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**NYSERDA**

## **NY Residential Existing Homes Program Contact List Assisted Home Performance with ENERGY STAR® and EmPower New York**

### **Primary Contacts**

#### **Contractor Support**

1-800-284-9069

<http://hpwescontractorsupport.com/>

General Inquiries: [support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov)

Application Inquiries: [applications.residential@nyserda.ny.gov](mailto:applications.residential@nyserda.ny.gov)

#### **Customer Support**

1-877-NYSMART

<https://www.nyserda.ny.gov/All-Programs/Programs/Home-Energy-Efficiency-Upgrades>

[support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov)

### **Program Administrator**

#### **New York State Energy Research and Development Authority (NYSERDA) 518-862-1090**

##### **General Inquiries**

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**Administrative Services Contractor**

**CLEAResult**

Questions related to audit applications, EmPower applications, EmPower project assignments, and A AHPwES and EmPower payments.

**General Inquiries**

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### **CLEAResult**

Questions related to workscope and completion approvals, technical assistance, program policies and guidelines, and Account Manager support.

### **Contractor Support**

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### **Certifications and BPI GoldStar Contractor Program**

Questions related to certification, accreditation requirements, technical support and standards.

### **Building Performance Institute (BPI)**

63 Putnam Street, Suite 202  
Saratoga Springs, New York 12866

Toll Free: 877-274-1274

Fax: 866-777-1274

[www.bpi.org](http://www.bpi.org)

<http://www.bpi.org/about-us/contact-us>

### **Consumer Financing**

Process loan applications and provide contractors with the status of the loan.

### **Slipstream, formerly Energy Finance Solutions (EFS)**

431 Charmany Drive

Madison, WI 53719

PHONE: 1-800-361-5663

FAX: 608-249-5788

Website: <http://www.energyfinancesolutions.com>

All inquiries to: [efs@energyfinancesolutions.com](mailto:efs@energyfinancesolutions.com)

### **Consumer Loan Servicing**

Service NYSERDA's Residential Energy Efficiency loans and provide borrowers with pertinent loan information.

### **Concord Servicing Corporation**

4150 North Drinkwater Boulevard, Suite 200

Scottsdale, AZ 85251

Toll Free: 866-493-6393

FAX: 480-951-8879

Website: <http://www.powerofconcord.com>

All inquiries to: [cs@concordservicing.com](mailto:cs@concordservicing.com)

**NYSERDA Assisted Home Performance with ENERGY STAR®  
& EmPower New York  
Account Manager Territories**



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<b>Statewide Support</b>	<b>Mitch Bryk</b> <a href="mailto:mitchell.bryk@clearesult.com">mitchell.bryk@clearesult.com</a>	<b>1-518-207-4525 (office)</b> <b>1-929-615-0214 (cell)</b>

## Program Background

NYSERDA's Single Family Residential Programs provide incentives for energy efficiency work based on household income. Households identified as Tier 1, are considered low-income, meaning the household earns 60% or less than the Area Median Income, and is eligible to receive incentives through [EmPower New York](#). Tier 3 households are considered moderate income, making 80% or less than the State or Area Median Income, and are eligible to receive incentives through [Assisted Home Performance with ENERGY STAR®](#).

These two components are referred to as the "Program" and assist New Yorkers in improving the energy performance, durability, comfort and safety of existing one-to-four-family homes throughout New York State. The Program meets the criteria of U.S. Department of Energy's (DOE's) of a Home Performance with ENERGY STAR program.

The objectives of the Program are to enhance the delivery of building performance services by using state-of-the-art diagnostic tools and building science principles to cost-effectively achieve goals which include decreasing energy consumption and costs, reducing greenhouse gas emissions, and enhancing building stock resiliency while simultaneously addressing health and safety issues pertaining to indoor air quality.

## Implementation Contractors

NYSERDA relies upon the following implementation and external contractors to provide program support services:

- Shared Services- Currently CLEARResult
  1. Reviews and approves Program applications (Combined Residential Application)
  2. Assigns Participating Contractors to households with an approved Combined Residential Application
  3. Oversees the Call Center and Help Desk Ticketing intake and triage
  4. Reviews and approves Participating Contractor project completion paperwork for payment
- Technical Services - Currently CLEARResult
  1. Provides account managers who are assigned to each Participating Contractor and provide Program and technical support as needed.
  2. Review and approve project work scopes
  3. Oversee Participating Contractor customer concerns and quality assurance compliance
  4. Reviews Participating Contractor performance in the Program
- Loan Originator - Currently SlipStream (formerly known as Energy Finance Solutions or EFS)

1. Review and approve loan applications
  2. Review and approve loans for Tier 3 projects
  3. Distribute loan payments to Participating Contractors for completed projects
- Quality Assurance - Currently Honeywell
    1. Schedule Quality Assurance inspections for 15% of project completions and for households who requested them within one year of project completion
    2. Perform in-field quality assurance inspections and report findings to Participating Contractor and Technical Services Implementor

### External Contractors

- Loan Servicing - Currently Concord
  1. Following the completion of a project with a loan, the loan and associated project completion work is transferred from SlipStream to Concord, who will then collect the loan payment from the customer
  2. Maintains the loan and payment processing until the loan obligation is fulfilled
  3. Clean Energy Hubs Help residents, businesses and multifamily building owners reduce their energy use and energy costs and make informed energy decisions. NYSERDA's partners are dedicated to helping New Yorkers save money and live or work more comfortably.
  4. Work with households to complete Program paperwork and foster them through NYSERDA's residential programs

### How the Program Works

- [Combined Residential Application](#)- Households looking to participate in the Program must complete the application and provide any requested documents. CLEAResult reviews and approved applications will be designated either Tier 1 or a Tier 3 eligible.
- Participating Contractor Assignment- Approved applications will be assigned to a Participating Contractor if one was identified by the applicant. Otherwise, the next available contractor serving the region will be assigned. Participating Contractors can accept or defer assignments based on current capacity.
- Home Energy Assessments-Following the assignment of a Participating Contractor, the Participating Contractor will coordinate with the household a time for performing an home energy assessment. The home energy assessment is no cost to the household with the Participating Contractor identifying eligible energy upgrades for the household. In addition to the home energy assessment, Direct Install measures, as explained in Section 5.14 of the [Program Manual](#), are available at no cost to Tier 1 and Tier 3 households.
- Work Scope Development and Approval- Following the home energy assessment, the contractor will identify a work scope based on the home's needs and using eligible program measures. The work scope will be reviewed by CLEAResult once it meets Program standards, approved. Participating Contractor must have the necessary

certifications per Section 5.2 of the **Program Manual** for the work being performed or use a sub-contractor with the appropriate certifications.

- Project Completion-Upon approval of the work scope, Participating Contractor will schedule and perform the work and work with the household to get required project completion documents signed.
- Project Close Out/Payment- Participating Contractor submits completion documents to CLEAResult, who reviews and if complete approves project for payout. CLEAResult submits invoice packages to NYSERDA twice per week.
- Quality Assurance- If selected for Quality Assurance, contractor will be notified and will be provided with the opportunity to join the inspection. A report of the field inspection will be provided, and the Participating Contractor will be required to address any significant deficiencies noted.

### **Customer Incentives**

For additional information of customer incentives, please refer to Section 3.1 in the **Program Manual**.

- All Tiers
  1. Free Home Energy Assessments
  2. Free Direct Install Measures
  3. Access to Quality Assurance for completed projects
  4. Available to both renters and homeowners in 1-4 unit residential buildings
- Tier 1 Households
  1. Incentive up to 100% of project costs with project caps based on the number of eligible units.
  2. Set pricing- Since the Program pay for 100% of the project costs, set pricing has been established for eligible measures with an Upstate/Downstate cost structure. Please refer to Section 7.7 of the **Program Manual** for current Tier 1 pricing.
  3. Referrals- NYSERDA receives referrals from multiple organizations including, but not limited to, utilities, The Office of Temporary and Disability Assistance (OTDA) Offices for the Aging (OFA), other Participating Contractors, and other local community groups. NYSERDA's program implementer staff will distribute these referrals based upon geographic location of the referred household to the next available Participating Contractor.
- Tier 3 Households
  1. Incentives for approved energy efficiency measures- Households qualify for a discount covering 50% of the cost of eligible energy measures with project caps based on the number of eligible units.

2. Participating Contractor/customer negotiated pricing- Participating Contractor works with the household to develop a workscope and fair pricing for submission and review by the Technical Services Implementor
3. Access to low-interest financing- NYSERDA offers two loan options to help Tier 3 households pay for the upfront cost of energy efficiency upgrades. Both loan options are available for up to \$13,000 per applicant, and up to \$25, For further information please visit NYSERDA's [finance web page](#).

Please see Section 5.15 of the **Program Manual** for a list of eligible measures for Tier 1 and Tier 3 Households.

### **Benefits of Contractor Participation**

- Free Home Energy Assessments and Direct Install- Provides Participating Contractors with an opportunity to provide in-home services to households with an opportunity to provide additional comprehensive services through the Program.
- Contractor Assignments- Participating Contractors can receive assignment/referrals from the Program providing them with the opportunity to serve households without prior outreach.
- Third-party Quality Assurance- Participating Contractors can provide “peace of mind” to households with the added option of third party quality assurance to ensure the project was installed to Program requirements.
- Technical Assistance- Participating Contractors have access to Technical Assistance through CLEAResult for work scope development and navigation of Program components.
- Opportunities to participate in other NYSERDA pilot initiatives (i.e., programs, studies) as needs arise.
- Access to the web based Portal for project submission and tracking and other NYSERDA platforms for program communication and Program assistance.
- Prompt payment of eligible incentives upon successful approval of project completion paperwork.

# CONTRACTOR APPLICATION

## Residential Programs



Please use this form to apply to become a contractor in a NYSEDA residential program(s). If you have specific questions, email us at [residential.programs@nyserda.ny.gov](mailto:residential.programs@nyserda.ny.gov). All fields are required unless otherwise noted.

### APPLICATION STATUS

**Existing Participating Contractor:** If you are already a participating contractor in a NYSEDA residential program, please select the program(s) you currently participate in from the list below. These selections indicate your interest in continued participation under current program rules.

- Comfort Home
- Green Jobs – Green New York (GJGNY) Residential Financing
- Residential Energy Assessment Program
- NY Residential Existing Homes

**New Applicant:** If you are a new applicant, select the programs you would like to participate in. As a first step, please review and ensure that your organization can meet the requirements of the Participation Agreement and relevant manuals for the programs you are applying for.

- Comfort Home
- Green Jobs – Green New York (GJGNY) Residential Financing
- Residential Energy Assessment Program
- NY Residential Existing Homes

### COMPANY INFORMATION

**Legal Business Name** [company name must match the Employer Identification Number (EIN) or Social Security Number (SSN)]  
(If using a d/b/a, certificate must be attached):

Business Name - D/B/A: \_\_\_\_\_

Company Background:

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
Street Address (if different)

\_\_\_\_\_  
City State Zip

\_\_\_\_\_  
Business Website (URL)

\_\_\_\_\_  
Employer Identification Number (EIN)

**Company is a:** (Check all that apply)

- Minority- and Women-Owned Business Enterprises (MWBE)
- Service-Disabled Veteran-Owned Business (SDVOB)



**Counties Served**

- Albany County
- Allegany County
- Bronx County
- Broome County
- Cattaraugus County
- Cayuga County
- Chautauqua County
- Chemung County
- Chenango County
- Clinton County
- Columbia County
- Cortland County
- Delaware County
- Dutchess County
- Erie County
- Essex County
- Franklin County
- Fulton County
- Genesee County
- Greene County
- Hamilton County
- Other Service Territory: \_\_\_\_\_
- Herkimer County
- Jefferson County
- Kings County (Brooklyn)
- Lewis County
- Livingston County
- Madison County
- Monroe County
- Montgomery County
- Nassau County
- New York County (Manhattan)
- Niagara County
- Oneida County
- Onondaga County
- Ontario County
- Orange County
- Orleans County
- Oswego County
- Otsego County
- Putnam County
- Queens County
- Rensselaer County
- Richmond County (Staten Island)
- Rockland County
- Saint Lawrence County
- Saratoga County
- Schenectady County
- Schoharie County
- Schuyler County
- Seneca County
- Steuben County
- Suffolk County
- Sullivan County
- Tioga County
- Tompkins County
- Ulster County
- Warren County
- Washington County
- Wayne County
- Westchester County
- Wyoming County
- Yates County

**CERTIFIED STAFF**

I certify that services will be provided by staff holding appropriate certifications within the appropriate categories as outlined in the applicable Program Manual for which the undersigned applicant is applying. I acknowledge that the Program may request a copy of certificates or identification cards for certifications.

Applicant Initials: \_\_\_\_\_

**My company provides the following services:**

- Audits
- Shell
- Boilers/Furnaces
- Air Conditioning
- Heat Pumps
- Manufactured Housing Improvements

**SUBMISSION**

- Has any principal or officer of your company been convicted of a felony within the past 5 years?  Yes  No
- Has any principal or officer of your company been under disciplinary action (probation, suspension, and termination) within a NYSERDA program?  Yes  No
- Has any principal or officer of your company been debarred by any government agency?  Yes  No
- Has any governmental entity made a finding of non-responsibility regarding the individual or entity seeking to apply in the last five years?  Yes  No
- Has any governmental entity or other governmental agency terminated or withheld a procurement contract with the above-named Individual or entity due to the intentional provision of false or incomplete information?  Yes  No

Please disclose any staff affiliations with contractors who have been terminated from any NYSERDA program in the past 5 years\*:

Staff Name:

Previous Company:

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

### PRIMARY CONTACT INFORMATION

This should be the primary contact person for NYSERDA to inquire about this application and Participation Agreement. Please ensure that the email and phone number used is tied to a single person of contact and not general contact information for the company.

First Name

Last Name

Title

Email

Phone

Extension

### PROGRAM MANUAL(S) AND PARTICIPATION AGREEMENT

Check the box to certify you have read and agree to the terms in the Participation Agreement and Program Manual(s) associated with the program(s) applied for under this Application.

