects where the Applicant elects to apply for set incentives for pre-qualified equipment categories, or for projects past the design development stages where revisions to plans and specifications may be limited. Pre-qualified incentives for motors, lighting, HVAC equipment, geothermal heat pumps, variable speed drives and other measures are listed on Part 2 of the application form. Applicants must complete and submit Parts 1 and 2 of the Application Packet to NYSERDA for approval prior to the purchase and installation of equipment. The maximum total incentive under this approach is \$50,000 per project, except for geothermal incentives which are capped at **\$120,000** per project. Incentives are paid after installation and project completion, and upon Applicant submission of required documentation.

b. Custom Measure Incentives. Pre-approval and review by NYSERDA required. Refer to Part 3 of the Application Packet.

This participation option is designed for Applicants **who are not yet beyond the project schematic design phase** and who elect to pursue energy efficiency opportunities beyond pre-qualified incentives. Applicants must complete and submit Parts 1 and 3 of the Application Packet to NYSERDA for approval prior to the purchase and installation of equipment. Incentive offers may be calculated by NYSERDA based upon the energy-savings opportunities identified for each specific project. Incentives are capped at 50% of the estimated incremental cost.

NYSERDA will not reduce a participant's costs to less than a one-year simple payback. The total incentive under the Custom Measure approach is **\$120,000** per project. Incentives are paid after installation and project completion, and upon Applicant submission of required documentation. **At a minimum, all individual HVAC measures must meet or exceed the current Energy Code.**

c. Whole Building Design Incentives. Pre-approval and review by NYSERDA required. Refer to Part 3 of the Application Form.

This participation option is designed for projects where the Applicant elects to examine the interactions between energy efficiency improvements throughout the entire building, and their effect on overall energy needs. **Projects must not be beyond the schematic design phase** to be eligible for Whole Building Design incentives which, will generally yield the highest level of incentives. Applicants must complete and submit Parts 1 and 3 of the Application Packet to NYSERDA for approval **prior to completion of the schematic design phase**. Incentive offers will be calculated by NYSERDA based upon the energy savings opportunities identified for the specific project and will be based upon energy savings. Incentives are capped at **60%** of the estimated incremental cost **except for those projects that receive LEED® certification, as described in the following section.**

The maximum capital cost incentive under this approach is **\$300,000** per project, with a single measure capital cost incentive cap of **\$200,000**. **For building projects which are LEED® certified, capital cost incentives will be increased by 10%, up to a maximum of \$330,000 per building, with a single measure capital cost cap of \$220,000. For projects that achieve 4 or more points in the Optimize Energy Efficiency category and which are LEED® certified, the capital cost incentives will be increased by 25%, up to a maximum of \$375,000 per building, with a single measure capital cost cap of \$250,000.** Capital cost incentives are capped at 60% of the estimated incremental cost, except for LEED® certified projects which are capped at 75% of incremental costs. Capital cost incentives are also subject to a limitation that the maximum incentive award provided by NYSERDA will not reduce participant's costs to less than a one-year simple payback. Incentives are paid after installation and project completion, and upon Applicant submission of required documentation. **At a minimum, all individual HVAC measures must meet or exceed the current Energy Code.**

d. Advanced Solar and Daylighting Incentives

NYSERDA will provide incentives of up to \$200,000 per project for design and installation of advanced solar and daylighting technologies only in Custom and Whole Building Design projects. Incentives are capped at **60%** of the estimated **incremental capital cost.**

e. Peak Load Incentives

NYSERDA will provide incentives to Applicants who have a participating Whole Building Design or Custom Measure project in which additional features are incorporated to provide for management of peak load consumption. These features may include, but are not limited to, EMS systems with load control features, dedicated load/circuits designed to automatically curtail load (e.g., perimeter lighting, signage and lobby lighting), or other load curtailment technologies. At a minimum, the Applicant must agree to participate in a demand reduction program offered by the New York State Independent System Operator (NYISO) Demand Reduction Program for a period of two years. Minimum project size shall be at least 100kW of curtailable load. In addition, Applicants must install a Public Service Commission-approved advanced interval meter that is capable of recording a minimum of two years of building data. Incentives for projects in

the Consolidated Edison service area will be \$100 per kW curtailed peak summer load or 60% of calculated incremental costs for additional features, whichever is less. Incentives for projects outside the Consolidated Edison service area will be \$50 per kW curtailed peak summer load or 60% of calculated incremental costs for additional features, whichever is less. These incentives are in addition to capital cost incentives as outlined above in Section C.1. a-d.

Up to \$50,000 of Technical Assistance Services is also available through NYSERDA approved contractors to identify peak load reduction opportunities and to develop a load curtailment plan (see section 2d. below).

f. Applicant LEED® Incentives

On eligible projects for which an application has been submitted to NYSERDA, and that are LEED® certified by the US Green Buildings Council as a Green Building, Applicants are eligible for a flat-rate incentive in the amount of \$7,500 for projects under 50,000 square feet in area and \$15,000 for projects equal to or larger than 50,000 square feet. Under the LEED® criteria, the project must score a minimum of two points in the Optimize Energy Efficiency category in order to qualify for this incentive. This award is available on all projects, including those for which cost-shared Technical Assistance from NYSERDA is provided.

g. Energy Benchmarking Incentives

(Applicants under previous New Construction Program PON's 459, 593, 815 and 869 are eligible for this incentive ONLY.) NYSERDA will provide incentives to Applicants who have a participating project and agree to post-occupancy evaluation of the buildings' energy performance within two years after the building is operational. This evaluation will require the review of the prior years' energy bills and may include the installation of metering equipment and other monitoring as determined by NYSERDA, and at NYSERDA's cost. At a minimum, the benchmarking will include an assessment of performance using EPA's national energy performance rating system under the ENERGY STAR® program. Benchmarking incentives will be paid to participating Applicants equal to a maximum of 10% of the capital cost incentives identified in Section C.1, Sections A-C (Direct Capital Cost Incentives) under this PON or 100% of estimated incremental costs, whichever is less. For previous Applicants under PON's 459, 593, 815 or 869, benchmarking incentives will be paid equal to a maximum of 10% of the actual capital cost incentives paid by NYSERDA or 100% of estimated incremental costs, whichever is less.

2. Technical Consulting Incentives

Applicants must complete and submit Part 1 and Part 3 of the Application Form to NYSERDA for approval before any Technical Consulting services can be offered. Technical Consulting incentives offered by NYSERDA include Technical Assistance; Building Commissioning Services and Green Buildings Services; Peak Load Reduction Services; and Applicant Design Team and Applicant LEED® Incentives.

a. Technical Assistance

NYSERDA will provide incentives for the provision of expert Technical Assistance (TA) services to Applicants and their design teams to assess opportunities to participate through Custom Measure and Whole Building Design approaches and to identify eligible capital cost incentives. Applicants may be eligible for up to \$5,000 of technical assistance provided by consultants retained by NYSERDA at no cost to the Applicant. For projects with greater

technical assistance needs, NYSERDA will cost-share 50% of the assistance costs in excess of \$5,000, up to a maximum NYSERDA contribution of \$100,000.

NYSERDA will direct a TA provider to prepare a scope of work and budget for review and approval by the Applicant prior to delivery of TA services. Under NYSERDA direction, TA providers will conduct assessments of potential energy savings measures and design features to limit energy usage, peak demand loads, or to deploy advanced solar and daylighting technologies. TA providers may also perform computer energy modeling of the building project designed to standard practice (base case) to compare the energy savings to an improved building design. In addition, TA providers may conduct benchmarking of the proposed project performance for comparison to ENERGY STAR[®] or other similar national standards.

b. Building Commissioning Services

NYSERDA requires commissioning on all projects receiving incentive awards over \$100,000. NYSERDA will pay the first \$5,000 and will cost-share 50% of the remaining costs up to a maximum NYSERDA contribution of \$50,000 for commissioning services. Applicants may elect to have required commissioning services provided by their design team, however, cost sharing will not be available from NYSERDA.

c. Green Buildings Services

NYSERDA will provide incentives for Green Buildings Technical Assistance for eligible projects on a 50% cost-shared basis, up to a maximum NYSERDA contribution of \$50,000. NYSERDA will direct a consultant with Green Buildings experience to prepare a scope of work and budget for review and approval by the Applicant and NYSERDA prior to delivery of services. The scope of this work will, at a minimum, cover materials analysis and selection recommendations. If requested by the Applicant, the scope may include identification of LEED[®] requirements and ENERGY STAR[®] benchmarking.

d. Peak Load Reduction Services

NYSERDA will provide incentives for the provision of TA services through a NYSERDA approved contractor to assess Peak Load Reduction strategies and to prepare a building load curtailment plan. The focus of this load curtailment plan is to position customers to participate in various NYISO incentive Programs. Applicants may be eligible for up to \$5,000 of Peak Load Reduction Technical Assistance services provided by consultants retained by NYSERDA at no cost to the Applicant. For projects with greater technical assistance needs, NYSERDA will cost-share 50% of the assistance costs in excess of \$5,000, up to a maximum NYSERDA contribution of \$50,000.

e. Applicant Design Team Incentives

On projects under the Whole Building Design method that exceed the performance requirements of the Energy Code by a minimum of 15.1%, design team (Architect and/or Engineer of record) incentives are available. Incentives start at \$.01/kWh saved and increase up to a maximum of \$.04/kWh saved for projects that exceed the Energy Code by 30.1% or more, as detailed in Table 1. The maximum design team incentive under this approach depends upon the amount that performance exceeds the Energy Code, and ranges from \$5,000 to \$15,000.

D. LIMITATIONS

Applicants who obtain direct capital cost incentives through this PON may not obtain incentives for the same energy measure through any other **New York Energy SmartSM** program with the **possible** exception of the Loan Fund.

In order to make program funds as accessible as possible, Applicants may receive capital cost incentives for only one project under this PON. The maximum combined incentive from all categories for a project under this PON is limited to \$500,000 per Applicant.

Applicants participating in a performance contract agreement to implement EEMs will be ineligible to receive incentives for the same EEMs through this program.

Incentive offers from NYSERDA will only be made on projects where subject equipment and/or features have not been purchased or installed, or a solicitation to purchase or install has not been issued, as determined by NYSERDA. FOR PURPOSES OF THIS SOLICITATION, APPLICANTS THAT HAVE NOT SUBMITTED AN APPLICATION AND HAVE GONE OUT TO "BID" ARE NOT ELIGIBLE FOR ANY INCENTIVES.

Incentives available under this PON are for those energy efficiency measures which NYSERDA has determined exceed both standard practice and the minimum requirements of the 2002 Energy Code. Refer to the current standard practice document attached as part of this PON to determine standard practice. NYSERDA may adjust minimum program requirements or eligible measures based upon changes to the Energy Code, or other circumstances as determined by NYSERDA. Minimum program requirements, eligibility and incentive level changes will be posted to the NYSERDA web site (www.nyserda.org/funding/913pon.pdf) and be published in the New York State Contract Reporter two weeks in advance. No additional notice will be provided directly to Applicants or potential Applicants. NYSERDA reserves the right to evaluate each application against standard practice and program requirements to determine eligibility.