- [Residential Contractor Participation Agreement](#) - Required by all applicants
- [Comfort Home Program Manual](#)
- [Green Jobs – Green New York \(GJGNY\) Residential Financing](#)
- [Residential Energy Assessment Program Manual](#)
- [NY Residential Existing Homes Program Manual](#)

### CERTIFICATION STATEMENT

By signing below, I attest that I have the legal signatory rights to enter into a contractual agreement for the programs selected above on behalf of the organization on whose behalf I sign. I certify that all information provided in this form, including any attachments, is true and correct to the best of my knowledge. I agree to provide any additional materials NYSERDA may ask for during the review process. I have also reviewed and agree to the terms and conditions set forth in the relevant Program Manual(s) and the selected Participation Agreement provided in the links above, and certify that I have the legal authority to bind my organization and the above-listed staff to the terms of these Program Manual(s) and Participation Agreement as well.

Signature

Date

## SUPPORTING DOCUMENTATION/ATTACHMENTS & SUBMISSION INSTRUCTIONS

Submit this completed and signed application along with the following documents:

- One copy of your D/B/A certificate (if applicable).
- Employee roster certified employees, including employee name, certification name, and expiration dates.
- Documentation of at least two years relevant experience working in the residential energy efficiency and/or clean energy sector (required for all new applicants and for returning contractors upon NYSERDA request). Applicants with less than two years' experience may apply, but may require additional documentation or reviews of their application.

**EMAIL COMPLETED APPLICATION TO:**

[residential.programs@nyserda.ny.gov](mailto:residential.programs@nyserda.ny.gov)

**-OR- MAIL COMPLETED APPLICATION TO:**

New York State Energy Research and Development Authority  
Attn: NYSERDA Residential Programs  
17 Columbia Circle  
Albany, NY 12203-6399

**Applications missing any of the above required documentation will not be approved.**

After you are approved, you will be asked to provide one copy of your current insurance certificate (general liability, workers compensation and errors and omissions if applicable) with NYSERDA and The State of New York listed as additional insured).

If the information provided on this Contractor Application Form and any attachment changes, it must be reported to NYSERDA, in writing or via email to [residential.programs@nyserda.ny.gov](mailto:residential.programs@nyserda.ny.gov).

To ensure delivery to your inbox, add [residential.programs@nyserda.ny.gov](mailto:residential.programs@nyserda.ny.gov) to your safe senders list.

Comfort Home,  
Green Jobs - Green New York (GJGNY)  
Residential Financing,  
NY Residential Existing Homes, and  
Residential Energy Assessment Programs

**Participation Agreement**

**For Residential Contractors**

August 2022



NYSERDA

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## Definitions:

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**Certificate of Completion:** The Certificate of Completion which is executed by a Customer attesting that all work has been completed pursuant to the contract.

**Customer:** A New York State homeowner or renter who may participate in a NYSERDA program or is a current or former participant in a program.

**Implementation Contractor:** Organization working under contract with NYSERDA to provide administrative and support functions such as project approvals, technical support, loan origination, loan servicing, reporting, invoicing, and installation verification.

**Participation Agreement:** This Participation Agreement (Agreement), which establishes the terms and conditions under which NYSERDA-qualified Participating Contractors may offer program incentives and/or financing to qualified Customers in New York State.

**Participating Contractor:** Participating Contractors are independent contractors approved by NYSERDA to offer energy assessments, installations, program incentives, and/or financing.

**Program:** Refers to one or more of the NYSERDA programs listed on the front page of this Agreement in which the undersigned Contractor has qualified to work.

**Program Manual:** Refers to the relevant manual for each program that specifies the operating procedures, program-specific rules and eligibility, and technical requirements. Program manuals differ per program; no program's manual applies to or controls another program unless so specified.

**Residential Energy Assessment:** An energy assessment conducted by a Participating Contractor in accordance with the policies and procedures detailed in the Residential Energy Assessment Program Manual and any Residential Energy Assessment Program announcements.

# 1 Article I. General Information

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This Agreement covers the Programs listed on the cover page of this Agreement. This Agreement binds the Applicant/Participating Contractor to the terms and conditions listed here, as well as those in the respective Program Manuals. An Applicant contractor is considered and referred to as a “Participating Contractor” when this Agreement is submitted to and accepted by the New York State Energy Research and Development Authority (NYSERDA). The Participating Contractor will be notified via email when its application is approved.

By its signature on the Residential Contractor Application, each Applicant understands and agrees to the terms and conditions outlined in this Agreement and any program announcements distributed and/or posted by NYSERDA or any Implementation Contractor once the application has been approved.

## 1.1 Program Descriptions

Comfort Home Pilot – In this program, homeowners work with Participating Contractors to install energy efficiency envelope improvements (e.g., air sealing, insulation, windows) and to learn about options for heat pumps after their homes’ envelopes have been improved.

Green Jobs – Green New York (GJGNY) Residential Financing Program – This program offers GJGNY Loans (Smart Energy, On-Bill Recovery, and Renewable Energy Tax Credit Bridge Loan), which are unsecured loans up to twenty-five thousand (\$25,000) dollars for one-to-four family residential energy improvements or renewable energy systems with a term not to exceed fifteen (15) years. If the GJGNY Loan is maximized, GJGNY Residential Financing also offers Companion Loans, which are unsecured loans up to twenty-five thousand dollars (\$25,000) for one-to-four family residential energy improvements or renewable energy systems, with a term not to exceed fifteen (15) years. Participating Contractors in this program are also required to execute a separate participation agreement with NYSERDA’s loan originator.

A Participation Contractor approved to participate in the NY Residential Existing Homes Program, NYSERDA Comfort Home Pilot, the NYS Clean Heat Program, or is a Participating Contractor with PSEG-Long Island Home Comfort Program or PSEG-Long Island Home Performance with ENERGY STAR® Program may offer GJGNY Residential Financing through those programs. All other Contractors must apply separately and are bound by this Agreement and the GJGNY Residential Financing Program Manual.

NY Residential Existing Homes Program – This program, comprised of EmPower New York and Assisted Home Performance with ENERGY STAR® provides low- and no-cost services to income-eligible Customers.

Residential Energy Assessment Program – This program provides no-cost energy assessments to homeowners across the state, offered through Participating Contractors.



## **2 Article II. General Application Information**

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### **2.1 Section 2.01 Application Requirements**

The Applicant shall provide NYSERDA all required information in accordance with the applicable Program Manual(s) when submitting the Residential Contractor Application, as requested by NYSERDA, or when there are changes or updates to the information previously provided.

### **2.2 Section 2.02 Evaluation Criteria for Contractor Acceptance**

NYSERDA will evaluate the information provided on the Residential Contractor Application and review all submitted documentation prior to approving an Agreement via electronic mail notification. NYSERDA will not make a determination on a Residential Contractor Application until all the requested information is received by NYSERDA from the Applicant. The decision to approve a Residential Contractor Application is at NYSERDA's sole discretion.

## **3 Article III. Participation Requirements**

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By executing the Residential Contractor Application, the undersigned Participating Contractor agrees to the following terms, to become effective upon NYSERDA approval.

### **3.1 Section 3.01 Requirements**

The Participating Contractor shall meet the requirements outlined in the Program Manual(s). Residential Contractor Applications will be reviewed for completeness and meeting the participation terms outlined in the respective Program Manuals. By entering into this Agreement, the Participating Contractor authorizes NYSERDA to share and obtain information with and from the Building Performance Institute (BPI) and other certifying bodies for the purpose of verifying employee certifications and work quality. As a minimum requirement to perform Energy Assessments or energy efficiency/clean energy work through the Program, the Participating Contractor must employ staff, or use Subcontractors, with the required certifications outlined in the applicable Program Manual(s). NYSERDA may modify or update these requirements at any time.

### **3.2 Section 3.02 Certified Staff**

Work must be done in accordance with the requirements specified in the applicable Program Manual(s) by individuals maintaining the proper credentials where applicable. It is the Participating Contractor's responsibility to ensure that work performed in each Program adheres to the technical standards established and maintained by BPI or the credentialing organization for each certification and meets the Program requirements outlined in the Program Manual.

### **3.3 Section 3.03 Licensing**

It is the sole responsibility of the Participating Contractor and its Subcontractors to obtain and maintain any required federal, state, county, or municipal government licenses required for installing measures and to not perform work for which they are not licensed, if licensing is required. The Participating Contractor shall produce evidence of current licensing upon request by NYSERDA or its Implementation Contractors. Failure to comply with licensing requirements may result in disciplinary action.

### **3.4 Section 3.04 Permits**

It is the sole responsibility of the Participating Contractor and its Subcontractors to obtain and comply with the terms of any required permits for installing measures or conducting Energy Assessments prior to the start of work. The Participating Contractor shall produce evidence of applicable permits upon request by NYSERDA or an Implementation Contractor. Failure to comply with permitting requirements may result in disciplinary action or termination from the Program(s).

### **3.5 Section 3.05 Codes**

All Participating Contractors and any Subcontractor retained by a Participating Contractor must perform work in compliance with all applicable codes, regulations, laws, and standards in the jurisdiction where completing work. In instances where Program guidance may conflict with state and/or local code, code must take precedent.

### **3.6 Section 3.06 Health and Safety**

Each Participating Contractor must have a health and safety plan and maintain a copy of the plan. Participating Contractors must maintain a list of materials installed and maintain Safety Data Sheets (SDS) for products and materials used as part of the project. SDS must be available and presented to Customers upon request.

### **3.7 Section 3.07 Insurance**

The Participating Contractor, at no additional cost to NYSERDA, shall maintain or cause to be maintained throughout the term of this Agreement, insurance of the types and in the amounts specified in this Section. All such insurance shall be evidenced by insurance policies, each of which shall: (1) reference this Agreement; name or be endorsed to cover the Participating Contractor as the insured, and NYSERDA and the State of New York as additional insured; and reference all work to be performed under the Program; (2) provide that such policy may not be cancelled or modified until at least 30 days after receipt by NYSERDA of written notice thereof; and be reasonably satisfactory to NYSERDA in all other respects. NYSERDA reserves the right to request insurance documentation and copies of Subcontractor agreements for any Subcontractor, and to request the identity of all participating individuals.

The types and amounts of insurance required to be maintained under this Section are as follows:

1. Commercial general liability insurance for bodily injury liability, including death, and property damage liability, incurred in connection with the performance of this Agreement, with minimum limits of \$1,000,000 in respect of claims arising out of personal injury, sickness, or death of any one person, \$1,000,000 in respect of claims arising out of personal injury, sickness or death in any one accident or disaster, and \$1,000,000 in respect of claims arising out of property damage in any one accident or disaster, and
2. Workers' Compensation Employers Liability, and Disability Benefits coverage as required by New York State. The Participating Contractor shall maintain Workers' Compensation covering the obligations of the Participating Contractor as required under the provisions of the Workers' Compensation Law, Employers Liability, and Disability Benefits.

If a Participating Contractor is identified as a Sole Proprietor, the contractor must complete and submit form CE-200: <https://ce-200-form.com/>.

The Participating Contract must provide proof of Workers' Compensation upon request by NYSERDA; and/or

3. Professional Liability Insurance. Applicable for Participating Contractors that only provide Energy Assessment services and do not complete installation work. For these business models, the Participating Contractor shall carry professional liability insurance (errors and omissions) with a minimum limit of \$1,000,000.

Not less than 15 days prior to the date any policy furnished or carried pursuant to this Agreement will expire, the Participating Contractor shall deliver to NYSERDA a certificate(s) of insurance evidencing the renewal of such policy(s), and the Participating Contractor shall promptly pay all premiums thereon due. No work shall be performed under this Agreement without current insurance. NYSERDA will not make payments for projects completed under this Agreement without current insurance certificates.

In the event of threatened legal action, claims, encumbrances, or liabilities that may affect NYSERDA hereunder, or if deemed necessary by NYSERDA due to events rendering a review necessary, the Participating Contractor shall deliver to NYSERDA a certified copy of each policy upon request.

Within five working days, or contemporaneously with the requirements of each insurance policy, the Participating Contractor shall notify NYSERDA in writing of the occurrence of any accident, event or incident involving personal injury or property damage that might reasonably result in any complaint or claim, in law or in equity, against the Participating Contractor, any non-Customer party to this Agreement or NYSERDA.

### **3.8 Section 3.08 Warranty**

The Participating Contractor shall provide the Customer a written warranty of labor and materials valid for a minimum of one (1) year from the date that final documentation is submitted for payment. Equipment installed shall carry at a minimum the manufacturer's warranty, plus optional extended warranty coverage, if applicable. The Participating Contractor must provide copies of all relevant warranties to the Customer. For installed measures not meeting Program requirements, as later

identified through a Customer concern submission, or confirmed through a Quality Assurance (QA) field inspection, the warranty shall, at the Participating Contractor's expense, be extended one year from the date the Participating Contractor completed remediation to program satisfaction for all confirmed deficiencies.

### **3.9 Section 3.09 Customer Issues and Dispute Resolution**

NYSERDA requires the Participating Contractor maintain a dispute resolution policy on file. If a Participating Contractor, or its Subcontractor, becomes involved in a dispute with a Customer over business practices, the Participating Contractor shall work to settle the dispute amicably utilizing the Participating Contractor's customer dispute resolution policy.

NYSERDA may request a copy of the Participating Contractor's dispute resolution policy at any time.

NYSERDA and its Implementation Contractors have no responsibility to provide dispute resolution assistance. Regardless of the nature of, or parties involved in, the dispute and any resolution, the Participating Contractor shall hold NYSERDA and its Implementation Contractor(s) harmless from any legal action arising from work associated with the Program. Failure to resolve Customer issues in a timely manner may result in disciplinary action.

### **3.10 Section 3.10 Financing & Incentives**

NYSERDA administers certain financing and incentive programs, and the Participating Contractor shall comply with all requirements per the applicable Program Manual(s).

## **4 Article IV. Agreement Terms**

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The Contractor acknowledges this Agreement is completely voluntary. NYSERDA may deny an Applicant's approval or suspend or terminate a Participating Contractor from participation in the Program for any reason, including failure to maintain Program standards, poor performance, unresponsiveness, or inappropriate behavior. In all cases involving a Participating Contractor's participation status, NYSERDA's written decision is final.

### **4.1 Section 4.01 Enforcement**

In all cases, or at any time, NYSERDA's failure to enforce any provisions of this Agreement shall not constitute a waiver of such provisions, nor does it limit NYSERDA's ability to enforce such provisions in the future.