NYSERDA reserves the right to determine which project approach (Pre-Qualified, Custom Measure or Whole Building Design) best matches the size and energy savings potential of the project. NYSERDA reserves the right to limit cost-shared TA services and analysis approaches in order to maximize cost effectiveness.

Table 1.1 Summary of Capital Cost Incentives (PON 913)	
Capital Cost Incentives	Basis or Rates
Pre-qualified	Listed incentives that are generally 40% of incremental cost. Maximum \$50,000/project (except Ground Source Heat Pumps, which are capped at \$120,000 per project).
Custom Measure	Based on electric energy savings of measures. Maximum \$120,000 /project. No incentives for measures which reduce paybacks to less than one year. Incentive capped at 50% of incremental cost. \$.13/kWh saved ; \$240/ summer kW saved ; \$130/winter kW saved
Whole Building Design (all HVAC components must meet the 2002 Energy Conservation Construction Code of New York - no below-code tradeoffs allowed). Generally suited for projects with estimated annual energy bills over \$100,000. 1. Designs 10 to 15% above Energy Code 2. Designs 15.1% to 20% above Energy Code 3. Designs 20.1% to 25% above Energy Code 4. Designs 25.1% or more above Energy Code	Maximum \$300,000 per project (\$375,000 for Green Building). No incentives for measures which reduce paybacks to less than one year. Incentive capped at 60% (75% for LEED [®] certified buildings) of incremental cost. 1. \$.14/kWh, \$250/summer peak kW saved ; \$140/winter peak kW saved 2. \$.16/kWh; \$270/summer peak kW saved; \$150/winter peak kW saved 3. \$.18/kWh saved; \$290/summer peak kW saved; \$160/winter kW saved 4. \$.20/kWh saved; \$310/summer peak kW saved; \$170/winter peak kW saved
Advanced Solar and Daylighting	Maximum of 60% of incremental costs, up to maximum of \$200,000.
Peak Load Reduction	\$100 per peak kW curtailed summer load in the Consolidated Edison service area \$50 per peak kW curtailed summer load outside the Consolidated Edison service area
Applicant LEED[®] Incentives (Whole Building Design Only)	\$7,500 for buildings equal to or under 50,000 square feet; \$15,000 for buildings equal to or over 50,000 sf.
Benchmarking	Maximum of 10% of capital cost incentives or 100% of estimated incremental costs.

Table 1.2 Summary of Technical Consulting Incentives (PON 913)	
Technical Consulting - Requires the use of NYSERDA TA Provider. 1. Technical Assistance 2. Building Commissioning Services 3. Green Buildings Services 4. Peak Load Reduction services	1. NYSERDA pays first \$5,000, with 50% cost share of balance up to \$100,000. 2. NYSERDA pays first \$5,000, with 50% cost share of balance up to \$50,000. 3. NYSERDA cost shares 50% up to \$50,000. 4. NYSERDA pays first \$5,000, 50% cost share of balance up to \$50,000.
Applicant Design Team Incentives (Whole Building Design) A 15.1% to 20% above Energy Code B 20.1% to 25% above Energy Code C 25.1% to 30% above Energy Code D 30.1% or more above Energy Code	A \$.01/kWh saved, maximum \$5,000 B \$.02/kWh saved, maximum \$7,500 C \$.03/kWh saved , maximum \$10,000 D \$.04/kWh saved, maximum \$15,000E

III. APPLICATION REQUIREMENTS

Applicants should carefully review the attached program application forms regarding eligibility, submission requirements and all terms and conditions of the New Construction Program. Submission of a completed and signed application form with an original signature is required in order to be considered for either capital cost or technical assistance incentives under this PON. Faxed applications will not be accepted.

NYSERDA has retained several locally based Outreach Project Consultants (OPCs) to assist Applicants in participating in the New Construction Program. These OPCs **will initially contact and** work directly with program Applicants to determine eligibility, explore participation options, identify technical assistance needs, and assist in completing program applications.

IV. CAPITAL COST AWARDS

NYSERDA will provide written pre-approval of all qualified applications for capital cost incentives under this program. This pre-approval authorizes the Applicant to proceed with the solicitation, purchase and installation of the specific equipment and building features outlined in the approved application. NYSERDA will reserve the designated capital cost incentive funds for the Applicant, and reduce the remaining program fund balance accordingly.

Exceptions will be determined on a case-by-case basis. The Applicant will be asked to provide written certification that the equipment and building features have been installed. Upon NYSERDA review and approval of the completed application and any technical reports, a check will be issued to the Applicant. NYSERDA may elect to inspect any and all projects prior to final approval, and the Applicant must provide access to NYSERDA staff or contractors after project completion for possible measurement and verification. All building projects with approved incentive offers over \$50,000 will be inspected prior to payment.

V. GENERAL CONDITIONS

GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

Omnibus Procurement Act of 1992 - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development
Division For Small Business
30 South Pearl Street
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
30 South Pearl Street
Albany, NY 12245

VI. APPLICATION FORMS

This PON contains all application forms for the program:

APPLICATION PACKET contents:

- **Part 1 Application Form and Certification Statement**
- **Part 2 Pre-Qualified Incentive Worksheets**
- **Part 3 Custom/Whole Building Design Worksheets**

EXHIBIT A- TERMS AND CONDITIONS

EXHIBIT B - PROMPT PAYMENT POLICY STATEMENT

Downloadable forms are available through NYSERDA's website at
http://www.nyserda.org/programs/New_Construction/default.asp.

EXHIBIT A
NEW CONSTRUCTION PROGRAM
TERMS & CONDITIONS

1. Incentives

a) Subject to these Terms & Conditions, New York State Energy Research and Development Authority (“NYSERDA”) will pay incentives for the installation of EEMs in qualified building projects.

(b) "EEMs" are those electric energy efficiency measures described in the program application forms and site-specific Pre-Qualified, Custom or Whole Building Design measures that are approved by NYSERDA.

2. Eligibility

(a) Eligible applicants are New York State electricity distribution customers of Central Hudson Gas & Electric Corp., Consolidated Edison Company of New York, Inc., New York State Electric & Gas Corporation, Niagara Mohawk Power Corporation, Orange and Rockland Utilities, Inc. or Rochester Gas and Electric Corporation, and who have legal authority to make energy efficiency improvements in the property that they occupy or will occupy. Eligible applicants are defined as the building owner of the property, a tenant/leaseholder with at least five years remaining on the lease, non-residential condominium owners occupying and holding title to space within the subject building, or non-residential cooperative shareholders having the right to occupy space within the subject building. All applicants including those in a negotiated rate class, must pay the System Benefits Charge in order to be eligible for this program. Applicants must certify their eligibility on their application.

(b) EEMs can be installed only in a commercial, institutional, governmental, or multifamily building of five or more residential units (Building) which are located in the utility service areas listed in 2(a) above.

3. Approval and Installation Survey

(a) NYSERDA is not bound to pay any incentives unless NYSERDA approves the EEMs proposed by the Applicant. NYSERDA reserves complete discretion to approve or disapprove any proposed EEMs.

4. Incentive Amounts

(a) Before approving any incentive amounts requested by the Applicant, NYSERDA reserves the right to adjust or negotiate the incentive amount.

(b) Once an incentive is approved, NYSERDA will pay no more than the cost to the Applicant of purchasing and installing the EEMs, or the approved incentive amount, whichever is less.

(c) NYSERDA reserves the right to reduce the incentive amount if the quantity or cost of EEMs actually installed by the Applicant differs from the pre-approved amounts. Notwithstanding any other provision of these Terms and Conditions, NYSERDA reserves the right to seek a refund for incentives paid if, at any time, it learns that the agreed-to EEMs were not actually and properly installed or have subsequently been disconnected.

5. Cost of Equipment

Upon completion of the post installation inspection, and at any other time upon NYSERDA's request, the Applicant shall provide NYSERDA copies of all invoices (including all materials, labor, and equipment discounts) reflecting the costs of purchasing and installing the EEMs. The invoices shall

under this Agreement (the application and these Terms and Conditions). In addition, NYSERDA may request any other reasonable documentation or verification of the cost to the Applicant of purchasing and installing the EEM.

6. Incentive Payments

NYSERDA shall pay the capital cost incentive of the advanced solar and daylighting incentive upon receipt of Applicant's invoice in accordance with and subject to the provisions of NYSERDA's Prompt Payment Policy after all of the following conditions are met: (1) installation of the EEMs in the identified building project is completed; (2) all necessary documentation is provided; and (3) NYSERDA has verified installation costs and satisfactory installation of the EEMs, all in accordance with the specifications. Technical assistance incentives are offered as a cost-share by NYSERDA.

7. Follow-up Visits and On-Site Monitoring

(a) NYSERDA reserves the right to make a reasonable number of pre- and post-installation follow-up visits to the building (identified Building) during the 24 months following the actual completion date. Such visit(s) will be at a time convenient to the Applicant and made with at least one week advance notice to the Applicant by NYSERDA.

(b) The purpose of the follow-up visit(s) is to provide NYSERDA with an opportunity to evaluate the installed EEMs in order to determine the actual kW reduction and energy savings for program evaluation purposes.

8. Post-Installation Verification

NYSERDA is not bound to pay any incentives until it has performed a satisfactory post-installation verification of the installation. If NYSERDA determines that the EEMs were not installed in accordance with the application or in a manner that is consistent with the purpose of achieving energy savings, or if the installation was not consistent with generally accepted good engineering practices, NYSERDA may require changes before making any payments. NYSERDA will not pay incentives until it has been verified that the Applicant has received, as appropriate, final drawings, operation and maintenance manuals, and operator training.

9. Limited Scope of Review

The scope of review by NYSERDA of the design and installation of the EEMs is limited solely to determining whether program conditions have been met. It does not include any kind of safety review.

10. Changes in the Program

Notwithstanding paragraph 21(b), the program and these Terms & Conditions may be changed by NYSERDA at any time without notice. Approved applications, however, will be processed to completion under the Terms & Conditions in effect at the time of the approval by NYSERDA.

11. Installation Schedule Requirements

If the Applicant is not engaged in a continuous program of new construction or substantial renovation of the building project by the end of one year from the date NYSERDA accepts this Agreement (the application and these Terms and Conditions) NYSERDA may cancel this Agreement.

5. Cost of Equipment (Continued)

include a breakdown of all EEMs purchased for installation

12. Indemnification

The Applicant shall protect, indemnify, and hold harmless NYSERDA and the State of New York from and against all liabilities, losses, claims, damages, judgments, penalties, causes of action, costs and expenses (including, without limitation, attorney's fees and expenses) imposed upon or incurred by or asserted against NYSERDA or the State of New York resulting from, arising out of or relating to the performance of this Agreement. The obligations of the Applicant under this section shall survive any expiration or termination of this Agreement.

13. No Warranties

(a) NYSERDA does not endorse, guarantee, or warrant any particular manufacturer or product, and NYSERDA provides no warranties, expressed or implied, for any product or services. The Applicant's reliance on warranties is limited to any warranties that may arise from, or be provided by contractors, vendors, etc.

(b) The Applicant acknowledges that neither NYSERDA nor any of its consultants are responsible for assuring that the design, engineering and construction of the Building or installation of the EEMs is proper or complies with any particular laws (including patent laws), codes, or industry standards. NYSERDA does not make any representations of any kind regarding the results to be achieved by the EEMs or the adequacy or safety of such measures.

14. Limit of Incentive Payments

NYSERDA reserves the right, for any reason, to stop approving incentive applications at any time without notice.

15. Release by the Applicant

The acceptance by the Applicant of final payment shall release NYSERDA from all claims and liability the Applicant, its representatives, and assigns might otherwise have relating to this award.

16. Title to equipment

Title to all of the equipment purchased under this Agreement shall vest with the Applicant.

17. Application Does not Entitle Applicant to Participate

Submission of a completed application does not entitle the Applicant to program participation.

18. Vendor Selection

NYSERDA acknowledges that the Applicant may select any vendor or contractor to perform the work contemplated by this Application, even after the Application is submitted for approval by NYSERDA. NYSERDA expects the Applicant to competitively procure products and services related to this Agreement. Notwithstanding the foregoing, the Applicant acknowledges that NYSERDA has the right not to allow a vendor or contractor to participate in this program.

19. Removal of Equipment

The Applicant agrees, as a condition of participation in the program, to remove and dispose of the equipment being replaced by the EEMs in accordance with all laws, rules, and regulations.

20. Review of Specifications, Submittals and Drawings

The Applicant will provide NYSERDA with a copy of the specifications for the construction of the building projects that will be provided to the construction contractors. Such specifications must include the EEMs. NYSERDA may refuse to pay incentives if the specifications do not provide for installation of the EEMs consistent with good engineering and energy-efficient design practices. Applicant will, upon request by NYSERDA, provide a copy of the as-built drawings and equipment submittals for the Building. NYSERDA may refuse to pay incentives if the final submittals and drawings do not substantially reflect the installation of the EEMs consistent

with the original design intent as identified on the Applicant application and worksheets.

21. Miscellaneous

(a) This Agreement (the application and these Terms and Conditions) is the entire agreement between the parties and supersedes all other communications and representations.

(b) If either NYSERDA or the Applicant desires to modify this Agreement, the modification must be in writing and signed by an authorized representative of the party against which enforcement of the modification is sought.

22. Site-Specific Custom Measures

NYSERDA will only approve those site-specific Custom Measures EEMs that NYSERDA believes have cost-effective electric demand, and/or usage reduction potential. In any case, NYSERDA reserves sole discretion to approve or disapprove of any such EEMs proposed.

23. Incremental Installation Costs Recognized

NYSERDA will recognize incremental installation costs only to the extent that they are reasonable and actually incurred by the Applicant.

24. Contractor Performance Contract Agreements

Applicants participating in a performance contract agreement to implement EEMs will be ineligible to receive incentives for the same EEMs through this program.

25. Approval Notice

After an application is approved by NYSERDA or its authorized representative, the Applicant will receive written notification of the approved incentive amount and the date that the EEMs must be fully installed to qualify for incentive payments. Any EEMs installed prior to the issuance of NYSERDA's written approval will be deemed an unauthorized installation and NYSERDA will have no obligation to pay incentives for those EEMs.

26. Audit

The Applicant shall keep, maintain, and preserve for a period of three years after receipt of the incentives, full and detailed books, accounts, costs, cancelled checks, contracts and records pertaining to the performance of this Agreement, and the costs incurred including copies of cancelled checks for services and equipment pertaining to this agreement. NYSERDA shall have the right from time to time and at all reasonable times during this period to inspect and audit any and all books, accounts and records at the office or offices of the Applicant where they are then being kept, maintained and preserved. Any payment made under this Agreement shall be subject to retroactive reduction for amounts included therein which are found by NYSERDA on the basis of any audit of the Applicant by an agency of the United States, State of New York or NYSERDA not to constitute an allowable change or cost hereafter.

EXHIBIT B

PART 504

PROMPT PAYMENT POLICY STATEMENT

Section 504.1 Purpose and applicability. (a) The purpose of this Part is to implement section 2880 of the Public Authorities Law by detailing the authority's policy for making payment promptly on amounts properly due and owing by the authority under contracts. This Part constitutes the authority's prompt payment policy statement as required by that section.

(b) This Part generally applies to payments due and owing by the authority to a person or business in the private sector under a contract it has entered into with the authority on or after May 1, 1988. This Part does not apply to payments due and owing:

- (1) under the Eminent Domain Procedure Law;
- (2) as interest allowed on judgments rendered by a court pursuant to any provision of law except Section 2880 of the Public Authorities Law;
- (3) to the Federal government; to any state agency or its instrumentalities; to any duly constituted unit of local government, including but not limited to counties, cities, towns, villages, school districts, special districts or any of their related instrumentalities; to any other public authority or public benefit corporation; or to its employees when acting in, or incidental to, their public employment capacity;
- (4) if the Authority is exercising a legally authorized set-off against all or part of the payment; or
- (5) if other State or Federal law or rule or regulation specifically requires otherwise.

Section 504.2 Definitions. As used in this Part, the following terms shall have the following meanings, unless the context shall indicate another or different meaning or intent:

(a) "Authority" means the New York State Energy Research and Development Authority.

(b) "Contract" means an enforceable agreement entered into between the Authority and a contractor.

(c) "Contractor" means any person, partnership, private corporation, or association:

- (1) selling materials, equipment or supplies or leasing property or equipment to the Authority pursuant to a contract;

(2) constructing, reconstructing, rehabilitating or repairing buildings, highways or other improvements for, or on behalf of, the Authority pursuant to a contract; or

(3) rendering or providing services to the Authority pursuant to a contract.

(d) "Date of payment" means the date on which the Authority requisitions a check from its statutory fiscal agent, the Department of Taxation and Finance, to make a payment.

(e) "Designated payment office" means the Office of the Authority's Controller, located at 17 Columbia Circle, Albany, New York 12203.

(f) "Payment" means provision by the Authority of funds in an amount sufficient to satisfy a debt properly due and owing to a contractor and payable under all applicable provisions of a contract to which this Part applies and of law, including but not limited to provisions for retained amounts or provisions which may limit the Authority's power to pay, such as claims, liens, attachments or judgments against the contractor which have not been properly discharged, waived or released.

(g) "Prompt payment" means a payment within the time periods applicable pursuant to Sections 504.3 through 504.5 of this Part in order for the Authority not to be liable for interest pursuant to Section 504.6.

(h) "Payment due date" means the date by which the date of payment must occur, in accordance with the provisions of Sections 504.3 through 504.5 of this Part, in order for the Authority not to be liable for interest pursuant to Section 5.06.

(i) "Proper invoice" means a written request for a contract payment that is submitted by a contractor setting forth the description, price or cost, and quantity of goods, property or services delivered or rendered, in such form, and supported by such other substantiating documentation, as the Authority may reasonably require, including but not limited to any requirements set forth in the contract; and addressed to the Authority's Controller, marked "Attention: Accounts Payable," at the designated payment office.

(j)(1) "Receipt of an invoice" means:

(i) if the payment is one for which an invoice is required, the later of:

(a) the date on which a proper invoice is actually received in the designated payment office during normal business hours; or

(b) the date by which, during normal business hours, the Authority has actually received all the purchased goods, property or services covered by a proper invoice previously received in the designated payment office.

- (ii) if a contract provides that a payment will be made on a specific date or at a predetermined interval, without having to submit a written invoice the 30th calendar day, excluding legal holidays, before the date so specified or predetermined.

(2) For purposes of this subdivision, if the contract requires a multifaceted, completed or working system, or delivery of no less than a specified quantity of goods, property or services and only a portion of such systems or less than the required goods, property or services are working, completed or delivered, even though the Contractor has invoiced the Authority for the portion working, completed or delivered, the Authority will not be in receipt of an invoice until the specified minimum amount of the systems, goods, property or services are working, completed or delivered.

(k) "Set-off" means the reduction by the Authority of a payment due a contractor by an amount equal to the amount of an unpaid legally enforceable debt owed by the contractor to the Authority.

Section 504.3 Prompt payment schedule. Except as otherwise provided by law or regulation or in Sections 504.4 and 504.5 of this Part, the date of payment by the Authority of an amount properly due and owing under a contract shall be no later than 30 calendar days, excluding legal holidays, after such receipt.

Section 504.4 Payment procedures. (a) Unless otherwise specified by a contract provision, a proper invoice submitted by the contractor to the designated payment office shall be required to initiate payment for goods, property or services. As soon as any invoice is received in the designated payment office during normal business hours, such invoice shall be date-stamped. The invoice shall then promptly be reviewed by the Authority.

(b) The Authority shall notify the contractor within 15 calendar days after receipt of an invoice of:

- (1) any defects in the delivered goods, property or services;
- (2) any defects in the invoice; and
- (3) suspected improprieties of any kind.

(c) The existence of any defects or suspected improprieties shall prevent the commencement of the time period specified in Section 504.3 until any such defects or improprieties are corrected or otherwise resolved.

(d) If the Authority fails to notify a contractor of a defect or impropriety within the fifteen calendar day period specified in subdivision (b) of this section, the sole effect shall be

that the number of days allowed for payment shall be reduced by the number of days between the 15th day and the day that notification was transmitted to the contractor. If the Authority fails to provide reasonable grounds for its contention that a defect or impropriety exists, the sole effect shall be that the payment due date shall be calculated using the original date of receipt of an invoice.

(e) In the absence of any defect or suspected impropriety, or upon satisfactory correction or resolution of a defect or suspected impropriety, the Authority shall make payment, consistent with any such correction or resolution and the provisions of this Part.

Section 504.5 Exceptions and extension of payment due date. The Authority has determined that, notwithstanding the provisions of Sections 504.3 and 504.4 of this Part, any of the following facts or circumstances, which may occur concurrently or consecutively, reasonably justify extension of the payment due date:

- (a) If the case of a payment which a contract provides will be made on a specific date or at a predetermined interval, without having to submit a written invoice, if any documentation, supporting data, performance verification, or notice specifically required by the contract or other State or Federal mandate has not been submitted to the Authority on a timely basis, then the payment due date shall be extended by the number of calendar days from the date by which all such matter was to be submitted to the Authority and the date when the Authority has actually received such matter.
- (b) If an inspection or testing period, performance verification, audit or other review or documentation independent of the contractor is specifically required by the contract or by other State or Federal mandate, whether to be performed by or on behalf of the Authority or another entity, or is specifically permitted by the contract or by other State or Federal provision and the Authority or other entity with the right to do so elects to have such activity or documentation undertaken, then the payment due date shall be extended by the number of calendar days from the date of receipt of an invoice to the date when any such activity or documentation has been completed, the Authority has actually received the results of such activity or documentation conducted by another entity, and any deficiencies identified or issues raised as a result of such activity or documentation have been corrected or otherwise resolved.
- (c) If an invoice must be examined by a State or Federal agency, or by another party contributing to the funding of the contract, prior to payment, then the payment due date shall be extended by the number of calendar days from the date of receipt of an invoice to the date when the State or Federal agency, or other contributing party to the contract, has completed the inspection, advised the Authority of the results of the inspection, and any deficiencies identified or issues raised as a result of such inspection have been corrected or otherwise resolved.

- (d) If appropriated funds from which payment is to be made have not yet been appropriated or, if appropriated, not yet been made available to the Authority, then the payment due date shall be extended by the number of calendar days from the date of receipt of an invoice to the date when such funds are made available to the Authority.