## **4.2 Section 4.02 Program Changes**

NYSERDA reserves the right to make changes upon notice to the Participating Contractor. Programmatic changes announced through Program announcements will supersede policies and procedures in this Agreement and the applicable Program Manual(s). Such notifications shall be communicated via email and posted in accordance with the applicable Program Manual(s). It is the Participating Contractor's responsibility to ensure the appropriate Program contact's email address is on file with NYSERDA in the event of staff changes or responsibility changes.

## **4.3 Section 4.03 Termination**

NYSERDA may terminate this Agreement and therefore the Participating Contractor's program participation for reasons including but not limited to failure to maintain standards, poor performance, unresponsiveness, termination, or poor performance in any NYSERDA program(s), inappropriate behavior, or other reasons. In all cases involving a Participating Contractor's participation status, NYSERDA's written decision is final.

## **4.4 Section 4.04 Post Termination Obligations**

Articles V, VIII, IX, X as well as sections 3.07(c) and 3.09 shall survive termination of this Agreement.

# **5 Article V. Contractor Relations with Customers**

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## **5.1 Section 5.01 Customer Inquiries**

Participating Contractors shall promptly and appropriately respond to inquiries referred to the Participating Contractors by NYSERDA or the Implementation Contractors.

## **5.2 Section 5.02 Leads**

Participating Contractors are expected to generate their own leads to provide services. In the case that NYSERDA or the Implementation Contractor sends a lead to a Participating Contractor, they must accept the lead and make every reasonable effort to encourage Customer participation in accordance with the applicable Program Manual. Participating Contractors found to be actively discouraging their Customers from participating in the Program, including options for free or partially-incentivized services for low- and moderate-income Customers through alternative contractors, will be subject to the disciplinary measures detailed in the applicable Program Manual.

## **5.3 Section 5.03 Timely Communication**

Participating Contractors shall ensure prompt and accurate reporting of all project completions as defined in the Program Manual. Participating Contractors shall respond to inquiries from Customers, NYSERDA staff, and Implementation Contractors in a prompt, professional, and courteous manner.

## 6 Article VI. Business Practices

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The Participating Contractor is expected to be an ambassador for the Program(s) and any conduct contrary will result in disciplinary action. Participating Contractors shall remain in full compliance with the following requirements:

### 6.1 Section 6.01 Contract Compliance

It is the sole responsibility of the Participating Contractor to ensure that all contracts and subcontracts submitted to the Program by the Participating Contractor are written in full compliance with requirements detailed in the applicable Program Manual(s).

It is the sole responsibility of the Participating Contractor to ensure that all contracts and subcontracts submitted to the Program by the Participating Contractor are written in full compliance with the General Business Law, Article 36-A "HOME IMPROVEMENT CONTRACTS" and any other applicable statutory or regulatory provisions. Contracts and other documents submitted by the Participating Contractor must be clear and legible, and include line-item detail for each installed measure, including nameplate and efficiency information.

Upon request by NYSERDA or Implementation Contractor staff, the Participating Contractor shall provide additional details regarding contractual terms and costs for the purposes of project review.

### 6.2 Section 6.02 Professional Conduct and Courtesy

The Participating Contractor shall treat all Customers fairly, provide accurate information on all available Program Financing and Incentives and deliver promised services in a timely, competent, professional, and reasonable manner. Participating Contractors shall conduct themselves in a professional, respectful, and reasonable manner at all times when interacting with Customers, NYSERDA staff, and Implementation Contractors. Participating Contractors shall not engage in behavior that adversely impacts NYSERDA, Implementation Contractors, or other Participating Contractors, tarnishes NYSERDA's service marks, and/or diminishes the profession or service in the eyes of the public.

### 6.3 Section 6.03 Mechanic's Lien

The Participating Contractor shall agree to limit any Mechanic's Lien on any project to the value of such project minus the value of the incentive.

### 6.4 Section 6.04 Past Performance

At NYSERDA's discretion, an employee or Subcontractor of a Participating Contractor who has demonstrated unprofessionalism, unethical behavior, or has exhibited poor workmanship on one or more past projects may be prohibited from working in NYSERDA's programs. This includes any staff member associated with a former Participating Contractor who was under suspension or terminated

from any NYSERDA program. NYSERDA will notify the Participating Contractor of any individuals prohibited from working on NYSERDA projects and these individuals will continue to be prohibited from working on NYSERDA funded projects unless written consent is provided by NYSERDA.

## 6.5 Section 6.05 Program Representations

The Participating Contractor shall not engage in unfair or inaccurate representations of NYSERDA and its programs, the Implementation Contractors, other Participating Contractors, or affiliates.

### 1. Participating Contractor

The Participating Contractor shall properly and accurately represent the relationship of the Participating Contractor and its Subcontractor(s) to the State of New York, NYSERDA, and NYSERDA's Implementation Contractors. This relationship shall be whether the Participating Contractor currently meets participation requirements, acts as independent contractor, and voluntarily offers Program Incentives and/or financing.

The Participating Contractor shall not represent itself as working for, approved by, or certified by, the State of New York, NYSERDA or NYSERDA's Implementation Contractors. The Participating Contractor shall not represent that the services they provide, or the materials they use, are in any way endorsed or approved by the State of New York, NYSERDA, or NYSERDA's Implementation Contractors.

Participating Contractors are not NYSERDA employees, contractors, partners, or representatives. Participating Contractors and their employees must therefore identify themselves as representatives of the Participating Contractor's company, not as representatives of NYSERDA or as NYSERDA employees.

A Participating Contractor employing the services of Subcontractors shall ensure each Subcontractor adheres to the requirements of the Program Manual.

### 2. Participating Subcontractor

NYSERDA strongly encourages the use of other Participating Contractors for subcontracted work to ensure the installed work meets Program standards. Participating Contractors acting as a Subcontractor are expected to perform the work in a manner consistent with Program procedures and policy. Any deficiencies identified in subcontracted work, regardless of the Program participation status of the Subcontractor, are expected to be resolved by the Primary Participating Contractor in a timely manner through either the stated Subcontractor, alternative Subcontractor or directly. Any Participating Contractor serving as a Subcontractor on a Program project may be subject to disciplinary action should the subcontracted work not comply with BPI and other credentialing bodies, required certifications, licenses, permits, and/or Program policies and standards.

NYSERDA will not act as an intermediary between a Participating Contractor and a Subcontractor on a Program project.

### 3. Use of Non-Participating Subcontractor

It is the Participating Contractor's responsibility to make its Subcontractors aware that a non-participating Subcontractor shall not represent itself as able to offer a NYSERDA Program, including incentives or loans. Additionally, any Subcontractor of a Participating Contractor shall not represent itself as working for, approved by, or certified by the State of New York, NYSERDA, or NYSERDA's Implementation Contractors.

The Participating Contractor assumes all responsibilities for services provided by Subcontractors. The Participating Contractor shall ensure non-participating Subcontractor compliance with BPI and other credentialing bodies, required certifications, licenses, permits and/or program policies and standards.

### 4. Use of Subcontractors

#### i. Documentation

Any Subcontractor(s) utilized by a Participating Contractor shall be listed on the Customer's contract with the Customer and shall be submitted to the Program. In addition, the use of Subcontractors should be clearly explained to the Customer prior to the start of work.

#### ii. Business Structure/Subcontractor Relationship

The Participating Contractor shall, upon request from the Program, provide information (company name, address, phone number, email address and addition information as needed) for any Subcontractors who have provided services on Program projects.

#### iii. Poor Performing Subcontractors

Chronic poor workmanship or unprofessionalism associated with a given Subcontractor identified through Customer complaints or through routine Quality Assurance (QA) inspections may result in disciplinary action to the Participating Contractor. In addition, NYSERDA reserves the right to deny future participation of a given Subcontractor on Program projects for any reason including but not limited to poor workmanship, unprofessionalism, or unethical behavior.

#### iv. Past Performance

The Participating Contractor shall not Subcontract with any Participating Contractor that it knows to be under suspension or that has been terminated from the Program, or any other NYSERDA program, without NYSERDA's prior written permission, which shall be given only in NYSERDA's sole discretion. NYSERDA may notify Participating Contractors if any such individuals appear on submitted staffing lists and reserves the right to seek exclusion of that individual, or other remedial actions such as, but not limited to, the imposition of additional oversight measures. An employee of a Subcontractor who has demonstrated unprofessionalism, unethical behavior, or has exhibited poor workmanship on one or more past Program projects may be prohibited from working on Program projects. This includes any staff member associated with a former Participating Contractor who was under suspension or terminated from the Program, or any other NYSERDA program.

These individuals shall not work on Program projects unless NYSERDA provides written permission.



v. Participating Contractor Payments to Subcontractor

It is the Participating Contractor's responsibility to promptly pay any Subcontractors providing services on a Program project to ensure the Subcontractor does not place a lien on the Customer's homes for lack of payment by the Participating Contractor. NYSERDA will not act as an intermediary between a Participating Contractor and a Subcontractor on a Program project. A Participating Contractor not providing payment for services rendered to a Subcontractor on a Program project may be subject to disciplinary action in the event this action discredits NYSERDA or the Program in any way.

## 6.6 Section 6.06 Proper Use of Program Materials

### 1. Marketing Materials

Program Marketing materials are only to be distributed by Participating Contractors. Any Participating Contractor found to be providing Program marketing materials to a non-participating contractor for distribution to Program participants will be subject to disciplinary action. NYSERDA, at its discretion, may grant marketers and outreach providers operating on behalf of a Participating Contractor(s) permission to distribute program materials.

#### i. Website Content

The Participating Contractor shall avoid publishing specific Program content and requirements and uploading copies of NYSERDA forms and applications on their individual company websites. Instead, Participating Contractors shall provide links directly to pertinent content, forms, and applications on NYSERDA's website to ensure the information provided is consistent and up to date for all interested parties.

Participating Contractors shall address any Program changes that may affect the content on their websites in a timely manner.

#### ii. NYSERDA Logo Attribution Guidelines

Participating Contractors may not use NYSERDA's logo; however Participating Contractors are authorized to use the NYSERDA Participating Contractor Attribution Logo subject to the restrictions in these guidelines. The guidelines serve to maintain the integrity of the NYSERDA brand, while providing Participating Contractors the opportunity to leverage their relationship with NYSERDA to engage customers.

Participating Contractors are not NYSERDA employees, partners, or representatives. Participating Contractors and their employees must identify themselves as representatives of the Participating Contractor's company, not as representatives of NYSERDA or as NYSERDA employee or NYSERDA contractor. Participating Contractors may use the Attribution Logo only under the following terms:

- o Only approved Participating Contractors who have a current, executed Participation Agreement with NYSERDA are authorized to use the Attribution Logo.
- o Participating Contractors can only identify themselves with the NYSERDA Participating Contractor Attribution Logo on marketing and promotional materials related to NYSERDA's Programs with current, executed Participation Agreements, such as agendas, newsletters, and event-related materials.
- o The Attribution Logo may not be manipulated, stretched, or skewed in any manner and the proportions must be maintained at all times. The EPS version is a 4-color build vector file. If printing is done by a commercial printer and a spot-color logo file is required, please contact NYSERDA's Marketing Department to request that version. The Pantone color of the logo is PMS 307.

- If an alternate version of the logo is required, please include specific information about the layout space in your request, and we will provide the appropriate version. There are two alternate versions of the NYSERDA logo: white-reversed and one-color black. NYSERDA does not allow other agencies to create alternate versions of our logo.
- NYSERDA requires that the logo be a minimum of 2.25" in width in order to ensure readability. If space requirements do not allow the logo to be 2.25", please contact Diane Welch at (518) 862-1090, extension 3276 to discuss options.
- The Attribution Logo may be used on the Participating Contractor's website only on pages that speak to the Programs but cannot be used in the Participating Contractor's overarching website shell.
- Participating Contractors cannot use the Attribution Logo on business cards, self-identifying items (e.g., shirts, pins), or for TV.

### iii. Logo Request

For initial creation of the Participating Contractor Attribution logo, fill out the online logo request. You must submit a high-resolution vector eps of your logo to <https://nysерda.seamlessdocs.com/f/LogoRequest>

For uses thereafter NYSERDA must review and approve any material containing the NYSERDA logo prior to publication or distribution, including print, web, or other media. To obtain approval, submit a low-resolution PDF to NYSERDA's Marketing Department. Normal turnaround time is 3-5 days. <https://nysерda.seamlessdocs.com/f/LogoRequest>

### iv. Logo Placement

NYSERDA requires a clear space around the logo at all times. The clear space is equal to the height of the first letter of the State name (N), in the size the logo is used. This clear space can be white space, background color, or paper color. Text, images, or other logos must not come closer to NYSERDA's logo.

### v. Review and Approval

NYSERDA will review and approve any material containing the NYSERDA logo prior to publication including print, Web, or other media. Approval may be obtained through submission of a low-resolution PDF to NYSERDA's Marketing Department. If this option is not convenient, please contact Diane Welch at (518) 862-1090, extension 3276 to arrange alternate means of review.

### vi. Contact

To Contact NYSERDA Marketing, please call or email Diane Welch at (518) 862-1090, ext. 3276 or [diane.welch@nysерda.ny.gov](mailto:diane.welch@nysерda.ny.gov), or Cory Nicosia at (518) 862-1090, ext. 3622 or email [cory.nicosia@nysерda.ny.gov](mailto:cory.nicosia@nysерda.ny.gov).

## 2. Use of Program Reference

Should the Participating Contractor no longer wish to participate in the Program, it is required to immediately inform NYSERDA and remove all references to NYSERDA, the Program(s), and Program Financing and Incentives from, including but not limited to, websites, marketing materials, and Energy Assessment reports.

## 6.7 Section 6.07 Computer, Operating System, and Internet Access Requirements

### 1. Minimum Requirements

The Participating Contractor shall have access to a computer with an operating system capable of running any required and necessary Program software. The Participating Contractor shall have an active email account(s) with the ability to receive emails from NYSERDA, the Implementation Contractor(s), and Customers and check email on a regular basis for Program announcements and other communications. The Participating Contractor shall ensure any email addresses on file with NYSERDA are current and must identify a primary Program point of contact. The Participating Contractor shall ensure that all computer equipment has an antivirus solution, and that this solution is kept to the most current level necessary.

The Participation Contractor is prohibited from downloading any type of hacking tools, including but not limited to, network sniffers, vulnerability scanners, or password cracking tools.

### 2. Program Communications

All Participating Contractors and Subcontractors performing work in association with NYSERDA's programs are required to comply with the policies and procedures outlined in the [New York State Information Classification Policy \(NYS-S14-002\)](#) and the [New York State Information Security Controls Standard](#).