Section 504.6 Interest eligibility and computation. If the Authority fails to make prompt payment, the Authority shall pay interest to a contractor on the payment when such interest computed as provided herein is equal to or more than ten dollars. Interest shall be computed and accrue at the daily rate in effect on the date of payment, as set by the New York State Tax Commission for corporate taxes pursuant to Section 1096(e)(1) of the Tax Law. Interest on such a payment shall be computed for the period beginning on the day after the payment due date and ending on the date of payment.

Section 504.7 Sources of funds to pay interest. Any interest payable by the Authority pursuant to this Part shall be paid only from the same accounts, funds, or appropriations that are lawfully available to make the related contract payment.

Section 504.8 Incorporation of prompt payment policy statement into contracts. The provisions of this Part in effect at the time of the creation of a contract shall be incorporated into and made a part of such contract and shall apply to all payments as they become due and owing pursuant to the terms and conditions of such contract, notwithstanding that the Authority may subsequently amend this Part by further rulemaking.

Section 504.9 Notice of objection. Unless a different procedure is specifically prescribed in a contract, a contractor may object to any action taken by the Authority pursuant to this Part which prevents the commencement of the time in which interest will be paid by submitting a written notice of objection to the Authority. Such notice shall be signed and dated and concisely and clearly set forth the basis for the objection and be addressed to the Vice President, New York State Energy Research and Development Authority, at the address set forth in Section 504.2(e). The Vice President of the Authority, or his or her designee, shall review the objection for purposes of affirming or modifying the Authority's action. Within 15 working days of the receipt of the objection, the Vice President, or his or her designee, shall notify the contractor either that the Authority's action is affirmed or that it is modified or that, due to the complexity of the issue, additional time is needed to conduct the review; provided, however, in no event shall the extended review period exceed 30 working days.

Section 504.10 Judicial Review. Any determination made by the Authority pursuant to this Part which prevents the commencement of the time in which interest will be paid is subject to judicial review in a proceeding pursuant to Article 78 of the Civil Practice Law and Rules. Such proceedings shall only be commenced upon completion of the review procedure specified in Section 504.9 of this Part or any other review procedure that may be specified in the contract or by other law, rule, or regulation.

Section 504.11 Court action or other legal processes. (a) Notwithstanding any other law to the contrary, the liability of the Authority to make an interest payment to a contractor pursuant to this Part shall not extend beyond the date of a notice of intention to file a claim, the date of a notice of a claim, or the date commencing a legal action for the payment of such interest, whichever occurs first.

(b) With respect to the court action or other legal processes referred to in subdivision (a) of this section, any interest obligation incurred by the Authority after the date specified therein pursuant to any provision of law other than Public Authorities Law Section 2880 shall be determined as prescribed by such separate provision of law, shall be paid as directed by the court, and shall be paid from any source of funds available for that purpose.

Section 504.12 Amendments. These regulations may be amended by resolution of the Authority, provided that the Chair, upon written notice to the other Members of the Authority, may from time to time promulgate nonmaterial amendments of these regulations.

NEW CONSTRUCTION PROGRAM

APPLICATION PACKET

- PART 1: PROJECT APPLICATION, (PART 1, PAGES 1-2)**
PART 2: PRE-QUALIFIED INCENTIVES WORKSHEETS, (PART 2, PAGES 1-11)
PART 3: CUSTOM/WHOLE BUILDING INCENTIVES WORKSHEETS,
- **ENERGY EFFICIENCY OPPORTUNITIES (PART 3, PAGES 1-6)**



Marcy Hall and Hunter Hall
State University of New York, Binghamton

Program Opportunity Notice (PON) 913
January 1, 2005 - December 31, 2005

Revised January 1, 2005

NEW CONSTRUCTION PROGRAM

Guidelines for Completing Application

Please Note:

- Regardless of the type of services/incentives interested in, **ALL Applicants must complete Part 1, Application Pages 1-2.**
- Applications must contain an Original Signature (Faxed copies are unacceptable.)

Instructions:

A. If ONLY Pre-Qualified Incentives are being requested:

- Step 1:** Complete the Application and sign the Agreement to Terms and Certification Statement (Part 1, Application Pages 1-2) Applications **MUST** contain an Original Signature. Faxed copies are unacceptable.
- Step 2:** Complete the appropriate Measure Worksheets (Part 2, Pages 1-11). *NYSERDA strongly recommends that the Measure Worksheets be completed with the assistance of the project design team (project architect and/or engineer).*
- Only complete worksheets which refer to the measures you plan to include into the design. (i.e. lighting, motors, variable speed drives, etc.)
 - Please be sure to include item counts, sizes, etc., on the appropriate worksheets.
 - Please be sure to transfer all totals to Part 2, Page 1, Pre-Qualified Incentives TOTALS (Summary)
- Step 3:** Mail all required application forms to:
- NYSERDA**
ATTN: New Construction Program Manager
17 Columbia Circle
Albany, NY 12203-6399

B. If Pre-Qualified Incentives and one or more of the following are requested:

(i.e. Custom Measures, Whole Building Design, Green Buildings Services, Building Commissioning Services, Advanced Solar and Daylighting, **LEED® Incentives, Benchmarking or Peak Load**)

- Step 1:** Complete the Application and sign the Agreement to Terms and Certification Statement (Part 1, Application Pages 1-2) Applications **MUST** contain an Original Signature. Faxed copies are unacceptable.
- Step 2:** (See Section A, Step 2 Above)
- Step 3:** Please review Part 3, Pages 1-6, with your design team, and check those measures you would consider implementing.
- Step 4:** Mail all required application forms to:
- New Construction Program Manager PON No. 913**
NYSERDA
17 Columbia Circle
Albany, NY 12203-6399

C. If ONLY one or more of the following are requested:

(i.e. Custom Measures, Whole Building Design, Green Buildings Services, Building Commissioning Services, Advanced Solar and Daylighting, **LEED® Incentives, Benchmarking or Peak Load**)

- Step 1:** Complete the Application and sign the Agreement to Terms and Certification Statement (Part 1, Application Pages 1-2) Applications **MUST** contain an Original Signature. Faxed copies are unacceptable.
- Step 2:** (See Section B, Step 3 above)
- Step 3:** Mail all required application forms to:
- NYSERDA**
ATTN: New Construction Program, PON No. 913
17 Columbia Circle
Albany, NY 12203-6399

<p>K. Payment Information (Required). Note: Payment shall only be made to the Applicant/Company Name</p> <p>Applicant/Company Name: _____</p> <p>Attention: _____</p> <p>Address 1 _____</p> <p>Address 2 _____</p> <p>City _____ State _____ Zip+4 _____</p>	
--	--

- I. Agreement to Terms and Certification Statement** (Applications MUST contain an Original Signature. Faxed copies unacceptable.)
1. The New York State Energy Research and Development Authority (NYSERDA) understands that the Applicant named below has undertaken a qualified new construction or substantial renovation project as set forth in this application:
 2. If Technical Consulting is requested, NYSERDA will arrange to provide technical services to support this application through the preparation of a written Scope of Work and budget by a NYSERDA-retained Technical Consultant. The Applicant will be asked to approve the Scope of Work. Applicants may be eligible for up to \$5,000 of technical assistance provided by consultants retained by NYSERDA at no cost to the Applicant. For projects with greater technical assistance needs, NYSERDA will cost-share 50% of the assistance costs in excess of \$5,000, up to a maximum NYSERDA contribution of \$100,000. Once approval is received from the Applicant on a specific Scope of Work, NYSERDA will authorize the Technical Consultant to proceed.
 3. The Applicant agrees to provide the Technical Consultant with access to the site and to construction documents. The Applicant and their Design Team agrees to assist the Technical Consultant by providing design materials and measure pricing information in a timely manner. As part of this arrangement, NYSERDA will oversee the Technical Consultant's progress in carrying out the work, ensure that the results conform to the Scope of Work, provide a review of the report prepared under the Scope of Work, and be available to address any relevant questions which arise during this project. **If payment is required by the Applicant, a separate agreement outlining any financial obligation will be sent to the Applicant for signature.** Signature of this application does not tie the Applicant to any financial obligation.
 4. NYSERDA will retain a copy of all materials or reports completed in accordance with the Scope of Work. Unless identified as confidential or proprietary by the Applicant, information contained in these materials or reports may be used for the purpose of promoting awareness and adoption of energy efficiency strategies, practices and technologies. NYSERDA does not provide any endorsement of the Technical Consultant's capabilities to provide services outside of the Scope of Work to be conducted pursuant to this program.
 5. NYSERDA is not responsible for the payment of any taxes assessed by federal, state or local governments on benefits conferred on the Applicant by NYSERDA. No party shall be liable to the others for any indirect, incidental or consequential damages.
 6. I certify that I am, or I am authorized to act on behalf of, the Applicant, and I certify that all information provided in this application, including any attachments, is true and correct to the best of my knowledge. I have reviewed the eligibility criteria and I understand that I will be required to provide additional information to NYSERDA and to verify individual equipment eligibility. I have read and understand the above Terms and Conditions which are part of this application and agree on behalf of the Applicant to abide by them. I certify that the Applicant is an electricity distribution customer of one of the following utilities: Central Hudson Gas & Electric Corp., Consolidated Edison Company of New York, Inc., New York State Electric & Gas Corporation, Niagara Mohawk Power Corporation, Orange and Rockland Utilities, Inc., or Rochester Gas and Electric Corporation and that I pay the System Benefits Charge directly, or, if I am a negotiated rate class customer, I further certify that the owner of the building or part thereof receiving benefits through this program pays the System Benefits Charge and will do so for at least the duration of the receipt of benefits under this program.

Applicant /Company Name _____

Authorized Signature _____ **Date** _____

Print Name & Title: _____

<p>For NYSERDA Use Only</p>	
<p>Date Stamp</p>	<p>Application Number: _____</p> <p>Project Manager: _____</p> <p>OPC: _____</p> <p>TA: _____</p>

Applicant Name: _____

Building Name: _____

Pre-Qualified Incentives - Summary Table

Pre-Qualified Incentives:

- Pre-Qualified Incentives are available for selected measures listed in this section.
- Provide information on those measures you plan to incorporate into the design, including item counts, sizes, etc. on the appropriate worksheets.
- Provide a total of all incentives requested.