In general, when corresponding with Customers, Implementation Contractors, and NYSERDA, use the NYSERDA External Contractor Data Security and Controls Policy to determine the type of Customer information that can be shared based on the platform being used. To minimize the occurrence of incoming emails containing confidential information, please instruct Customers to redact utility account numbers, social security numbers, and bank account numbers if you are requesting documents containing this information. Participating Contractors who fail to comply with the policy will be subject to disciplinary action.

## 7 Article VII. Project Requirements

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The Participating Contractor acknowledges that failure to follow all relevant requirements and procedures as outlined in relevant Program Manuals and Program Announcements may result in loss of applicable Program incentives and/or disciplinary action.

### 7.1 Section 7.01 Project Submission Requirement

The Participating Contractor shall submit according to the policies and procedures in this Agreement, applicable Program Manuals, and Program Announcements. The Participating Contractor shall only submit work under the organization name that is on file with NYSERDA in the executed Agreement.

### 7.2 Section 7.02 Eligible Measures

Eligible Measures are home upgrade options that are eligible for Incentives or financing through NYSERDA's programs that are covered by this Participation Agreement, and meet the requirements stated in the relevant Program Manuals, and affiliated Program documents.

### **7.3 Section 7.03 Pricing**

Where Program pricing is not set, Participating Contractors shall apply fair and reasonable pricing when providing Program services, including subcontracted services, for the installation of work as detailed in the applicable Program Manual(s). NYSERDA reserves the right to request additional information from Participating Contractors on pricing and to obtain comparative price quotes. The Program reserves the right to withhold Program Financing or Incentives or in cases that do not appear to be fair and reasonable, or for which requested documentation has not been provided.

### **7.4 Section 7.04 Customer Contribution**

The Customer is responsible for any balance of work scope costs and the Participating Contractor must clearly state the Customer's contribution, if any, on the contract. The Participating Contractors must not inflate costs to maximize program funding and must not change the required Customer contribution for loans; these actions may result in disciplinary measures.

### **7.5 Section 7.05 Project Payment Processing**

It is expressly understood that NYSERDA and the Implementation Contractor will not initiate the processing of any project payment to a Participating Contractor until all required project documentation has been received and verified as accurate. The list of required project documentation is provided in the applicable Program Manual(s).

### **7.6 Section 7.06 Repayment or Recapture of Program Incentives**

The Participating Contractor acknowledges if NYSERDA determines a Participating Contractor has not strictly adhered to the terms and conditions of the Program for a project, any Program Incentives paid to the Customer and/or Participating Contractor on the project, shall be repaid to, or recaptured by, the Program from the Participating Contractor.

Upon notice from NYSERDA, the Participating Contractor shall provide NYSERDA direct payment within 30 days for the identified outstanding value of any Program Incentives paid on Projects that do not comply with Program terms, conditions, policies, or procedures identified in this Agreement, the applicable Program Manual(s), or Program Announcements. Failure to repay funds owed to NYSERDA may result in referral of the matter to the Attorney General's Office.

### **7.7 Section 7.07 Stop Work Order**

NYSERDA may at any time, by written Order to the Participating Contractor, require the Participating Contractor to stop all or any part of the Work called for by this Agreement for a period of up to ninety (90) days after the Stop Work Order is delivered to the Participating Contractor, and for any further period to which the parties may agree. Any such order shall be specifically identified as a Stop Work Order issued pursuant to this Section. Upon receipt of such an Order, the Participating Contractor shall forthwith comply with its terms and take all reasonable steps to minimize the incurrence of costs

allocable to the Work covered by the Order during the period of work stoppage consistent with public health and safety. Within a period of ninety (90) days after a Stop Work Order is delivered to the Participating Contractor, or within any extension of that period to which the parties shall have agreed, NYSERDA shall, by written notice to the Participating Contractor, either cancel the Stop Work Order, which shall be effective as provided in such cancellation notice (or if not specified therein, upon receipt by the Participating Contractor), or terminate the Work covered by such order.

If a Stop Work Order issued under this Section is cancelled or the period of the Order or any extension thereof expires, the Participating Contractor shall resume Work. An equitable adjustment shall be made in the delivery schedule and or the fee, if any, and in any other provisions of the Agreement that may be affected, and the Agreement shall be modified in writing accordingly, if:

1. the Stop Work Order results in an increase in the time required for, or in the Participating Contractor's cost properly allocable to, the performance of any part of this Agreement, and
2. the Participating Contractor asserts a claim for such adjustments within 30 days after the end of the period of Work stoppage; provided that, if NYSERDA decides the facts justify such action, NYSERDA may receive and act upon any such claim asserted at any time prior to final payment under this Agreement.

If a Stop Work Order is not cancelled and the Work covered by such Order is terminated, the reasonable costs resulting from the Stop Work Order shall be allowed by equitable adjustment or otherwise.

Notwithstanding the provisions of this Section, the maximum amount payable by NYSERDA to the Participating Contractor shall not be increased or deemed to be increased except by specific written amendment hereto.

## **8 Article VIII. Participating Contractor Status Designations**

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The Participating Contractor shall be classified in one of the participation status designations listed in the applicable Program Manual(s). Each status designation shall be subject to limitations or requirements associated with that classification, as detailed in the applicable Program Manual(s). NYSERDA reserves the right to modify the definition, limitations, and requirements of the participation status designations at any time. NYSERDA retains sole discretion for determining the Participating Contractor's progression into and through each status designation. In all cases, NYSERDA's written decision is final.

## **9 Article IX. Quality Assurance and Project Verification**

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The goals of the Quality Assurance (QA) and verification processes are: to verify that projects completed through the Programs meet all Program requirements while maintaining healthy and safe living conditions for the occupants; to identify Participating Contractors who regularly provide effective, high-quality services to their Customers, and to support their efforts; and to enable early detection of

performance and compliance issues, at both individual contractor and Program-wide levels, to support prompt resolution, identify needs for development or delivery of training, and ensure market confidence. Participating Contractors who provide high-quality services may be recognized by NYSERDA through awards or other means, while Participating Contractors who cannot regularly complete Program projects meeting the standards of the Program are subject to probation, suspension, and termination from the Program. The QA process for the Program includes an administrative review and QA field inspections.

The current Program QA and verification policy and procedures documents are in the applicable Program Manual(s), and any updates will be issued to the QA contact for all Participating Contractors as necessary to comply with changing standards or meet the goals of the Program. Participating Contractors shall be responsible for staying current with all revisions to the QA policy documents and BPI and other industry technical standards.

The Participating Contractor shall not inhibit or discourage Customer from participating in the QA and verification process and shall make a good faith effort to facilitate this process. A Customer may request a QA field inspection up to one year after the completion of a Program project; however, the Program goal is to conduct QA field inspections within 90 days from the signing of the Certificate of Completion. Additionally, projects completed for more than one year may be subject to inspection if the situation warrants.

The Participating Contractor shall provide project related information to NYSERDA and its Implementation Contractors, upon request. This information may include, but is not limited to, approved modeling software files, contracts, pictures, and installed product information.

## 10 Article X. Standard Terms and Conditions

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### 10.1 Section 10.01 Relationship of the Parties

It is understood and agreed that the personnel furnished by the Participating Contractor to perform the services stipulated in this Agreement, including personnel who may perform such services at NYSERDA's offices, shall be the Participating Contractor's employee(s) or agent(s), and under no circumstances are such employee(s) to be considered NYSERDA's employee(s) or agent(s), and shall remain the employees of the Participating Contractor, except to the extent required by Section 414(n) of the Internal Revenue Code.

The relationship of the parties to this Agreement is that of independent contractors. Nothing in this Agreement shall be construed as creating a partnership, joint venture, employment, agency, legal representation, or other relationship between NYSERDA and the Participating Contractor for any reason, including but not limited to unemployment, workers' compensation, employee benefits, expense reimbursement, vicarious liability, professional liability coverage, or indemnification. Neither party shall

have the right, power, or authority to obligate or bind the other in any manner not specified in this Agreement.

## **10.2 Section 10.02 No Benefits**

The Participating Contractor agrees that the personnel furnished by the Participating Contractor are determined to be “leased employees” within the meaning of Section 414(n) of the Internal Revenue Code, the Participating Contractor acknowledges that leased employees are excluded from participation in the employee benefit plans, funds, and programs provided by NYSERDA to its employees including, but not limited to, any group health plan, sickness or accident plan, retirement plan, or similar benefit plan provided to employees by NYSERDA, by the terms of such benefit plans, funds or programs. The Participating Contractor agrees to notify NYSERDA if it maintains (or ceases to maintain) a plan described in Section 414(n)(5)(B) of the Internal Revenue Code.

## **10.3 Section 10.03 Notification of Claims/Events**

The Participating Contractor expressly acknowledges NYSERDA’s need to be advised, on an immediate basis, of the existence of any claim or event that might result in a claim or claims against NYSERDA, the Participating Contractor and/or a member of a Participating Contractor’s staff. Accordingly, the Participating Contractor expressly covenants and agrees to notify NYSERDA of any such claim or event, including but not limited to, requests for accommodation and allegations of harassment and/or discrimination, immediately upon the Participating Contractor’s discovery of the same, and to fully and honestly cooperate with NYSERDA in its efforts to investigate and/or address such claims or events, including but not limited to, complying with any reasonable request by NYSERDA for disclosure of information concerning such claim or event even in the event that this Agreement should terminate for any reason.

## **10.4 Section 10.04 Information**

The Participating Contractor shall not use information obtained from NYSERDA or NYSERDA’s designees in conjunction with the Programs for any purpose other than to implement obligations under this Agreement.

The Participating Contractor acknowledges that information obtained from NYSERDA, or NYSERDA’s designees, may include certain information concerning the Program, GJGNY Residential Financing or Customers that is non-public, confidential, or proprietary in nature. The Participating Contractor agrees such information will be kept confidential and will not, without NYSERDA’s prior written consent, be disclosed by the Participating Contractor, its agents, employees, contractors, or professional advisors, other than is expressly required to implement its obligations under this Agreement.

## 10.5 Section 10.05 Indemnification

The Participating Contractor shall protect, indemnify and hold harmless NYSERDA, its Implementation Contractors, 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, attorneys' 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 Participating Contractor's or its Subcontractor's performance of this Agreement, including, but not limited to, any claim or suit resulting from or related to mildew, fungus, moisture intrusion, or mold of every type and nature. The obligations of the Participating Contractor under this Section shall survive any expiration or termination of this Agreement and shall not be limited by any enumeration herein of required insurance coverage.





**NYSERDA**

**New York State  
Energy Research and  
Development Authority**

17 Columbia Circle  
Albany, NY 12203-6399

**toll free:** 866-NYSERDA  
**local:** 518-862-1090  
**fax:** 518-862-1091

[info@nyserda.ny.gov](mailto:info@nyserda.ny.gov)  
[nyserda.ny.gov](http://nyserda.ny.gov)

## How to Become a Participating Contractor

NYSERDA's Single Family Residential Programs provide incentives for energy efficiency work based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through [EmPower New York](#). Tier 3 households are considered moderate income households and are eligible to receive incentives through [Assisted Home Performance with ENERGY STAR®](#).

### **Program Participation Requirements**

Contractors interested in providing energy efficiency services to Tier 1 and Tier 3 households, must be approved by NYSERDA for Program participation. Interested contractors should review the current Participation Agreement found in Section 2 of the [Program Manual](#). Prior to applying, contractors should review this document and Section 5.2 of the [Program Manual](#) to ensure they meet the certification and application requirements for Program participation. It is expected that businesses/organizations applying to become a Participating Contractor are well established with the equipment and knowledge necessary to deliver high quality home performance services.

NYSERDA's Program is supported by CLEAResult, who serves as NYSERDA's Program implementor. CLEAResult maintains a network of regional account managers who provide support to Participating Contractors. Contractors interested in joining the Program should send an email to [support.residential@nyserdera.ny.gov](mailto:support.residential@nyserdera.ny.gov) with their company name, primary contact, address, and a request for an account manager to reach out regarding Program participation. CLEAResult will assign an account manager based on the location provided in the email submission.

Once an account manager has been assigned, they will provide an overview of how the program works, requirements to join, and will answer any questions you have about the Program.

### **Application Materials**

Contractors meeting the participation requirements can complete and submit a Residential Programs Contractor Application found in Section 2 of the [Program Manual](#) along with all of the supporting document identified below.

The applicant shall provide NYSERDA the information below when submitting the Residential Contractor Application, as requested by NYSERDA, or when there are changes or updates to the information previously provided.

- **Completed Residential Programs Contractor Application:** The Applicant must read and submit the completed Agreement Application Signature Form to NYSERDA indicating agreement with its terms. The Residential Programs Contractor Application must be submitted by an individual with the full power and authority to enter into an Agreement

on behalf of the company.

- **Detail of company and staff experience in the energy efficiency sector.** This is a requirement for all new applicants and for returning applicants at NYSERDA's request.
  - Employee roster of both certified and non-certified employees providing work experience, previous firms worked at and training. The contractor must provide sufficient information for Program staff to decide on the qualifications of a contractor to perform work through the Program. It is NYSERDA's sole discretion to request additional information as necessary for determining the eligibility of an applicant in meeting the requirements for participation.
  - Home performance contractors should provide documentation for a minimum of 6 months experience for each type of specialty measure work they are looking to perform through the Program. If for example a contractor is looking to perform oil heat work through the Program, they should document how many installs they have performed for the past 6 months, type of equipment installed, and reference of the standards/procedures used (BPI, manufacturers, NORA) during a typical installation.
- **Certificate of Insurance**
- **DBA form** (if applicable)

## Application Process

### 1. Program review of Application and required supporting documents.

- Once all required paperwork has been submitted, NYSERDA will confirm all necessary paperwork is complete, and review website (if provided), and crowd-sourcing websites.
- Upon satisfactory review and submission of all required documents, a contractor on-boarding interview will be scheduled between NYSERDA, CLEAResult, and the contractor.
  - Contractor will be expected to provide an overview of their services and experience and answer any additional questions posed by questions Program staff or CLEAResult has.
  - Contractor will be provided with the opportunity to ask questions about the Program.

### 2. Contractor Review

- Following on-boarding interview, the Program will decide if the contractor is accepted for participation in the Program. Key evaluation criteria include but are not limited to:
  - Review of the on-boarding interview;
  - The applicant's commitment to fair and ethical business practices as demonstrated through the on-boarding interview and the review of references and crowd-sourcing websites;
  - Documented experience with advanced building science methods;

- Documented prior relevant experience, such as references for completed projects, or participation in other NYSERDA programs;
- A minimum of six months of experience with energy efficiency work is required.

### **Evaluation Criteria for Contractor Acceptance**

NYSERDA will evaluate the information provided on the Residential Programs Contractor Application and review all submitted documentation prior to approving an Agreement. NYSERDA will not decide on Contractor acceptance until all the requested information is received by NYSERDA from the applicant. The decision to fully execute an Agreement is at NYSERDA's sole discretion.

For both new applicants and returning applicants, key evaluation criteria include, but are not limited to the following:

1. An on-boarding interview with NYSERDA and implementation staff. This requirement may be waived for returning applicants, at NYSERDA's discretion.
2. The applicant's commitment to fair and ethical business practices as demonstrated through references and review of other resources including, but not limited to, the Better Business Bureau, NYS Department of Labor, and crowd-sourcing websites.
3. Confirmation that applicant has been in business for a minimum of six months, with documentation of three recently completed energy efficiency projects.
4. Documented experience with advanced building science methods, as demonstrated through proof of professional certifications, training certificates, awards, and review of provided company information and information publicly available.
5. Documented prior relevant experience, such as references for completed projects, or participation in other NYSERDA programs or the Weatherization Assistance Program.
6. Documentation for certifications to related trainings (such as BPI, SPFA, NATE, NORA, manufacturer's installation certification).

For returning applicants, the past performance of the applicant and/or certified individuals in the Program or other similar programs which may include but is not limited to:

1. The quality of workmanship documented through the Program's Quality Assurance (QA) / Quality Control (QC) processes.
2. Demonstration of the applicant's ability to properly, and consistently, follow Program policies and procedures, including minimum production requirements.
3. Satisfactory and expedient resolution of non-conformances discovered during QA field inspection(s).
4. Satisfactory and professional interaction with Program Staff, Program participants, other contractors, and Program implementation contractors.
5. Satisfactory record of fair and ethical business practices.

6. Responsiveness to Program participant complaints, Program implementation contractor inquiries, and NYSERDA directives.
7. Contractors who have been suspended or terminated from the Program or other NYSERDA Programs.

## Program Review and Contractor Notification

### 1. Contractor Review

Following on-boarding interview, the Program will decide if the contractor is accepted for participation in the Program based on the evaluation criteria referenced above.

### 2. Contractor Notification

Following the contractor review, NYSERDA Program staff will determine if the contractor is accepted in the Program and communicate this decision to the contractor and CLEAResult. The notification will be provided via email and will outline next steps and request any additional information needed to set up the contractor for program participation.

### 3. Participating Contractor Status

Once approved for Program participation, the Participating Contractor shall have the participation status of 'Provisional' during, at a minimum, the first 6 months of participation. During this time, NYSERDA may limit the number of projects a Provisional Contractor can submit to the Program as determined based on reported and founded customer complaints or failed QA field inspections, or other compliance issues deemed by NYSERDA as cause for limitation. For additional information on Participating Contractor statuses, please refer to Section 10.1 of the Program Manual.

For additional questions about the Program please reach out to <mailto:support.residential@nyserda.ny.gov>. For questions on the application, please reach out to [hpwes@nyserda.ny.gov](mailto:hpwes@nyserda.ny.gov).

Additional Program information, including access to webinars and Program announcements can be found at <https://hpwescontractorsupport.com/> and information on all NYSERDA offerings can be found at <https://www.nyserda.ny.gov/All-Programs>



EmPower New York Appliance Vendor Agreement Effective October 2022

+ Appliance Vendor: (hereinafter "Vendor")

Street Address:

City:

State:

Zip:

County:

Primary Contact:

Job Title:

Telephone Number:

Email Address:

Please check the regions in which the counties to be served are located

- Capital Region (Albany, Schenectady, Rensselaer, Columbia, Green, Warren, Washington, Hamilton, Saratoga County)
Western (Erie, Niagara, Chautauqua, Cattaraugus, Allegany County)
North Country (Jefferson, Lewis County)
Adirondack (Clinton, Essex, Franklin County)
Mohawk (Schoharie, Montgomery, Fulton, Herkimer, Oneida County)
NYC (New York, Bronx, Queens, Kings, Richmond County)
Finger Lakes (Orleans, Genesee, Wyoming, Monroe, Livingston, Wayne, Ontario, Seneca, Yates, Delaware County)
Southern Tier (Steuben, Schuyler, Tompkins, Chemung, Tioga, Broome, Chenango, and Otsego County)
Mid-Hudson (Sullivan, Orange, Rockland, Ulster, Westchester, Putnam, Dutchess County)
Central (Oswego, Cayuga, Onondaga, Cortland, Oneida, Madison County)

OR

Provide a service radius in miles from your location in the box below:

OR

I wish to serve a radius of \_\_\_ miles from the street address listed above.

Through the New York Residential Existing Homes Program, New York State Energy Research and Development Authority (NYSERDA) offers EmPower New York (hereinafter referred to as "the Program") to deliver energy efficiency and energy-use education to income-eligible households in New York State.

The Program provides cost-effective direct install and home performance measures. Direct install measures include, but are not limited to, replacement of inefficient lighting with energy efficient lighting, replacement of refrigerators and freezers with more efficient appliances. Home performance measures include, but are not limited to, blower-door assisted air sealing,

attic, sidewall and basement insulation, the repair of heating system and domestic hot water equipment, or replacement of heating and domestic hot water heating systems with heat pump technology.

For the purposes of this Vendor Agreement (Agreement), the role of the Vendor will be to replace inefficient refrigerators and freezers for low-income families as identified by the Program. As needed NYSEDA may add additional appliances as Program needs change.

This Agreement sets out the terms and conditions under which Vendors may participate in the Program. Under this Agreement, the Vendor agrees to accept referrals of income-eligible Program participants from NYSEDA's Program Implementer. NYSEDA agrees to provide Program and technical support for participating Vendors.

This Agreement supersedes any previous Agreement, is completely voluntary and can be terminated at any time for any reason by NYSEDA. In the event the Vendor wishes to terminate this Agreement, the Vendor must provide 30-days written notice to NYSEDA.

NYSEDA will make available the following services and support to Vendor:

- Referrals of Program participants for installation of energy saving appliances.
- Program support and training on service delivery, reporting, and payment procedures;
- Access to NYSEDA's NY HP Portal to access Program participant project information;
- Prompt payment for eligible services provided under the Program;
- Quality Assurance (QA) and quality control with prompt feedback to the Vendor to ensure adherence to high standards of quality;
- Easy access to the Program Implementer, for prompt response to Program inquiries.

Prospective Vendors should review this document in its entirety before completing and submitting to the Program for review and consideration. Following the submission of an application package, NYSEDA will evaluate the provided documentation prior to considering an Agreement for approval. For both new applicants and returning applicants, key evaluation criteria include, but are not limited to the following:

- (i) Completion and submission of all the required Program paperwork;
- (ii) The Vendor's commitment to fair and ethical business practices as demonstrated through a review of resources including, but not limited to, the Better Business Bureau, NYS Department of Labor, and crowd-sourcing websites

For returning Vendors only, the past performance of the Vendor and/or Vendor staff in the Program or other similar programs which may include but is not limited to:

- (i) Demonstration of the Vendor's ability to properly, and consistently, follow Program policies and procedures, and timely completion of work;
- (ii) Review of historic Vendor's QA scores;

- (ii) Satisfactory and professional interaction with Program staff, Program participants, Program participants, other Program Contractors and Implementation Staff;
- (iii) Satisfactory record of fair and ethical business practices;
- (iv) Responsiveness to Program participant complaints, Implementation Contractor inquiries, and NYSERDA directives

Following the execution of this Agreement, the Vendor agrees to play an active role in the Program by providing high-quality services to Program participants. As a condition of participating in the Program and accessing NYSERDA's benefits, Vendor agrees to the following:

## **1. Program Requirements**

- A. The Vendor, at no additional cost to NYSERDA, shall maintain or cause to be maintained throughout the term of this Agreement, insurance of the types and in the amounts specified in this Section. All such insurance shall be evidenced by insurance policies, each of which shall: (1) reference this Agreement; name or be endorsed to cover the Vendor as the insured, and NYSERDA and the State of New York as additional insured; and reference all work to be performed under the Program; (2) provide that such policy may not be cancelled or modified until at least 30 days after receipt by NYSERDA of written notice thereof; and be reasonably satisfactory to NYSERDA in all other respects. NYSERDA reserves the right to request insurance documentation and copies of Subcontractor agreements for any Subcontractor, and to request the identity of all participating individuals.

The types and amounts of insurance required to be maintained under this Section are as follows:

- (1) Commercial general liability insurance for bodily injury liability, including death, and property damage liability, incurred in connection with the performance of this Agreement, with minimum limits of \$1,000,000 in respect of claims arising out of personal injury, sickness, or death of any one person, \$1,000,000 in respect of claims arising out of personal injury, sickness or death in any one accident or disaster, and \$1,000,000 in respect of claims arising out of property damage in any one accident or disaster, and
- (2) Workers' Compensation Employers Liability, and Disability Benefits coverage as required by New York State. The Vendor shall maintain Workers' Compensation covering the obligations of the Vendor as required under the provisions of the Workers' Compensation Law, Employers Liability, and Disability Benefits.



If a Vendor is identified as a Sole Proprietor, the contractor must complete and submit form CE-200: <https://ce-200-form.com/>.

The Participating Contract must provide proof of Workers' Compensation upon request by NYSERDA

- B. Not less than 15 days prior to the date any policy furnished or carried pursuant to this Agreement will expire, the Vendor shall deliver to NYSERDA a certificate(s) of insurance evidencing the renewal of such policy(s), and the Vendor shall promptly pay all premiums thereon due. No work shall be performed under this Agreement without current insurance. NYSERDA will not make payments for projects completed under this Agreement without current insurance certificates.
- C. In the event of threatened legal action, claims, encumbrances, or liabilities that may affect NYSERDA hereunder, or if deemed necessary by NYSERDA due to events rendering a review necessary, the Vendor shall deliver to NYSERDA a certified copy of each policy upon request.
- D. Within five working days, or contemporaneously with the requirements of each insurance policy, the Vendor shall notify NYSERDA in writing of the occurrence of any accident, event or incident involving personal injury or property damage that might reasonably result in any complaint or claim, in law or in equity, against the Vendor, any non-Customer party to this Agreement or NYSERDA.
- E. The Vendor shall have access to a computer with an operating system capable of running any required and necessary Program software. The Vendor shall have an active email account(s) with the ability to receive emails from NYSERDA, the Implementation Contractor(s), and Program participants and check email on a regular basis for Program announcements and other communications. The Vendor shall ensure any email addresses on file with NYSERDA are current and must identify a primary Program point of contact. The Vendor shall ensure that all computer equipment has an antivirus solution, and that this solution is kept to the most current level necessary.

The Participation Contractor is prohibited from downloading any type of hacking tools, including, but not limited to, network sniffers, vulnerability scanners, or password cracking tools.

- F. The Vendor shall adhere to the pricing schedule of appliances and Program-approved models are included as Attachment A. This schedule is subject to change based upon 30-days written notice from the Vendor.

- G. In the event an appliance model is not available, the Vendor may substitute for a like in-stock model without Program approval if the following conditions are met:
- a. Substituted model Must be Same size (cubic Feet) as originally ordered model
  - b. Substituted model Must be a White Energy Star Appliance
  - c. Cost of Substituted model must be less than \$150 more than the cost of the originally ordered appliance

If the appliance substitution the Vendor is looking to make falls outside of any of the above criteria, they must reach out to [support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov) for approval

- H. Vendor shall accept referrals from the Program and shall provide services to such referral leads in accordance with the [NY Residential Existing Homes Program Manual](#) (Program Manual or Contractor Resource Manual) and this Agreement.

Vendor recognizes that referrals received from the Program constitute a benefit from NYSERDA and that the Vendor must make every effort to pursue a referral in a timely fashion. If the Vendor fails to properly respond to a referral within 30 days, the referral may be made to another participating Vendor and future referrals may be affected. Vendor shall invoice for all work within 30 days of completion of the appliance delivery.

- I. The Vendor shall not use information obtained from NYSERDA or NYSERDA's designees in conjunction with its participation in the Program for any purpose other than to implement obligations under this Agreement. The Vendor acknowledges that information obtained from NYSERDA, or NYSERDA's designees, may include certain information concerning the Program or Program participants that is non-public, confidential, or proprietary in nature. The Vendor agrees such information will be kept confidential and will not, without NYSERDA's prior written consent, be disclosed by the Vendor, its agents, employees, contractors, or professional advisors, other than is expressly required to implement its obligations under this Agreement.
- J. All Participating Contractors and Subcontractors performing work in association with NYSERDA's programs are required to comply with the policies and procedures outlined in the [New York State Information Classification Policy \(NYS-S14-002\)](#) and the [New York State Information Security Controls Standard](#). In general, when corresponding with Program participants, Implementation Contractors, and NYSERDA, use the NYSERDA External Contractor Data Security and Controls Policy to determine the type of Customer information that can be shared based on the platform being used. To minimize the occurrence of incoming emails containing confidential information, please instruct Program participants to redact utility account numbers, social security numbers and bank account numbers if you are requesting documents containing this information. Vendors who fail to comply with the NYSERDA External Contractor Data Security and Controls Policy will be subject to disciplinary action.