Pre-Qualified Incentives Requested - Please attach the appropriate worksheet(s)

Lighting Incentives	\$ _____
HVAC Incentives	\$ _____
Geothermal Incentives	\$ _____
Differential Enthalpy Economizer Controls and DCV Sensors Worksheet	\$ _____
Motors Incentives	\$ _____
VSD Incentives	\$ _____
Heat Pump Water Heaters Incentives	\$ _____
TOTAL	\$ _____

Please Note:

- *If ONLY Pre-Qualified Incentives are being requested, please return worksheets with completed Part 1, Application.*

Applicant Name: _____

Building Name: _____

Lighting System Worksheet					
<ul style="list-style-type: none"> • Completing the Lighting Worksheet: Fill in the appropriate fields in the worksheet. To calculate the TOTAL INCENTIVE, multiply the COUNT (quantity of installed equipment) by the UNIT INCENTIVE and enter this amount in the TOTAL INCENTIVE column. The sum of the TOTAL INCENTIVE amounts is entered in the TOTAL LIGHTING WORKSHEET REQUESTED INCENTIVE field at the bottom of the lighting worksheet. • General Eligibility Requirements for Lighting Systems and Controls: All equipment must be new. Used or rebuilt equipment is not eligible. 					
<p>High Performance Fluorescent Fixtures Guidelines * Required system efficacy ≥ 90 Mean Lumens Per Watt (MLPW) for instant start or ≥ 88 MLPW for programmed rapid start-ballast.</p>					
High Performance (“SUPER”, “ULTIMATE”, “ULTRA”, “EXTREME”) T-8 Fluorescent Fixtures			Count	Unit Incentive	Total Incentive
Fixtures with High Performance electronic ballasts and T8 lamps, 4' to 8' length only, not more than four lamps per fixture. At 40% life, the lamp/ballast combination shall have a maintained luminous efficacy of ≥ 90 lumens per watt. Fixtures must also include high performance energy-efficiency characteristics*	HPSEF-1	Single-lamp High Performance T-8 fixtures		\$10 per fixture	
	HPSEF-2	Two-lamp High Performance T-8 fixtures		\$10 per fixture	
	HPSEF-3	Three-lamp High Performance T-8 fixtures		\$10 per fixture	
High-Efficiency Recessed or Surface Mounted Fluorescent Fixtures			Count	Unit Incentive	Total Incentive
Each eligible unit shall consist of an electronic ballast and not more than 3 lamps. Entire fixture must be new. 2' lamps, U-tubes and industrial strip fixtures are not eligible. Overall fixture efficiency shall exceed 83% for prismatic lensed fixtures and 75% for other fixture types. Fixture efficiency is calculated as the total lumen output of the lamps it operates, expressed as a percentage.	HEF-4	1, 2 or 3-lamp T-8 or T-5 fixture with electronic ballast		\$7 per fixture	
	HP HEF-4	1, 2 or 3-lamp T-8 fixture with electronic ballast. Fixture must also include high performance energy-efficiency characteristics*		\$12 per fixture	
	HEF-5	2 or 3-lamp T-8 or T-5 fixture with tandem-wired electronic ballast		\$7 per fixture	
	HP HEF-5	2 or 3-lamp T-8 fixture with tandem-wired electronic ballast. Fixture must also include high performance energy-efficiency characteristics*		\$12 per fixture	

Applicant Name: _____

Building Name: _____

High-Efficiency Low-Glare Recessed or Surface Mounted Fluorescent Fixtures		Count	Unit Incentive	Total Incentive
<p>Low-glare recessed or surface-mounted fixture with electronic ballast. Each eligible unit shall consist of an electronic ballast and not more than 3 lamps. Overall fixture efficiency shall exceed 60% for all fixture types. Fixture efficiency is calculated as the total lumen output of a fixture divided by the lumen output of the lamps it operates, expressed as a percentage. Fixtures must meet IES Recommended Practice number (RP-1) PREFERRED criteria (not to exceed 850 candelas per sq. meter at 55 degrees, 350 candelas per sq. meter at 65 degrees, and 175 candelas per sq. meter at 75 degrees), or the minimum glare requirements of the NYSERDA Small Commercial Lighting Program for the space in which they are installed as specified at: http://sclp.lightingresearch.org/sclp/pdf/minimum-criteria.pdf Entire fixture must be new.</p>	HEFLG-4	1, 2 or 3-lamp T-8 or T-5 fixture with electronic ballast	\$15 per fixture	
	HPHEFLG-4	1, 2 or 3-lamp T-8 fixture with electronic ballast. Fixture must also include high performance energy-efficiency characteristics*	\$20 per fixture	
	HEFLG-5	Two or Three lamp T-8 or T-5 fixture with tandem-wired electronic ballast	\$15 per fixture	
	HPHEFLG-5	Two or Three lamp T-8 fixture with tandem-wired electronic ballast. Fixture must also include high performance energy-efficiency characteristics*	\$20 per fixture	
Pendant and Wall-Mounted Indirect Fluorescent Fixtures		Count	Unit Incentive	Total Incentive
<p>Each eligible unit shall consist of a four-foot section containing not more than three T-8 or T-8 HO or two T-5 or T-5 HO lamps, with an indirect or indirect/direct light distribution. Overall fixture efficiency shall exceed 80%. Ceilings must be white and/or have minimum surface reflectivity of 80%. Fixtures must be installed according to manufacturer recommendations for spacing and suspension from ceiling. Entire fixture must be new. Fixture efficiency is calculated as the total lumen output of a fixture divided by the lumen output of the lamps it operates, expressed as a percentage.</p>	HEFLEBG-1	Fixtures with up to three T-8 or T-8 HO lamps with electronic ballast	\$10 per 4 ft. fixture	
	HPHEFLEB G-1	Fixtures with up to three T-8 lamps with electronic ballast. Fixture must also include high performance energy-efficiency characteristics*	\$15 per 4 ft. fixture	
	HEFLEBG-2	Fixtures with up to two T-5 lamps or T-5 HO lamps with electronic ballast	\$20 per 4 ft. fixture	

Applicant Name: _____

Building Name: _____

Fluorescent Fixture with Manufacturer Integrated Occupancy Controlled High-Low Switching			Count	Unit Incentive	Total Incentive
Each eligible unit shall be a T-8 or T-5 fluorescent fixture with electronic ballast and manufacturer-integrated occupancy sensor. Each eligible fixture shall contain a passive infrared and/or ultrasonic occupancy sensor that controls the ballasts and lamps within the fixture. Fixture controlled by "ON" overrides are NOT eligible.	IOCHL	Two or Three-lamp T-8 or T-5 fixture with electronic ballast and Manufacturer Integrated Occupancy Sensor		\$35 per fixture	
Fluorescent Lighting Controls			Count	Unit Incentive	Total Incentive
Each eligible unit shall be hardwired, passive infrared and/or ultrasonic wall-mounted occupancy detector. Installations must comply with manufacturer's guidelines on coverage and maximum controlled Watts. Occupancy sensors or installations with manual "ON" override capability are NOT eligible.	OC-1	Wall-Mounted Occupancy Sensors		\$10 per control	
Each eligible unit shall be hardwired, passive infrared and/or ultrasonic ceiling-mounted occupancy detector. Installations must comply with manufacturer's guidelines on coverage and maximum controlled Watts. Occupancy sensors or installation with manual "ON" override capability are NOT eligible.	OC-2	Ceiling-Mounted Occupancy Sensors		\$20 per control	
Each eligible unit shall consist of a photosensor that controls a minimum of 2 dimming ballasts and fluorescent lamps. Dimming shall be continuous or stepped at 4 or more levels. Systems controlled by "On/Off Overrides" are NOT eligible.	DC-1	Daylight controlled dimming or fluorescent systems		\$65 per control	
Each eligible unit shall consist of a photosensor that controls a minimum of 4 dimming ballasts and fluorescent lamps. Dimming shall be continuous or stepped at 4 or more levels. Systems controlled by "On/Off Overrides" are NOT eligible.	DC-2	Daylight controlled dimming of fluorescent systems		\$100 per control	
Each eligible unit shall be a hard-wired, passive infrared and/or ultrasonic occupancy detector that controls a minimum of 2 step-dimming (high-low) ballasts and fluorescent lamps. Ballast power consumption in "low" mode must not exceed 60% of full load. Occupancy sensors or installations controlled by "ON/OFF Overrides" are NOT eligible. Spaces under 250 square feet are NOT eligible.	OCHL	Occupancy controlled High-Low switching of fluorescent systems		\$30 per control	
HID Lighting Controls			Count	Unit Incentive	Total Incentive
Each eligible unit shall be a hardwired, passive infrared and/or ultrasonic occupancy detector that controls a minimum of 2 step-dimming (high-low) ballasts and HID lamps. Ballast power consumption in 'Low' mode must not exceed 70% of full load. Occupancy sensors or installations controlled by "ON/OFF Overrides" are NOT eligible. Spaces under 250 square feet are NOT eligible.	HIDLC	Occupancy controlled High-Low switching of HID		\$75 per control	
Each eligible unit shall consist of a photosensor that controls a minimum of 2 dimming ballasts and ID lamps. Dimming shall be continuous or stepped at 4 or more levels. Systems controlled by "ON/OFF Overrides" are NOT eligible.	HIDDL	Daylight controlled dimming of HID		\$100 per control	

Applicant Name: _____

Building Name: _____

High Bay T-8 and T-5 Fixtures for Interior Use <i>Please Note: Fixtures must be installed in a High Bay area with a minimum ceiling height of 15 feet.</i>			Count	Unit Incentive	Total Incentive
Each eligible unit shall have four or more lamps for T-8 fixtures, 4' to 8' length only. Fixture must be installed in a high bay area with minimum ceiling height of 15 feet. Minimum fixture efficiency of 84% for T-8 fixtures. Fixture efficiency is calculated as the total lumen output of a fixture divided by the lumen output of the lamps it operates, expressed as a percentage.	HB-1	Minimum of four T-8 or T-8 high output (T-8 HO) lamps per fixture		\$35 per fixture	
Each eligible unit shall have three or more high output (HO) lamps for T-5 fixtures, 4' to 8' length only. Fixture must be installed in a high bay area with minimum ceiling height of 15 feet. Minimum fixture efficiency of 91% for T-5 HO fixtures. Fixture efficiency is calculated as the total lumen output of a fixture divided by the lumen output of the lamps it operates, expressed as a percentage. Standard T-5 fixtures are NOT eligible.	HB-2	Minimum of three T-5 HO lamps per fixture. Only high output (T-5 HO) fixtures are eligible		\$35 per fixture	
HID High Pressure Sodium Fixtures for Exterior Use (Must be attached to Building) <i>Please Note: LPW is derived by the mean lamp lumens/lamp watts.</i>			Count	Unit Incentive	Total Incentive
Each eligible unit shall have a minimum mean efficacy of 55 mean LPW for lamps less than or equal to 100 watts, a minimum of 80 mean LPW for lamps between 100 watts and 400 watts and a minimum of 100 mean LPW for lamps greater than or equal to 400 watts. Entire fixture must be new.	HPS-1	High Pressure Sodium Fixtures		\$20 per fixture	
Pulse Start Metal Halide HID Fixtures for Interior Use <i>Please Note: LPW is derived by the mean lamp lumens/lamp watts.</i>			Count	Unit Incentive	Total Incentive
Each eligible unit shall consist of a pulse-start ballast with a matched metal halide lamp. Road and street lighting does NOT qualify. Lamps must have a minimum mean (maintained) efficacy as follows: 1) 40 LPW for lamps ≤ 150 Watts 2) 75 LPW for lamps between 150 Watts and 400 Watts 3) 80 LPW for sources ≥ 400 Watts.	HID-1	Pulse Start Metal Halide Fixture 150 Watts or Less		\$25 per fixture	
	HID-2	Pulse Start Metal Halide Fixture between 150 Watts and 400 Watts		\$25 per fixture	
	HID-3	Pulse Start Metal Halide Fixture 400 Watts or Greater		\$25 per fixture	
Pulse Start Metal Halide Fixtures for Exterior Use (Must be attached to Building) <i>Please Note: LPW is derived by the mean lamp lumens/lamp watts.</i>			Count	Unit Incentive	Total Incentive
Each eligible unit shall consist of a pulse start ballast with a matched metal halide lamp. Lamps must have minimum mean efficacy as follows: 1) 40 LPW for lamps ≤ 150 Watts 2) 75 LPW for lamps between 150 Watts and 400 Watts 3) 80 LPW for sources ≥ 400 Watts.	MH 100	100 Watt MH		\$60 per fixture	
	MH 150	150 Watt MH		\$60 per fixture	
	MH 175	175 Watt MH		\$60 per fixture	
	MH 250	250 Watt MH or Greater		\$60 per fixture	
TOTAL LIGHTING WORKSHEET REQUESTED INCENTIVE (ADD TOTAL INCENTIVE AMOUNTS)					\$ _____
Please attach lighting equipment quotes to this application containing: Product Model Number, Manufacturer, Product Specifications and Estimates for Purchase Price and Installation Labor Costs.					