- K. Vendor shall maintain any relevant licenses as required by federal, State, county or municipal governments or any other governmental agencies for work in the trades it undertakes through this Program. Vendor shall produce evidence of current licensing upon request by NYSERDA or its Program Implementer.
- L. Vendor acknowledges that participation in the Program is voluntary, and NYSERDA or its Program Implementer may suspend or terminate Vendor's participation in the Program for any reason, including but not limited to, failure to maintain these standards, poor performance, or inappropriate conduct. In all cases involving termination of Vendor's participation, NYSERDA's written decision is final.
- M. Vendor shall not knowingly employ as a Subcontractor any firm that has been suspended or terminated from this Program or any other NYSERDA program(s) without NYSERDA's prior written permission. An employee of a Subcontractor who has demonstrated unprofessionalism, unethical behavior or has exhibited poor workmanship on one or more past Program projects may be prohibited from working on Program projects.
- N. NYSERDA reserves the right to make changes to the Program upon notice to the Vendor. Programmatic changes announced through Program Announcements will supersede policies and procedures in this Agreement and/or the Program Manual/ Contractor Resource Manual. Such notifications shall be communicated via email and posting of the Program Announcement on the HPwES Contractor Support Site at <http://hpwescontractorsupport.com>.
- O. It is the Vendor's responsibility to ensure the appropriate Program contact's email address is on file with NYSERDA in the event of staff additions/losses or responsibility changes. Vendor acknowledges that failure to follow Program requirements and procedures, including processing of required documents, will jeopardize reimbursement for costs incurred under this Program.
- P. Vendor agrees to perform appliance replacement prior to invoicing NYSERDA for the service. In the event that billing discrepancies are identified for work already paid for, NYSERDA reserves the right to withhold comparable amounts of payments owed to the Vendor until the discrepancies are resolved. Billing for appliance installations which have not been completed may result in termination from the Program.
- Q. If Vendor does not comply with Program guidelines on a particular job, NYSERDA may not approve payment for that job.
- R. It is the sole responsibility of the Vendor and its Subcontractors to obtain and comply with the terms of any required permits for installing appliances through the Program. The Vendor shall produce evidence of applicable permits upon request by NYSERDA or its Program Implementer.

- S. A non-participating Subcontractor of a Vendor shall not represent itself as a participant in the Program or as able to offer Program services and benefits, for the purpose of executing the sale of a non-Program project. Additionally, Vendor shall not permit any Subcontractor to represent itself as working for, approved by, or certified by the State of New York, NYSERDA, or NYSERDA's Program Implementer.
- T. The Vendor shall protect, indemnify and hold harmless NYSERDA, its Implementation Contractors, 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, attorneys' 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 Vendor's or its Subcontractor's performance of this Agreement, including, but not limited to, any claim or suit resulting from or related to mildew, fungus, moisture intrusion or mold of every type and nature. The obligations of the Vendor under this Section shall survive any expiration or termination of this Agreement and shall not be limited by any enumeration herein of required insurance coverage.
- U. The Vendor shall not represent that the services it provides, or the materials it uses, are in any way endorsed or approved by the State of New York, NYSERDA, or NYSERDA's Program Implementer.
- V. The relationship of the parties to this Agreement is that of independent contractors. Nothing in this Agreement shall be construed as creating a partnership, joint venture, employment, agency, legal representation or other relationship between NYSERDA and the Vendor for any reason, including but not limited to unemployment, workers' compensation, employee benefits, expense reimbursement, vicarious liability, professional liability coverage or indemnification. Neither party shall have the right, power, or authority to obligate or bind the other in any manner not specified in this Agreement.
- W. Neither Vendor nor its employees shall represent themselves as employees of or certified by the State of New York, NYSERDA or NYSERDA's Program Implementer. Neither party shall have the right, power or authority to obligate or bind the other in any manner not specified in this Agreement.
- X. The Vendor agrees that the personnel furnished by the Vendor are determined to be "leased employees" within the meaning of Section 414(n) of the Internal Revenue Code, the Vendor acknowledges that leased employees are excluded from participation in the employee benefit plans, funds and programs provided by NYSERDA to its employees including, but not limited to, any group health plan, sickness or accident plan, retirement plan, retirement plan or similar benefit plan provided to employees by NYSERDA, by the terms of such benefit plans, funds or programs. The Vendor agrees to notify NYSERDA if it maintains (or ceases to maintain) a plan described in Section 414(n)(5)(B) of the Internal Revenue Code.

- Y. The Vendor expressly acknowledges NYSERDA's need to be advised, on an immediate basis, of the existence of any claim or event that might result in a claim or claims against NYSERDA, the Vendor and/or a member of a Vendor's staff. Accordingly, the Vendor expressly covenants and agrees to notify NYSERDA of any such claim or event, including but not limited to, requests for accommodation and allegations of harassment and/or discrimination, immediately upon the Vendor's discovery of the same, and to fully and honestly cooperate with NYSERDA in its efforts to investigate and/or address such claims or events, including but not limited to, complying with any reasonable request by NYSERDA for disclosure of information concerning such claim or event even in the event that this Agreement should terminate for any reason.
- Z. NYSERDA may at any time, by written Order to the Vendor, require the Vendor to stop all or any part of the Work called for by this Agreement for a period of up to ninety (90) days after the Stop Work Order is delivered to the Vendor, and for any further period to which the parties may agree. Any such order shall be specifically identified as a Stop Work Order issued pursuant to this Section. Upon receipt of such an Order, the Vendor shall forthwith comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the Work covered by the Order during the period of work stoppage consistent with public health and safety. Within a period of ninety (90) days after a Stop Work Order is delivered to the Vendor, or within any extension of that period to which the parties shall have agreed, NYSERDA shall either:
- a. by written notice to the Vendor, cancel the Stop Work Order, which shall be effective as provided in such cancellation notice, or if not specified therein, upon receipt by the Vendor, or
  - b. terminate the Work covered by such order

If a Stop Work Order issued under this section is cancelled or the period of the Order or any extension thereof expires, the Vendor shall resume Work. An equitable adjustment shall be made in the delivery schedule and or the fee, if any, and in any other provisions of the Agreement that may be affected, and the Agreement shall be modified in writing accordingly, if:

- a. the Stop Work Order results in an increase in the time required for, or in the Vendor's cost properly allocable to, the performance of any part of this Agreement, and
- b. the Vendor asserts a claim for such adjustments within 30 days after the end of the period of Work stoppage; provided that, if NYSERDA decides the facts justify such action, NYSERDA may receive and act upon any such claim asserted at any time prior to final payment under this Agreement.

If a Stop Work Order is not cancelled and the Work covered by such Order is terminated, the reasonable costs resulting from the Stop Work Order shall be allowed by equitable adjustment or otherwise.

Notwithstanding the provisions of this section, the maximum amount payable by NYSERDA to the Provider shall not be increased or deemed to be increased except by specific written amendment hereto.

## **2. Project Requirements**

- A. All refrigerators and freezers installed as part of this Agreement shall be brand new and ENERGY STAR® rated. All refrigerators and freezers installed must include:
  - a. Controls that are understandable and easy to use
  - b. Levelers on front legs.
  - c. Shelf adjustability.
  
- B. All refrigerators installed must include:
  - a. Automatic defrost
  - b. Full shelf in freezer
  - c. Separate freezer control
  
- C. The Vendor shall provide the Program participant with a written warranty of labor and materials. Refrigerators and freezers shall carry a minimum one-year parts and labor warranty from the Vendor, valid from the date the delivery is completed. After one year, the Vendor must honor any valid manufacturer's warrantee for the installed appliance. In the event labor is not covered during this period, the Vendor is expected to charge the Program participant fair market rate for any needed repairs. Damaged or defective items, as determined by the Implementation Contractor, shall be replaced at no cost (including shipping) to the Program. For appliances installed not meeting Program requirements, as identified through a Program participant concern submission or QA inspection, the warranty will be extended one year once the Vendor has remediated all deficiencies to Program/manufacture's standards.
  
- D. The Vendor must provide the Program participant with a reasonable time frame for delivery. A courtesy phone call must be made if they are running more than one hour past the scheduled delivery time.
  
- E. Vendor must maintain satisfactory and professional Program participant interaction, treat Program participants fairly, and shall provide timely completion of work and response to Program participant complaints and NYSERDA directives.

- F. Deliveries must include complete installation into the home, including placement into the designated space and leveling of the new appliance. All refuse related to delivery, including appliance packing materials, must be removed at the time of installation.
- G. The Vendor must make sure that all units are operational before the delivery crew leaves the home.
- H. Vendor shall provide all Program participants with Vendor contact information, and all included manufacturer's documentation that came with the appliance, which at a minimum shall include the manual(s).
- I. Vendor will obtain from the Program participant a delivery receipt signed by the Program participant and identifying the make and model of the appliance installed, as well as the makes and models of appliances removed. It is expressly understood that NYSERDA and its Program Implementer will not approve payment for a job without a delivery slip, signed by the Program participant, identifying the make and model of the appliance(s) installed.
- J. Following the installation of an appliance, the Vendor must make repairs or provide financial compensation within seven working days for any damage done to either the appliance or the home during the installation.
- K. Vendor shall remove old refrigerators and freezers from Program participant's home at the time of installation. The Vendor is responsible to legally dispose of all replaced refrigerators and freezers. All refrigerators and freezers must be dismantled to prevent reuse and parts must not be sold or distributed for reuse. Refrigerants, including but not limited to chlorofluorocarbons (CFC's), hydro chlorofluorocarbons (HCFC's), or 134A (HFC's), must be removed in accordance with Section 608 of the Clean Air Act and 40 CFR Part 82. Any capacitors or ballasts that may contain Polychlorinated biphenyls (PCB's) must be removed and disposed in a manner consistent with federal, state, and local laws. All capacitors must be physically removed and examined. Any capacitor that clearly says "NO PCBS" can be disposed of in a manner consistent with generally accepted industry practices. If the words, "NO PCBS" do not appear on the label, the capacitor contains PCBs and must be incinerated by an EPA approved incineration site or put in a landfill that is permitted to legally handle PCBs. All refrigerators and freezers must be sent to a shredding or baling facility for final destruction and recycling of materials.
- L. If, during the warranty period, the unit fails three times for a problem originating from the manufacturer and/or repair, the Vendor must replace the appliance at no cost to the Program participant.

- M. The Vendor must notify the Program Implementer immediately once they have been made aware of a manufacturing defect identified during the warranty period and assist in ensuring that the manufacturer proactively fixes the defect before the unit fails.
- N. If a refrigerator or freezer fails due to manufacturing defects during the warranty period, the Vendor must reimburse the Program participant for the cost of food spoilage, up to \$300, due to the appliance failure.
- O. If the Program participant has to wait more than three days for a warranty repair part for an appliance provided by the Vendor and the appliance is inoperative, the Vendor must provide a loaner to the family.
- P. If Vendor becomes involved in a dispute with a Program participant over business practices, Vendor shall work with the Program Implementer to resolve the dispute amicably.
- Q. NYSERDA, its Program Implementer or QA Contractor may conduct random field inspections of work that has been performed through the Program as part of this Agreement. Vendor recognizes NYSERDA's commitment to inspect at least 10% of all jobs performed by the Vendor under the Program.
- R. Vendor, upon request of NYSERDA, Program Implementer, or QA Contractor, and at no additional cost to the Program participant, shall make reasonable repairs or corrections as required. This provision survives termination of the Agreement.
- S. Vendor shall maintain effective procedures for QA, for resolution of Program participant complaints or disputes, and for response to Program participant emergencies. Vendor agrees to make these procedures available to NYSERDA or its Program Implementer for review and approval upon request.

**3. Required Disclosures**

- A. Using the space below, Vendor shall disclose whether it (any owner, member, principal, shareholder, officer, or employee) has been suspended or terminated from any NYSERDA program(s) during the past five (5) years. In addition, please provide a written explanation of the circumstances leading to such suspension or termination by attaching additional pages if necessary.

Name

Program

\_\_\_\_\_

\_\_\_\_\_



\_\_\_\_\_  
\_\_\_\_\_

B. Vendor shall disclose whether the company is a Minority or Woman Owned Business.

***Is your company a Minority, Veteran or Woman Owned Business? \_\_\_\_ Yes \_\_\_\_ No***

**APPLICANT CERTIFICATION**

I certify, under the penalties of law that the statements made in this Agreement, and in supporting documentation provided along with this Agreement, have been examined by me and are true and complete and that I have the authority to sign on behalf of Vendor. I understand that by signing this Agreement, I consent to any other inquiry to verify or confirm the information I have given. I hereby authorize any reference identified or provided to NYSERDA by Vendor to release to NYSERDA any information pertaining to past or present relevant work. I hereby release from all liability or damage, NYSERDA and those persons, agencies or organizations who may furnish such information.

Signed:

\_\_\_\_\_  
Name of Vendor Company

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title



Please type the following information, print, and attach to your signed Agreement

Vendor Name: [ ]

Date: [ ]

Refrigerators (please propose at least 3 sizes: 15-16 cu. ft.; 18-19 cu. ft.; 21 cu. ft.)
All refrigerators MUST be ENERGY STAR models

Table with 8 columns: Manufacturer, Model #, Size (cubic foot), kWh/year, Unit Cost, Management Fee, Total Cost. Includes sample data for a refrigerator and rows for Refrigerator 1 through 6 with labels for Exterior Dimensions, Width, Height w/Hinge, and Depth.

If refrigerators are to be provided by a subcontractor, please list name:

[ ]



Please type the following information, print, and attach to your signed Agreement

Vendor Name:

Freezers (please propose at least 2 sizes: 9-10 cu. ft.; 14-15 cu. ft.)

ENERGY STAR models are preferred

	Manufacturer	Model #	Size (cubic foot)	kWh/year	Unit Cost	Management Fee	Total Cost
SAMPLE ONLY							
UPRIGHT <input checked="" type="checkbox"/>	XX	XX12345678901234	10	410	\$ 300.00	\$ 75.00	\$ 375.00
CHEST <input type="checkbox"/>	Exterior	Dimensions, in inches	Width	Height w/Hinge	48	Depth	30
Freezer 1							
UPRIGHT <input type="checkbox"/>	Exterior	Dimensions, in inches	Width	Height w/Hinge		Depth	
CHEST <input type="checkbox"/>							
Freezer 2							
UPRIGHT <input type="checkbox"/>	Exterior	Dimensions, in inches	Width	Height w/Hinge		Depth	
CHEST <input type="checkbox"/>							
Freezer 3							
UPRIGHT <input type="checkbox"/>	Exterior	Dimensions, in inches	Width	Height w/Hinge		Depth	
CHEST <input type="checkbox"/>							
Freezer 4							
UPRIGHT <input type="checkbox"/>	Exterior	Dimensions, in inches	Width	Height w/Hinge		Depth	
CHEST <input type="checkbox"/>							
Freezer 5							
UPRIGHT <input type="checkbox"/>	Exterior	Dimensions, in inches	Width	Height w/Hinge		Depth	
CHEST <input type="checkbox"/>							
Freezer 6							
UPRIGHT <input type="checkbox"/>	Exterior	Dimensions, in inches	Width	Height w/Hinge		Depth	
CHEST <input type="checkbox"/>							

If freezers are to be provided by a subcontractor, please list name:



# EmPower New York

## Appliance Price List Form

### Attachment A

Supplement to EmPower New York Vendor Agreement effective October 1, 2022. This form must be submitted with the Appliance Price List form, a hardcopy must be attached or an electronic copy sent to [elizabeth.lazarou@nyserda.ny.gov](mailto:elizabeth.lazarou@nyserda.ny.gov).

Vendor Name:

I certify, under penalty of law that the revisions made to the pricing schedule for our Appliance Vendor Participation Agreement, submitted on the enclosed Attachment A, for the NYSERDA EmPower New York program, and the statements made in this agreement, have been examined by me and are true and complete. I understand that by signing this price form, my company consents to any other inquiry to verify or confirm the information that I have given.

Vendor Representative

Title

Signature

Date

Welcome to the NY Residential Existing Homes Program. Because of the close interaction that we maintain with our Participating Contractors, it is imperative that the Program be provided with the most current contact information. At any time, should the information submitted on your application, any supporting documentation or this form change, please contact HPwES@nyserda.ny.gov.

### SECTION 1: COMPANY INFORMATION

Legal Company Name

DBA

This company is (check all that apply):

- Minority-owned Business Enterprise     Women-owned Business Enterprise     Certified Veteran-owned Business

### SECTION 2: EMPOWER CONTRACTOR CONTACTS IF YOU DO NOT PARTICIPATE IN EMPOWER SKIP TO SECTION 3

#### PRIMARY PROGRAM CONTACT

The Primary Program Contact is the person with whom the Program communicates regarding program announcements and changes in the contractor's Program status.

Primary EmPower Contact  Title

Email

Phone

#### QUALITY ASSURANCE (QA) CONTACT

The QA Contact is the person with whom implementation staff will communicate with the Participating Contractor regarding scheduling of QA inspections, corrective action reports (CAR's), Job Score Reports (JSR's) and customer concerns.

EmPower QA Contact  Title

Email

#### CRIS CONTACT

The CRIS Contact is the email address to which all project assignments, and project status update will be forwarded. It is strongly recommended that multiple people have access to this inbox to ensure timely and consistent customer service.

Task-Assignment Email

**SECTION 3: HOME PERFORMANCE WITH ENERGY STAR  
ASSISTED HOME PERFORMANCE WITH ENERGY STAR CONTRACTOR CONTACTS  
EMPOWER ONLY CONTRACTORS SKIP TO SUBMISSION**

**PRIMARY PROGRAM CONTACT**

The Primary Program Contact is the person with whom the Program communicates regarding program announcements and changes in the contractor's Program status.

Primary Program Contact  Title   
Email   
Phone

**QUALITY ASSURANCE (QA) CONTACT**

The QA Contact is the person with whom implementation staff will communicate with the Participating Contractor regarding scheduling of QA inspections, corrective action reports (CAR's), Job Score Reports (JSR's) and customer concerns.

Primary Program Contact  Title   
Email

**TASK-ASSIGNMENT EMAIL**

The Task-Assignment Email is the address to which all project assignments, audit application approvals, and project status update will be forwarded. It is strongly recommended that multiple people have access to this inbox to ensure timely and consistent customer service.

Task-Assignment Email

**CUSTOMER-FACING CONTACT INFORMATION**

The customer-facing contact information will be visible to customers in the portal and will be the main method for them to contact your company. There can be only one customer-facing email and phone on record per company.

Customer-Facing Email  Customer-Facing Phone

**SECTION 4: CONTRACTOR PORTAL INFORMATION**

As outlined in the Participation Agreement, Participating Contractors will be listed on NYSERDA's Program Portal. The portal is where customers locate Participating Contractors and where the contractors interface with the Program by submitting project documents. The information entered above allows customers and the Program to contact your company. The information requested in *this* section is your opportunity to convey a message to potential customers about the services your company can offer to them.

All information submitted to NYSERDA for inclusion in your profile must be free of claims, exaggerations or representations about your business or its services that is not substantiated or supported by factual or other objective criteria such as third-party review. NYSERDA has the right to edit for content, grammar, and length, as necessary.

Please indicate any language (other than English) that you or your staff speak fluently. Specifying additional languages will assist customers in choosing a contractor if they have other language needs.

- Chinese  Creole  Arabic  Korean  Italian  Russian  Spanish  Polish  Yiddish  Bengali

Other (please describe) \_\_\_\_\_

## SECTION 5: SERVICE AREA

The following information will be used for the Combined Residential Application where homeowners search for contractors by entering their ZIP code. If you select option 1 below, the search will be performed from the center of the service area you select. If you select option 2, the search will be performed from the center of the ZIP code where your company is located. Please select only one option (by county OR radius, not both).

For EmPower New York contractors, this information will be used for project assignment purposes. If your EmPower territory is different than your Home Performance with ENERGY STAR territory, please complete the information below and contact [support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov) to provide updates to service territory.

It is the contractor's responsibility to obtain all required licenses and permits in the regions in which they provide services per the terms outlined in the Participation Agreement.

I certify my company and any subcontractors utilized on Program projects hold the necessary licenses and permits to perform work in the regions indicated below per the terms outlined in the Participation Agreement.

My Company would like to serve projects ...  
(Please check only ONE)

Within the counties selected below OR  Within a defined radius    Radius (miles)

**Western NY**

- Allegany
- Cattaraugus
- Chautauqua
- Erie
- Niagara

**Finger Lakes**

- Genesee
- Livingston
- Monroe
- Ontario
- Orleans
- Seneca
- Wayne
- Wyoming
- Yates

**Central NY**

- Cayuga
- Cortland
- Madison
- Onondaga
- Oswego

**North Country**

- Clinton
- Essex
- Franklin
- Hamilton
- Jefferson
- Lewis
- St. Lawrence

**Mohawk Valley**

- Fulton
- Herkimer
- Montgomery
- Oneida
- Otsego
- Schoharie

**Capital Region**

- Albany
- Columbia
- Greene
- Rensselaer
- Saratoga
- Schenectady
- Warren
- Washington

**Southern Tier**

- Broome
- Chemung
- Chenango
- Delaware
- Schuyler
- Steuben
- Tompkins

**Mid-Hudson**

- Dutchess
- Orange
- Putnam
- Rockland
- Sullivan
- Ulster
- Westchester

**New York City**

- Bronx
- Kings
- New York
- Queens
- Richmond

**Long Island**

- Nassau
- Suffolk

## SECTION 6: AFFILIATIONS WITH OTHER NYSERDA PROGRAMS

Please disclose your company's active or previous participation in other NYSERDA programs over the last five years.

NYESH     MPP     PV/Solar Thermal     Solar For All     RHNY     ASHP     Clean Heating & Cooling

Other

## SECTION 7: CONTRACTOR PORTAL INFORMATION

### Company Logo

Please supply your company logo (JPG, BMP, PNG, GIF, or TIFF - 10MB or less) along with this completed form

**DO NOT SUBMIT IMAGES THAT ARE NOT YOUR COMPANY'S PROPERTY!**

**If you are renewing and the logo you have already supplied is correct, there is no need to resubmit a new logo file.**

### Description

Please provide a 1-3 paragraph description of your company below, that you want to convey to customers (such as services offered, history of your company, certifications, etc.) If needed, please attach a separate document.

- Check this box if your company is renewing and would like to continue using the description that is currently in the portal.

## SECTION 8: SUPPORTING DOCUMENTATION/ATTACHMENTS CHECKLIST

- Fully completed and signed Residential Contractor Application Form
- Copy of a current insurance certificate with NYSERDA & The State of New York listed as additional insured
- Copy of a DBA certificate (if applicable)
- Details of company and staff experience in the energy efficiency sector (required for all new applicants, renewing contractors with provisional program status or upon NYSERDA request)
- ATTACHMENT A: Employee roster of both certified and non-certified employees providing work experience, previous firms and training
- Contractors should provide documentation for a minimum of six months experience for each specialty measure work they are looking to perform through the Program. (Required for all new applicants and for returning contractors upon NYSERDA request)
- A minimum of 3 Customer Reference letters detailing relevant energy efficiency projects performed within the last six months. (Required for all new applicants and for returning contractors upon NYSERDA request)
- Company Logo and Description

**Applications missing ANY of the required documentation will not be approved**



## SECTION 9: SUBMISSION INFORMATION

EMAIL COMPLETED APPLICATION TO: [residential.programs@nyserda.ny.gov](mailto:residential.programs@nyserda.ny.gov)

-OR-

MAIL COMPLETED APPLICATION PACKAGE TO:

**New York State Energy Research Development Authority  
Attn: NYSERDA Residential Programs  
17 Columbia Circle  
Albany, NY 12203**

*To ensure delivery to your inbox, add [residential.programs@nyserda.ny.gov](mailto:residential.programs@nyserda.ny.gov) to your safe senders list.*

Any time, if the information provided on this Participation Agreement Signature Form and any attachment changes, it must be reported to NYSERDA, in writing or via e-mail to [residential.programs@nyserda.ny.gov](mailto:residential.programs@nyserda.ny.gov).

**Submit this completed form along with a copy of your company logo and description attached to [residential.programs@nyserda.ny.gov](mailto:residential.programs@nyserda.ny.gov) cc:[elizabeth.lazarou@nyserda.ny.gov](mailto:elizabeth.lazarou@nyserda.ny.gov).  
Please include your company name in the subject line.**

## Overview of Household Incentives

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR.

Access to incentives begins through the competition and submission of a Combined Residential Application, which can be accessed at <https://www.nyserdera.ny.gov/ny/ahp-empower>. Each unit/apartment receiving services must complete a separate application. Participating Contractors are encouraged to coordinate additional incentive offerings through the utilities and other agencies/programs such as the Weatherization Assistance Program. When additional funds are identified, the program implementor should be notified to ensure the funds are applied in accordance with Program rules.

### Tier 3

- For households with income less than or equal to 80% of the State or Area Median Income (SMI/AMI), whichever is greater.
- No-cost comprehensive home energy assessments.
- No-cost direct install measures available at the time of the home energy assessment.
- Households can apply for a discount of up to 50% of the cost of eligible work through AHPwES.
  - For single-family owner/rental properties, the project funding cap is \$5,000 per project. Heating system replacement measure incentives are capped at \$2,000 per project.
  - For 2-4 family rental units, project funding caps are based upon \$5,000 for the initial unit and \$2,500 for each additional unit. Heating system replacement measure incentives are capped at \$4,000, regardless of the number of units.
    - Please refer to Section 5.19 of the [Program Manual](#) for additional information on rental property projects.
  - For No-Heat project caps, please see Section 5.9 of the [Program Manual](#).
- Access to low-interest financing through Green Jobs – Green NY (GJGNY) Financing. Additional information on financing options can be found here: <https://www.nyserdera.ny.gov/All-Programs/Programs/Residential-Financing-Options>
- For additional information on Tier 3 offerings, please visit: <https://www.nyserdera.ny.gov/All-Programs/Programs/Assisted-Home-Performance-with-ENERGY-STAR>

### Tier 1

- Households with a combined income less than or equal to 60% of the SMI

- NYSERDA makes available a geo-eligibility tool for Tier 1 income eligibility screening. If your home is located in a pre-screened area, there is no need to submit income documentation as part of the application. Households can access the geo-eligibility tool here: <https://www.nyserdera.ny.gov/ny/ahp-empower/geo-eligible-income-tool>.
- Program provides no-cost measures up to the Program caps.
- For single-family owner/rental properties, the project funding cap is \$10,000 per project. Heating system replacement measure incentives are capped at \$4,000.
- For 2-4 family rental units, project funding caps are based upon \$10,000 for the initial unit and \$5,000 for each additional unit. Heating system replacement measure incentives are capped at \$8,000, regardless of the number of units.
  - Please refer to Section 5.19 of the [Program Manual](#) for additional information on rental property projects.
- For No-Heat project caps, please see Section 5.9 of the [Program Manual](#).
- No-cost comprehensive home energy assessment.
- No-cost direct install measures available at the time of the home energy assessment.
- For additional information on Tier 1 offerings, please visit: <https://www.nyserdera.ny.gov/All-Programs/Programs/EmPower-New-York>.

### Customer Incentives Summary

Income Qualification	Comprehensive Energy Assessment	Direct Install	Customer Incentives <sup>2</sup>	GJGNY Financing <sup>3</sup>		
				On-Bill Recovery	Smart Energy Loan-AutoPay	Smart Energy Loan-Pay by Mail
<b>Low Income Program<sup>1</sup></b>						
<b>Tier 1 &lt;60% SMI</b>	Free	Free	100% of eligible measures, up to the Program caps	3.49%	3.49%	3.99%
<b>Moderate Income Program<sup>4</sup></b>						
<b>Tier 3 61-80% SMI/AMI</b>	Free	Free	Up to 50% of cost of eligible measures up to the Program caps	3.49%	3.49%	3.99%

- <sup>1</sup>Based on State Median or through a home's location within a geo-eligibility pre-screened area.
- <sup>2</sup>Incentives apply only to eligible measures (see section 5.15 of the [Program Manual](#) for measures eligible for incentives and financing).



- <sup>3</sup>Interest rates for energy efficiency work. Consumers may opt to apply for either or both GJGNY loan types. Interest rates for Smart Energy loans that include standard billing by mail are 0.5% higher than the rate shown.
- <sup>4</sup>Based on State Median or Area Median Income, whichever is higher.

## COMBINED RESIDENTIAL APPLICATION

# EmPower New York and Assisted Home Performance with ENERGY STAR®



This checklist will help ensure that your application will be processed in a timely manner. Please place a ✓ in the appropriate box once you have ensured that all Application Sections are complete, and the required documentation is provided. Applications are processed on a first come, first served basis.

General Applicant Information (Sections A, B & C) – Verify that all required fields are completed (unless marked as “optional”).