PTAC and PTHP & Unitary HVAC larger than 20 Tons

Applicant Name: _____

Building Name: _____

HVAC Worksheets: Attach additional sheets if necessary	
<ul style="list-style-type: none"> • Completing the HVAC Worksheets: Fill in the appropriate fields in the worksheet. To calculate the TOTAL INCENTIVE, multiply the UNIT SIZE of the installed equipment, the equipment INCENTIVE, and the QUANTITY of installed equipment and enter this amount in the TOTAL INCENTIVE column. The sum of the TOTAL INCENTIVE column installed equipment should be entered in the TOTAL HVAC WORKSHEET field. • General Eligibility Requirements for HVAC Systems: Split and Unitary equipment must meet SEER or EER efficiency criteria. Heat pumps must meet EER and COP efficiency requirements to be eligible. Compressor or condenser replacements or window units are not eligible for incentives. 	

PTAC and PTHP Equipment Efficiency Levels and Incentive Levels			
Tons (Nominal)	Btuh	Minimum Efficiency (EER / COP)	Incentive (\$/ton)
0.58	7,000 or less	11.7 EER / 3.3 COP	\$45
0.75	7,000 to 9,500	11.3 EER / 3.2 COP	\$45
1.0	9,500 to 15,000	10.7 EER / 3.1 COP	\$45
1.25	15,000 or more	11.0 EER / 4.3 COP	\$45

PTAC and PTHP Equipment Incentive Summary							
Reason: N = New R = Replacement F = Failed	Equipment Type	Manufacturer and Model Number	A Unit Size (Tons)	B Unit Efficiency (EER or SEER/COP)	C Incentive \$/ton (Table)	D Quantity	E Total Incentive [A x C x D]
<i>Example:</i> N	PTHP	Acme, ABC123	0.75	11.4 EER/3.3 COP	\$45	2	(0.75*45*2) = \$680
1.							
2.							
3.							
TOTAL PTAC and PTHP INCENTIVE REQUESTED							\$ _____
Please attach equipment quotes to this application containing: Product Model Number, Manufacturer, Purchase Price and Installation Labor Costs.							

Unitary HVAC Equipment Larger than 20 Tons Efficiency Levels and Incentive Levels			
Unitary Equipment Size		Minimum Efficiency (EER / COP)	Incentive (\$/ton)
Tons	Btuh		
20.06 - 40	240,740 to 480,000	11.0 EER / 4.3 COP	\$125
40.06 - 75	480,740 to 900,000	11.0 EER / 4.3 COP	\$113
>75.06	>900,740	11.0 EER / 4.3 COP	\$106

Unitary HVAC Equipment Larger than 20 Tons Incentive Summary							
Reason: N = New R = Replacement F = Failed	Equipment Type	Manufacturer and Model Number	A Unit Size (Tons)	B Unit Efficiency (EER or SEER/COP)	C Incentive \$/ton (Table)	D Quantity	E Total Incentive [A x C x D]
<i>Example:</i> N	RTU-1	CH 300	300	11.5	125	1	\$37,500
1.							
2.							
3.							
TOTAL UNITARY HVAC INCENTIVE REQUESTED							\$ _____
Please attach equipment quotes to this application containing: Product Model Number, Manufacturer, Purchase Price and Installation Labor Costs.							

Applicant Name: _____

Building Name: _____

Air Source HVAC Equipment Worksheet			
Unitary Equipment Size		Minimum Efficiency (SEER/EER/HSPF or COP)	Incentive (\$/ton)
Tons	Btuh		
Single Phase ≤5.4	≤65,000	13.0 SEER / 8.0 HSPF	\$90
3 Phase ≤5.4	≤65,000	13.0 SEER and 11.0 EER / 8.0 HSPF	\$90
> 5.4 to 11.25	>65,000 to 135,000	11.0 EER /3.2 COP	\$90
> 11.25 to 20	>135,000 to 240,000	10.8 EER / 3.3 COP	\$90

Air Source HVAC Equipment Incentive Summary							
Reason: N = New R = Replacement F = Failed	Equipment Type	Manufacturer and Model Number	A Unit Size (Tons)	B Unit Efficiency (EER or SEER/COP)	C Incentive \$/ton (Table)	D Quantity	E Total Incentive [A x C x D]
<i>Example:</i> N	3 Phase	ABC105	5	13.2 EER	90	1	\$450
1.							
2.							
3.							
TOTAL AIR SOURCE HVAC INCENTIVE REQUESTED							\$ _____
Please attach equipment quotes to this application containing: Product Model Number, Manufacturer, Purchase Price and Installation Labor Costs.							

Water Source HVAC Equipment Worksheet			
Unitary Equipment Size		Minimum Efficiency (EER / COP)	Incentive (\$/ton)
Tons	Btuh		
≤5.4	≤65,000	14.0 EER / 4.6 COP	\$140
> 5.4 to 11.25	> 65,000 to 135,000	14.0 EER / 4.6 COP	\$127
> 11.25 to 20	> 135,000 to 240,000	14.0 EER / 4.6 COP	\$96

Water Source HVAC Equipment Incentive Summary							
Reason: N = New R = Replacement F = Failed	Equipment Type	Manufacturer and Model Number	A Unit Size (Tons)	B Unit Efficiency (EER or SEER/COP)	C Incentive \$/ton (Table)	D Quantity	E Total Incentive [A x C x D]
<i>Example:</i> N	Unitary	K2-150	8	14.3 EER	127	1	\$1,016
1.							
2.							
3.							
TOTAL WATER SOURCE HVAC INCENTIVE REQUESTED							\$ _____
Please attach equipment quotes to this application containing: Product Model Number, Manufacturer, Purchase Price and Installation Labor Costs.							

Applicant Name: _____ Building Name: _____

Geothermal Heat Pump Units Worksheet Efficiency Levels and Incentive Levels							
Size	Minimum Efficiency EER / COP			Incentive \$ / Ton			
All Sizes	ENERGY STAR® Heat Pumps 15.0 or greater EER AND a COP of 3.4 or greater			\$400			
All Sizes	14.5 to 14.99 AND a COP of 3.2 to 3.39			\$350			
Geothermal Incentive Summary							
Reason N = New R = Replacement F = Failed	Equipment Type	Manufacturer and Model Number	A Unit Size (Tons)	B Unit Efficiency (EER or SEER/COP)	C Incentive \$/ton (Table)	D Quantity	E Total Incentive [A x C x D]
<i>Example:</i> N	GSHP	ACME-15	15	15.3	400	1	\$6,000
1.							
2.							
3.							
4.							
TOTAL GEOTHERMAL INCENTIVE REQUESTED							\$ _____
Please attach equipment quotes to this application containing: Product Model Number, Manufacturer, Purchase Price and Installation Labor Costs.							

Differential Enthalpy Economizer Controls and DCV Sensors Worksheet						
Differential Enthalpy Economizer Controls and DCV Sensors	Code	Model #	Manufacturer	Count	Unit Incentive	Total Incentive
Differential enthalpy economizer control system, installed with economizer logic module. Note: Solid state electronic enthalpy sensors only. Electro-mechanical sensors are not eligible.	DEC-1				\$150	
Single Demand Controlled Ventilation (DCV), where carbon dioxide sensor must be installed in conjunction with a fully functioning controls-governed economizer.	DCV-1				\$200/sensor	
Differential Demand Controlled Ventilation (DCV), must have two sensors providing both indoor air and outdoor air carbon dioxide sensing, and must be installed in conjunction with a fully functioning controls-governed economizer.	DCV-2				\$400/system (\$200/sensor)	
TOTAL Differential Enthalpy Economizer Controls and/or DCV Sensors Incentive Requested (Total Incentive):						\$ _____
Please attach equipment quotes to this application containing: Product Model Number, Manufacturer, Purchase Price and Installation Labor Costs.						

Applicant Name: _____

Building Name: _____

MOTOR WORKSHEET (Attach additional sheet(s) if necessary)

Completing Motor Measure Worksheet: Fill in the appropriate fields in the worksheet. To calculate the TOTAL INCENTIVE, multiply the INCENTIVE by the QUANTITY of installed equipment and enter this amount in the TOTAL INCENTIVE row. The totals should be entered in the TOTAL MOTOR WORKSHEET INCENTIVE field. Motors meeting or exceeding the NEMA Premium Nominal Efficiencies below are eligible for incentives. Motors must operate a minimum of 2000 hours per year to be eligible for incentives.

MOTOR EFFICIENCIES AND INCENTIVES

OPEN DRIP-PROOF (ODP)					TOTALLY ENCLOSED FAN-COOLED (TEFC)				
Motor Size (HP)	Speed (RPM)			Incentive (\$/Motor)	Motor Size (HP)	Speed (RPM)			Incentive (\$/Motor)
	1200	1800	3600			1200	1800	3600	
	NEMA Nominal Efficiency					NEMA Nominal Efficiency			
1	82.5 %	85.5 %	77.0 %	\$25	1	82.5 %	85.5 %	77.0 %	\$25
1.5	86.5 %	86.5 %	84.0 %	\$30	1.5	87.5 %	86.5 %	84.0 %	\$30
2	87.5 %	86.5 %	85.5 %	\$30	2	88.5 %	86.5 %	85.5 %	\$30
3	88.5 %	89.5 %	85.5 %	\$30	3	89.5 %	89.5 %	86.5 %	\$30
5	89.5 %	89.5 %	86.5 %	\$30	5	89.5 %	89.5 %	88.5 %	\$30
7.5	90.2 %	91.0 %	88.5 %	\$60	7.5	91.0 %	91.7 %	89.5 %	\$60
10	91.7 %	91.7 %	89.5 %	\$60	10	91.0 %	91.7 %	90.2 %	\$60
15	91.7 %	93.0 %	90.2 %	\$60	15	91.7 %	92.4 %	91.0 %	\$60
20	92.4 %	93.0 %	91.0 %	\$60	20	91.7 %	93.0 %	91.0 %	\$60
25	93.0 %	93.6 %	91.7 %	\$100	25	93.0 %	93.6 %	91.7 %	\$100
30	93.6 %	94.1 %	91.7 %	\$115	30	93.0 %	93.6 %	91.7 %	\$115
40	94.1 %	94.1 %	92.4 %	\$125	40	94.1 %	94.1 %	92.4 %	\$125
50	94.1 %	94.5 %	93.0 %	\$140	50	94.1 %	94.5 %	93.0 %	\$140
60	94.5 %	95.0 %	93.6 %	\$215	60	94.5 %	95.0 %	93.6 %	\$215
75	94.5 %	95.0 %	93.6 %	\$270	75	94.5 %	95.4 %	93.6 %	\$270
100	95.0 %	95.4 %	93.6 %	\$325	100	95.0 %	95.4 %	94.1 %	\$325
125	95.0 %	95.4 %	94.1 %	\$420	125	95.0 %	95.4 %	95.0 %	\$420
150	95.4 %	95.8 %	94.1 %	\$450	150	95.8 %	95.8 %	95.0 %	\$450
200	95.4 %	95.8 %	95.0 %	\$480	200	95.8 %	96.2 %	95.4 %	\$480

Motor Incentives Requested (Attach Additional Sheets if necessary)

	Example	#1	#2	#3	#4	#5
Reason: "N"=New or "F"= Failed	F					
Location: Building and Room	Rm 4					
Function: Fan, Pump, Process, Other	Pump					
Manufacturer	ACME					
Model Number	RR/C 1957					
"ODP" or "TEFC"	TEFC					
Size in Horsepower	30					
Speed in RPM	1,800					
NEMA Premium Nominal Efficiency (See Table for minimum qualifying efficiencies)	93.6%					
Annual Run Hours	4400					
Quantity	2					
Incentive (\$/Motor) (Table)	\$115					
TOTAL INCENTIVE:	\$230					

TOTAL MOTOR WORKSHEET (Total Incentive):

Please attach equipment quotes to this application containing: Product Model Number, Manufacturer, Purchase Price and Installation Labor Costs.

\$ _____

Variable Speed Drives (VSDs)

Applicant Name: _____

Building Name: _____

Variable Speed Drive (VSD) Worksheet

General Eligibility Requirements for VSDs

Controlled motors which are used for VSD only, are eligible. Examples of controlled motors would be those used for chilled water pumps, VAV fans, boiler feed pumps, or building exhaust fans. Other VSDs are eligible for custom measures.

An Important Note on Variable Speed Drives:

- VSDs can be sensitive to over voltages that occur when power-factor-correcting capacitor banks on the utility power system are switched on. Customers may want to consider purchasing a VSD that includes a series reactor (inductor, choke) in its AC input connections. Your VSD supplier should assist in the sizing of the reactor.
- As a general rule, a 3% reactor is sufficient to avoid misoperation of VSDs during utility capacitor switching and will also help reduce the magnitude of harmonic currents generated by the drive. In some instances your supplier may find it necessary to install 5% reactors and, rarely, additional filtering devices to meet our current and voltage harmonic distortion requirements.
- If your power factor is less than 0.8 (80%), you should consider power factor correction concurrent with the installation of drives, because the presence of power-factor-correction equipment can influence proper reactor sizing, and because the presence of VSDs can influence the design of power-factor-correction equipment.

*Table 1 - Eligible Fan or Pump Application Code **

Code	Application	Code	Application
SFA	Supply fan on VAV air handler	BEF	Building exhaust fan
SFP	Supply fan on VAV packaged rooftop HVAC unit	CWP	Chilled water distribution pump
RFA	Return fan on VAV air handler	FWP	Boiler feed water pump
RFP	Return fan on VAV packaged or rooftop HVAC unit		

Variable Speed Drives must meet our eligibility requirements and power quality requirements.

*For other VSD applications, please apply for a customized rebate

Table 2 - Incentives

VSD Category	Incentive Amount / HP
5 - 20 HP	\$20 / HP
Greater than 21 and up to 40 HP	\$17.50 / HP
Greater than 40 and up to 100 HP	\$15 / HP
Greater than 100 HP	\$10 / HP

**No incentives for VSD controlling less than 5 HP.
Forward curve fans in VAV systems are not eligible for VSD incentives.**

Variable Speed Drive Incentive Calculation

Instructions: Use a separate line for each VSD. (Refer to Table 1 and Table 2)

Item	Motor HP Controlled by each VSD	Application Code (Table 1)	Fan or Pump ID(s)	Name of Area Served	Total Incentive (Table 2)
	<i>Example: 10 HP</i>	<i>SFA</i>	<i>AC-1</i>	<i>East Wing</i>	<i>\$200</i>
1.					
2.					
3.					
TOTAL					\$ _____

Please attach VSD equipment quotes to this application containing:: Product Model Number, Manufacturer, and purchase price information.

Applicant Name: _____

Building Name: _____

Heat Pump Water Heaters Measure Worksheet

Completing the Heat Pump Water Heater Equipment Worksheet: Fill in the appropriate fields in the worksheet. To calculate the TOTAL INCENTIVE, multiply the COUNT (quantity of installed equipment) by the UNIT INCENTIVE and enter this amount in the TOTAL INCENTIVE COLUMN. The sum of the TOTAL INCENTIVE amounts is entered in the TOTAL HEAT PUMP WATER HEATER EQUIPMENT INCENTIVE field at the bottom of the worksheet.

Each eligible unit must augment an electric resistance water heater. Fossil fuel water heaters are not eligible.

Only units with a storage tank of 50 to 120 gallons are eligible.

Each eligible unit must be in a space where the heat drawn from it is not heated by an electrical resistance heater.

The heat pump water heater energy factor rating must meet or exceed 2.37.

Manufacturer	Model	Tank Size	Unit Efficiency	Count	Unit Incentive	Total Incentive
<i>Example:</i> ACME	123456	80	2.5	2	\$400	\$800
					\$400	
					\$400	
					\$400	
					\$400	
					\$400	
					\$400	
					\$400	
					\$400	
					\$400	
					\$400	
					\$400	
					\$400	

<p>TOTAL Heat Pump Water Heaters Incentive Requested: Please attach equipment quotes to this application containing: Product Model Number, Manufacturer, Purchase Price and Installation Labor Costs.</p>	<p>\$ _____</p>
--	------------------------

Applicant Name: _____ Building Name: _____

Please complete Part 3, Pages 1 - 6 and submit with Application Part 1, Pages 1-2.

A. Project Description: *(Please include a brief project description)*

B. Please Circle Project Status

- Schematic Design** - (example - Conceptual drawings, single line diagrams, HVAC selections not made, materials and finishes not set.)
 - Best time for a project scoping session
 - Whole Building Design, Custom Measures and Pre-Qualified Equipment can be considered.
- Design Development** - (example - Design developed for owner's review and approval, costs delineated to compare to budget, drawings 50%-60% complete, HVAC systems selected and specified.)
 - Scoping session helpful, but Custom Measures will only work if the owner and designer agree to modify some of the documents.
 - Whole Building Design, Custom Measures and Pre-Qualified Equipment can be considered.
- Construction Documents** - (example - All drawings and specifications are complete.)
 - Changes difficult to make prior to bid. Intervention related to measure identification and confirmation that equipment specified will qualify for an incentive.
 - Very limited Custom Measures (equipment upgrade) and Pre-Qualified Equipment can be considered. Whole Building Design incentives not available, if drawings will be completed within 4 weeks of application date.
- Project Bid Date**
 - Same status as 3 above. Changes can be made through Addendums or Add/Alternates in the bids.
 - Value engineering at this stage may result in downgrades to some energy efficiency standards of equipment to reduce budget.
 - Only Pre-Qualified Equipment can be considered, if project bid date is within 4 weeks of application date.
- Construction Complete Date**
 - Too late for any NCP incentives, which need to be on a pre-approved basis.

C. Project Design Team (Architect and/or Engineer) Required for Custom/Whole Building Applications

Architecture Firm _____	Engineering Firm _____
Contact _____	Contact _____
Address _____	Address _____
City _____ State _____ Zip _____	City _____ State _____ Zip _____
Phone (____) _____	Phone (____) _____

Energy Efficiency Opportunities

Applicant Name: _____

Building Name: _____

Energy Efficiency Opportunities

The listing below provides examples of common mechanical and electrical equipment and systems used in commercial buildings with corresponding baseline efficiency levels and suggested energy-efficient upgrades that may qualify for incentives under this program. **Please review this list with your design team and check those measures you would consider implementing in this project.** Design teams may identify additional systems and equipment improvements. For additional energy savings opportunities and questions relating to baseline assumptions contact the NYSERDA New York Energy SmartSM New Construction Program Manager.

<p>Systems or Building Elements</p> <p>Does your project include the following systems or building elements:</p>	<p>Current Standard Design Practice</p> <p>Current energy design practice indicates the system should at the least meet the following guidelines:</p>	<p>Potential Energy-Efficient Equipment Upgrade (Please check all that may apply.)</p> <p>NYSERDA may be able to assist you with incentives for these energy saving improvements:</p>
Lighting Systems	ASHRAE 90.1R Standards	<input type="checkbox"/> Designs at 95% or less of ASHRAE 90.1R wattages
Interior Lighting *Note: detailed engineering studies and design comparisons are required for all custom lighting projects	High pressure sodium Metal halide (where white light is required)	<input type="checkbox"/> Higher efficiency fixtures or system designs providing similar light levels <input type="checkbox"/> High-bay fluorescent fixtures <input type="checkbox"/> Pulse start metal halide lamps/ballasts <input type="checkbox"/> Higher efficiency fixtures or system designs <input type="checkbox"/> High-bay fluorescent fixtures <input type="checkbox"/> High pressure sodium
	T8/electronic baseline	<input type="checkbox"/> Higher efficiency fixtures or system designs providing similar light levels
Exterior Lighting	HPS (or MH if required) with time clock and/or photocell control	<input type="checkbox"/> Automatic high/low controls (for loading docks or areas with variable occupancy) (should not have manual override option)
Lighting Controls	Time clock or manual on/off control based on general occupancy schedules	<input type="checkbox"/> Microprocessor-based control systems with central operator station, individual zone control and occupancy schedules, with central and local schedule timed override capabilities <input type="checkbox"/> Automatic high/low controls <input type="checkbox"/> Skylight/daylight dimming controls
Window Glazing	Glass with Solar Heat Gain Coefficient (SHGC): 0.7 for windows less than 10% of total wall area 0.5 for windows over 10% but less than 40% of total wall area 0.4 for windows over 40% of total wall area	Glass with Solar Heat Gain Coefficient (SHGC): <input type="checkbox"/> 0.69 for windows less than 10% of wall area <input type="checkbox"/> 0.49 for windows 10% to 40% of total wall area <input type="checkbox"/> 0.39 for windows greater than 40% of total wall area

Applicant Name: _____

Building Name: _____

Systems or Building Elements	Current Standard Design Practice	Potential Energy-Efficient Equipment Upgrade (Please check all that may apply.)
Office Buildings UNDER 25,000 sq. ft.	Constant Volume fans (supply, return, exhaust)	<input type="checkbox"/> VAV HVAC systems with VFD on fans
Office Buildings OVER 25,000 sq. ft.	VAV on supply, return, and exhaust fans. Fan motors over 20 HP with VFD control, and 20 HP or less with inlet vane control.	<input type="checkbox"/> VFDs on motors 20 HP or less with automatic control
	Standard distribution system sizing	<input type="checkbox"/> Low-pressure drop system designs with low-temperature air distribution
	Electronic controls on main HVAC equipment	<input type="checkbox"/> Full-building DDC controls with static pressure reset based on terminal unit loads, discharge air temperature reset, outside air intake monitoring and control, central plant optimization, VFD pump controls, etc.
Manufacturing or classroom building	Constant volume distributed HVAC systems (fan coils or unit ventilators)	<input type="checkbox"/> VAV distribution and control systems primary/secondary pumping w/VFD control
Fume Hood Exhaust Systems	Constant volume exhaust system with VSD on VAV supply fan for exhaust systems under 15,000 cfm.	<input type="checkbox"/> Occupancy sensor on fume hood, Static pressure reset and automated sash operation heat/AC recovery systems
Kitchen Hood Exhaust Systems	Constant volume exhaust with manual on/off control. Systems over 5000 cfm must have at least 50% of make-up air not cooled, nor heated to more than 60 degrees F.	<input type="checkbox"/> VFD for variable volume exhaust and integrated make-up air system and controls
Unitary Equipment and Split Systems	Air-cooled Package /Split units: < 5 Ton, 10.0 SEER; 5 - 11 Ton, 10.3 EER; >11 - 30 Ton, 9.7 EER.	<input type="checkbox"/> Evaporative condensers <input type="checkbox"/> Enthalpy/heat exchangers
	Air-cooled Package /Split systems over 30 tons (baselines dependent on system size)	<input type="checkbox"/> Higher efficiency packaged systems with optimized control systems <input type="checkbox"/> Custom units with oversized coils <input type="checkbox"/> Evaporative condensers <input type="checkbox"/> Enthalpy/heat exchangers <input type="checkbox"/> Water cooled systems
Water Source Heat Pump Systems	Constant flow water loop	<input type="checkbox"/> Variable flow water loop with VSD
	Forced draft cooling tower with centrifugal fan	<input type="checkbox"/> Induced Draft cooling tower with axial fan
Packaged Reciprocating Chillers	Air-cooled chillers	<input type="checkbox"/> Scroll Compressor 30 - 60 tons 1.23 or less kW/ton , IPLV 0.86 or less <input type="checkbox"/> Reciprocating Compressor 30 - 150 tons 1.23 or less kW/ton , IPLV 0.90 or less <input type="checkbox"/> Screw Compressor 70 - 200 tons 1.23 or less kW/ton , IPLV 0.98 or less
Existing Chilled Water Plants	Lead/Lag chiller control; no CHWT reset	<input type="checkbox"/> Chiller sequencing /optimization/ CHWT reset

Applicant Name: _____

Building Name: _____

Systems or Building Elements	Current Standard Design Practice	Potential Energy-Efficient Equipment Upgrade <i>(Please check all that may apply)</i>
(Renovation, expansions, replacements)	Primary chilled water system	<input type="checkbox"/> Primary/secondary with VSD pumping on secondary
	Constant flow chilled water pumps	<input type="checkbox"/> VSDs on primary chilled water pumps
	Two-speed cooling tower fans	<input type="checkbox"/> VSD on cooling tower fans
	Evaporative Induced Draft Cooling Tower	<input type="checkbox"/> Plate and frame heat exchanger (also called water side economizer) for free winter cooling
	Fixed condenser supply temp with mixing valve and tower fan control.	<input type="checkbox"/> Condenser controls with condenser water temperature reset <input type="checkbox"/> VSD on condenser pump
New Chilled Water Plants	Water cooled or rotary screw centrifugal chillers: > 150 tons = .651 kW/ton .62 kW/ton IPLV	<input type="checkbox"/> > 150 tons = .64 kW/tons or less (FEMP Standards) .49 kW/ton 1 PLV
	150 to < 300 tons = .633 kW/ton, .596 kW/ton IPLV	<input type="checkbox"/> 150 to < 300 tons = .59 kW/tons or less .52 kW/ton 1 PLV (FEMP Stds.)
	300 to 2000 tons = .576 kW/ton peak .549 kW/ton IPLV	<input type="checkbox"/> 300 to 2000 tons = .56 kW/tons or less .44 kW/ton 1 PLV (FEMPS Stds)
	Chilled water temperature reset based on return water temp or based on OAT	<input type="checkbox"/> Chilled water reset based on building HVAC loads and discharge air temps w/ full DDC controls including terminal units
	Primary/Secondary pumping with VSD on secondary pump	<input type="checkbox"/> Multiple sequenced high efficiency pumps on secondary distribution system
	Standard selection size cooling tower	<input type="checkbox"/> Oversized cooling towers with reduced fan HP
	Cooling towers with multiple fans or dual speed fans	<input type="checkbox"/> VSD(s) on cooling tower fans
	Constant flow condenser water pump system	<input type="checkbox"/> VSD on condenser water pump
	Chiller sequencing controls based on load	<input type="checkbox"/> Optimized chiller sequencing controls based on load and overall operating kW/ton
	No thermal storage	<input type="checkbox"/> Thermal storage to reduce plant kW demand
Building Control Systems (EMS) (building space over 40K sq. ft.)	Seven-day time scheduling Optimized start/stop DDC control of air handlers Chilled water reset DB Economizer control	<input type="checkbox"/> Static pressure reset-based HVAC system demand. <input type="checkbox"/> Outside air intake control based on carbon dioxide sensors, VOC sensors or other indicator of ventilation requirements. <input type="checkbox"/> Discharge air temperature reset enthalpy control
Boiler Equipment	Constant speed feed water pumps	<input type="checkbox"/> VSD on feedwater pumps >20 HP with automatic pressure controls
	Constant speed forced draft fans	<input type="checkbox"/> VSD on draft fans with automatic pressure controls

Applicant Name: _____

Building Name: _____

Systems or Building Elements	Current Standard Design Practice	Potential Energy-Efficient Equipment Upgrade <i>(Please check all that may apply)</i>
Computer room packaged HVAC with humidifiers	Electric resistance steam generators DX compressor/coil	<input type="checkbox"/> Ultrasonic/evaporative humidifiers <input type="checkbox"/> Water side economizer <input type="checkbox"/> Chilled water cooling
Commercial Refrigeration	Multiplexed refrigeration racks VSD on lead compressors Plate and frame sub-coolers Floating head pressure controls Demand defrost controls	<input type="checkbox"/> Hot gas defrost and controls
	Air-cooled condensers	<input type="checkbox"/> Evaporative condensers VSD on condenser fans
	Screw compressors	<input type="checkbox"/> Scroll compressors
	Case doors with anti-sweat heat controls	<input type="checkbox"/> Heater less doors (triple pane)
	Case lighting T12 lamps and EEmag ballasts	<input type="checkbox"/> T8/T5 lamps with electronic ballasts <input type="checkbox"/> Remote mounted ballasts <i>(out of refrig. case)</i>
	Motorized freezer doors	<input type="checkbox"/> High speed operated freezer doors
	Humidity controls with reheat	<input type="checkbox"/> Heat pipe on HVAC unit with coil bypass low-temperature air distribution
	Standard reach-in refrigerators and freezers	<input type="checkbox"/> Energy Star reach-in refrigerators and freezers
	Self-contained TEV (thermal expansion valves)	<input type="checkbox"/> Electronic controlled TEV (thermal expansion valves)
	Rack type refrigeration compressors	<input type="checkbox"/> Distributed refrigeration systems (no pumps, smaller diameter pipes)
Industrial Refrigeration Systems serving facilities over 50,000 sq. ft. or 250 tons	Evaporative-cooled condensers	<input type="checkbox"/> Oversized evaporative condensers VSD on evaporative condenser fans
	Standard size evaporator coils and controls	<input type="checkbox"/> Oversized/lower fan HP evaporator coils <input type="checkbox"/> Evaporator fans on/off control
	Single-stage compressor systems	<input type="checkbox"/> Multi-stage compressor systems
	Floating head pressure controls, Electric defrost control, and Subcoolers	<input type="checkbox"/> Hot gas defrost and controls
	Standard design cooling equipment and controls sequences	<input type="checkbox"/> Oversized cooling equipment with thermal shifting capability
	Motorized freezer doors	<input type="checkbox"/> High speed operated freezer doors
Wastewater treatment and fresh water plants	Fine bubble aeration with VSD and positive displacement blower	<input type="checkbox"/> Centrifugal blower and dissolved oxygen (DO) controller
	VSDs on all pumps 25 HP and larger	<input type="checkbox"/> VSDs on pumps <25 HP

Applicant Name: _____

Building Name: _____

Systems or Building Elements	Current Standard Design Practice	Potential Energy-Efficient Equipment Upgrade <i>(Please check all that may apply)</i>
New Ice Rinks	Floor-mounted ice temperature	<input type="checkbox"/> Infrared ice surface temperature sensors and controls
	Floating head pressure controls down to 75 deg F.	<input type="checkbox"/> Ice temperature reset based on occupancy/use
	Dehumidification	<input type="checkbox"/> Desiccant dehumidification
	No heat recovery	<input type="checkbox"/> Heat recovery
Process-Related Equipment	Constant-speed fans, process pumps or blowers with variable loads	<input type="checkbox"/> VSDs on pumps, fans or blowers with automatic controls
Plastic Injection Molding Machines	Hydraulic operated operation	<input type="checkbox"/> VSD or other hydraulic enhancements electrically operated and controlled equipment
Air Compressors (under 130 PSI)	Single-stage rotary screw compressors with modulating control via inlet valve control and unloading point below 50% of rated CFM	<input type="checkbox"/> Single-stage rotary screw compressors with load/no load control and storage <input type="checkbox"/> VFD controlled compressor <input type="checkbox"/> Scroll type compressors <input type="checkbox"/> Two-stage rotary screw compressors with load/no load control and storage <input type="checkbox"/> Two-stage double acting reciprocating compressors <input type="checkbox"/> Three-stage centrifugal compressors
Air Compressors (130 PSI and over)	Two-stage rotary screw compressors with cycling dryer and same baseline for <130 PSI	<input type="checkbox"/> Three-stage centrifugal compressors <input type="checkbox"/> Two-stage double acting reciprocating compressors
Compressed Air auxiliary equipment	Standard pressure drop filters Refrigerated dryers Standard design distribution and end use requirements	<input type="checkbox"/> Low pressure drop filters (<1 PSI) <input type="checkbox"/> Cycling refrigerated dryers <input type="checkbox"/> VFD controlled dryers <input type="checkbox"/> Heat of compression dryer <input type="checkbox"/> Distribution system improvements (multiple pressure/compressor systems, pressure booster compressors, <input type="checkbox"/> End use equipment reduced pressure requirements <input type="checkbox"/> Sequencing Controls <input type="checkbox"/> Intermediate Pressure Controllers <input type="checkbox"/> Low pressure (<40psi) blower systems
Passive Solar Heating	Proper site orientation Increased south-facing glass Increased insulation	<input type="checkbox"/> Thermal storage systems
Windows	Double glazed low-e	<input type="checkbox"/> Electrochromic glazing
Ventilation Air Heating	Make-up air heaters Air-to-air heat exchangers	<input type="checkbox"/> Solar preheating systems
Domestic Hot Water	Insulated high-efficiency boiler	<input type="checkbox"/> Flat plate solar collectors <input type="checkbox"/> Evacuated tube solar collectors