### **RENTERS ONLY:**

Landlord Name, Address and Phone Number provided in Section C

### **UTILITY INFORMATION (SECTION D):**

Sign Customer Fuel/Energy Bill Release Authorization

Include a copy of complete Electric Bill

Include a copy of complete Gas Utility Bill or bill from Fuel Supplier if heating by propane, oil, kerosene, wood, or coal

### **INCOME INFORMATION (SECTION F & G):**

Verify that all required fields are complete

### **DEMOGRAPHICS (SECTION H): *Optional***

Optional

### **APPLICANT AFFIRMATION (SECTION I):**

Read and sign

### **PLEASE RETURN APPLICATION TO:**

Energy Audit Application  
8 Southwoods Blvd  
Suite 201  
Albany, NY 12211

The following information will help determine which services and programs are most appropriate for you. In some situations, EmPower New York services are provided by agencies of the Weatherization Assistance Program (WAP). In these instances, this application will serve as an application for the WAP and may be forwarded to your local agency for these services. Please print clearly and provide as much information as possible. This application can be completed online at [nyserdera.ny.gov/ahp-empower](http://nyserdera.ny.gov/ahp-empower). Completing the application online is the fastest for NYSERDA to review and approve your application.

## SECTION A: APPLICANT INFORMATION

Applicant Name

Address

Apartment #

NY

City

State

Zip

County

Phone Number *(include area code)*

Secondary Phone *(include area code)*

Email Address

Mailing Address *(if different from above)*

Additional Contact Person

Relationship to Applicant

Phone Number *(include area code)*

## SECTION B: DWELLING INFORMATION

I own  I rent

Single-Family  Multifamily \_\_\_\_\_ # of units  Manufactured/mobile home  Group home/shelter

## SECTION C: OWNER INFORMATION

Owner's Name

Phone Number *(include area code)*

Email Address

Is the Owner's Address the same as the building address?  Yes  No – If "No" please complete the address below.

Address

**OPTIONAL:** Please add any information that we may find helpful in reducing your energy consumption and list occupant health issues or special needs we need to aware of:

**EMPOWER CONTRACTORS AND REFERRING AGENCIES:** Print your business or agency name.

## SECTION D: UTILITY INFORMATION

### *My main heating fuel is:*

Electric  Oil  Kerosene  Natural Gas  Propane  Wood  Pellets  I don't know

Other: \_\_\_\_\_

### *My secondary heating fuel is:*

Electric  Oil  Kerosene  Propane  Wood  Pellets  Coal  I do not have secondary fuel

Other: \_\_\_\_\_

### **ELECTRIC UTILITY: If you are responsible for the electric bill, provide the following:**

Utility Name: \_\_\_\_\_

Account Number: \_\_\_\_\_ If NYSEG or RG&E – POD # \_\_\_\_\_

### **GAS UTILITY: If you are a natural gas utility customer and responsible for the bill, provide the following:**

Utility Name: \_\_\_\_\_

Account Number: \_\_\_\_\_ If NYSEG or RG&E – POD # \_\_\_\_\_

### **PRIMARY FUEL SUPPLIER: if you heat by a fuel other than natural gas or electricity, provide the following:**

Company Name: \_\_\_\_\_

Account Number: \_\_\_\_\_

### **CUSTOMER AUTHORIZATION for Release of Fuel/Energy Bills (for previous two years and future three years)**

My signature certifies that I am financially responsible for the account(s) listed on this application. I hereby consent and authorize the electricity and fuel suppliers named in this application to release any and all energy usage information, including account number(s), related to the above property address, to representatives of the New York State Energy Research and Development Authority (NYSERDA), and the Weatherization Assistance Program (WAP), and/or its designated representatives for the period beginning two years prior to the application date and ending three years after program participation. I understand that this information will be kept confidential, to the extent permitted by law, and used for the purposes of assisting me to utilize the programs, determining eligibility for NYSERDA's residential programs and financial incentives, eligibility for the WAP, for estimating energy savings, and for evaluation purposes.

Customer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## SECTION E: PARTNER INFORMATION

If you would like to work with a specific participating program contractor in NYSERDA's energy efficiency programs, please indicate below. We will work to accommodate your request, but final selection is based on the participating program contractor's availability and acceptance of your project. If you are not working with a program contractor, we will assign the next available participating program contractor from our approved list.

Contractor Name: \_\_\_\_\_

NYSERDA maintains a network of professional energy advisors who may already be assisting you with this program and other NYSERDA programs, utility offerings, and other local resources. If you are currently working with a NYSERDA energy advisor, please indicate which one below. The program will share limited project information with them so they can continue to assist you each step of the way.

NYSERDA Energy Advisor Name: \_\_\_\_\_

## SECTION F: INCOME DOCUMENTATION - Please select one of the following

- A.  Geo-Eligibility: You may be eligible to qualify for incentives based on your address. Visit [nyserdera.ny.gov/ahp-empower](https://nyserdera.ny.gov/ahp-empower) for more information. If you are in a Geo-eligibility area, please check the box.
- B.  Referral letter: If you received a letter from NYSERDA with a referral code, enter it below. If you have a referral code, no additional income documentation is required.

Referral ID#: \_\_\_\_\_

- C.  Provide a copy of ONE of the following: Copy of entire award letter for HEAP, SNAP (Food Stamps), TANF (Temporary Assistance for Needy Families) or Supplemental Security Income dated within the past 12 months
- D.  If A, B, or C above do not apply, then provide income documentation under one of the options below:

### Option 1

- Pay stubs: all household gross income for the last 60 days. To calculate monthly income total, if income is:
  - Weekly: multiply weekly income representing 4 most recent weeks by 4.3
  - Bi-weekly: multiply 2 most recent consecutive weeks by 2.15
  - Twice a month: multiply by 2
- Social Security and Social Security Disability: copy of award letter
- Documentation of all forms of income including disability, worker's compensation, unemployment, pension, maintenance, child support, annuities, Veteran's benefits, and all other income
- Self-Employment: IRS Report of quarterly earnings for the last three months

### Option 2

- Tax returns: This option is only available if all household members who were required to file a tax return did so. If documenting income with tax returns, all sources of income must be documented with tax returns. Returns must be the most recent Federal Income Tax Return (Form 1040, 1040A, or 1040EZ). If documenting rental, business or farm income – you must submit corresponding schedules (Schedule C, E, and F).

## SECTION G: INCOME INFORMATION

Total number of members in the household? \_\_\_\_\_

*Include the following information for each household member.*

Full Name	Gender (optional)	Age	Student (Yes or No)	Source(s) of Income	Weekly	Monthly	Yearly
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
<b>Total Income for the Household</b>					\$	\$	\$



## SECTION H: DEMOGRAPHICS

To assist NYSERDA understand the impacts of our programs on local communities, please complete the below demographic questions. Answering these questions is optional and does not affect your program eligibility.

**Indicate the number of household members who are:**

60 years of age or older: \_\_\_\_\_ Disabled: \_\_\_\_\_ 17 years of age or younger: \_\_\_\_\_ Veteran: \_\_\_\_\_

**Indicate if a member of the household is:** (select at least one, and as many as applicable)

- |  |  |
|--|--|
| <input type="checkbox"/> Prefer Not to Answer                            | <input type="checkbox"/> Native Hawaiian or Pacific Islander |
| <input type="checkbox"/> Hispanic or Latinx                              | <input type="checkbox"/> White                               |
| <input type="checkbox"/> Native American / First Nation / Alaskan Native | <input type="checkbox"/> Unknown                             |
| <input type="checkbox"/> Asian   | <input type="checkbox"/> Other                               |
| <input type="checkbox"/> Black or African American                       |  |

## SECTION I: APPLICANT AFFIRMATION

I authorize the release of my eligibility determination and information provided on this application, supporting documents including income documentation, as well as information regarding my project status to the following: NYSERDA and its representatives; the NYS Weatherization Assistance Program (WAP) and/or its designated representatives; any community-based organizations working on behalf of NYSERDA programs; my electric and natural gas utilities; and the following individuals or organizations: \_\_\_\_\_ whom I have engaged for the purpose of assisting me with the completion and submittal of the application.

I understand that the information provided by me may be used to contact or assist me to utilize any current or future program offerings I may be eligible for and for the purposes of determining eligibility for NYSERDA and/or utility residential programs and financial incentives, determining eligibility for the NYS WAP, for estimating energy savings potential, and for evaluation purposes. I understand that all information will be kept confidential to the extent permitted by law. I understand that if services are provided to me through NYSERDA's residential programs or the NYS WAP, that my participation in these programs will not affect my social security, public assistance, or any other income.

I understand that this application does not guarantee that assistance will be granted to me. Whether or not services are provided will depend on the number of applications received and the availability of funds and priorities established by the programs.

I agree to provide NYSERDA representatives, the NYS WAP representatives, and independent participating contractors access to my dwelling, at times that are mutually acceptable, to perform program activities including energy inspections, installation of measures, Quality Assurance, and evaluation activities. I understand that participating contractors are independent contractors and provide a one-year warranty on labor for work completed. I further understand that participating contractors and vendors will provide appropriate warranties on any equipment provided and that no additional warranties are provided by NYSERDA or the NYS WAP.

I subscribe and affirm, under the penalties of law, that the statements made on all parts of this application, including statements made on any accompanying documents, have been examined by me and are to the best of my knowledge true and complete.

I understand that my signature on this form gives permission for NYSERDA, representatives of the NYS WAP, and their designees to assure my eligibility for NYSERDA's programs and the NYS WAP. I consent to any inquiry to verify or confirm the information that I have given. I understand that if I give false information or withhold information in order to receive benefits that I am not entitled to, I can be prosecuted to the fullest extent of the law. I also state that no person named in this application is subject to disqualification for weatherization services under the Immigration Reform and Control Act of 1986 (Public Law 99-063).

---

Applicant Signature

Date

---

Applicant Representative Signature

Date

Your contact information may be shared with other residential programs within NYSERDA. To opt out of this, please initial here. \_\_\_\_\_

**INTERNAL USE ONLY**

Reviewed By:  HEAP  OFA  Utility  Weatherization Subgrantee  EmPower  Other: \_\_\_\_\_

Check all benefits that the household receives:  SSI  HEAP  SNAP  TANF

On the basis of the information provided by the applicant, the household is determined to be:

- Eligible for AHP Only  Eligible for Weatherization  NOT Eligible for Weatherization  
 Eligible for EmPower  NOT Eligible for EmPower  EmPower eligible, but wait-listed for Weatherization

Check here if:

- Household was previously served by Weatherization  
 Household ineligible for further services through EmPower

Additional Comments:

Empower Representative Signature

Title

Date





NYSERDA

طلب السكن المدمج

## طلب السكن المدمج - EmPower New York والأداء المنزلي المُدعم مع ENERGY STAR®

ستساعد قائمة التحقق هذه على ضمان تناول ومعالجة طلبك في الوقت المناسب. برجاء وضع ✓ في المربع المناسب بمجرد التأكد من اكتمال جميع أقسام الطلب وتقديم الوثائق المطلوبة تباعاً. تتم تناول ومعالجة الطلبات على أساس نظام الأولوية للأسبقية.

معلومات عامة خاصة بمقدم الطلب (الأقسام (أ) و(ب) و(ج)) - تحقق من إكمال جميع الحقول المطلوبة (ما لم يتم وضع علامة "اختياري").

### المستأجرون فقط:

يُسجل اسم المالك وعنوانه ورقم هاتفه في القسم (ج)

### معلومات عن المرافق (القسم د):

توقيع العميل على تصريح تحرير فاتورة الوقود/الطاقة

إرفاق نسخة كاملة من فاتورة الكهرباء

تضمين نسخة كاملة من فاتورة مرفق الغاز أو فاتورة صادرة من مزود الوقود في حالة التسخين بالبروبان أو الزيت أو الكيروسين أو الخشب أو الفحم

### معلومات عن الدخل (القسم و) و (ز):

تحقق من أن جميع الحقول المطلوبة كاملة

البيانات الديموغرافية / التركيبية السكانية (القسم ح): اختياري

اختياري

### تأكيد مقدم الطلب (القسم ط):

برجاء القراءة والتوقيع

برجاء إرسال الطلب إلى العنوان التالي:

Energy Audit Application  
8 Southwoods Blvd  
Suite 201  
Albany, NY 12211

ستساعد المعلومات التالية في تحديد الخدمات والبرامج الأنسب لك. في بعض الحالات، يتم تقديم خدمات EmPower New York من قبل وكالات برنامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP). في هذه الحالات، سيكون هذا الطلب بمثابة طلب مرسل إلى برنامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP) ويمكن إعادة توجيهه إلى وكالتك المحلية للحصول على تلك الخدمات. برجاء الطباعة بوضوح وتقديم أكبر قدر ممكن من المعلومات. يمكن إكمال هذا الطلب عبر الإنترنت [nyserdera.ny.gov/ahp-empower](http://nyserdera.ny.gov/ahp-empower). خيار إكمال الطلب عبر الإنترنت هو الخيار الأسرع بالنسبة لهيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) لمراجعة طلبك والموافقة عليه.

### القسم (أ): معلومات عن مقدم الطلب

اسم مقدم الطلب	
العنوان	رقم الشقة نيويورك
المدينة البريدي	الولاية الرقم
المقاطعة	
رقم الهاتف (اكتب كود المنطقة)	رقم الهاتف الثاني (اكتب كود المنطقة)
البريد الإلكتروني	
العنوان البريدي (إن كان مختلفاً عن العنوان البريدي المذكور سلفاً)	
جهة/شخص إضافي يمكن الاتصال به	صلته بمقدم الطلب رقم الهاتف (اكتب كود المنطقة)

### القسم (ب): معلومات عن المسكن

أمتلك  استأجر  
 عائلة واحدة  متعدد العائلات عدد \_\_\_\_\_ من الوحدات  مسكن مصنع / منزل متنقل  مسكن جماعي / ماوى

### القسم (ج): معلومات عن المالك:

اسم المالك	رقم الهاتف (اكتب كود المنطقة)
البريد الإلكتروني	
هل عنوان المالك مطابق لعنوان المبنى؟ <input type="checkbox"/> نعم <input type="checkbox"/> لا - إذا كانت الإجابة "لا"، برجاء كتابة العنوان في الحقل أدناه.	

العنوان

اختياري: برجاء إضافة أي معلومات قد نجدها مفيدة في تقليل معدل استهلاكك للطاقة وذكر المشكلات الصحية للسكان أو الاحتياجات الخاصة التي نحتاج إلى أن نكون على علم بها:

مقاولو EMPOWER والوكالات المحولة: اكتب اسم الشركة أو الوكالة التجارية بأحرف واضحة.

## القسم (د): معلومات عن المرافق

يعتبر المصدر الرئيسي لوقود التدفئة في محل إقامتي هو:

الكهرباء  الزيت  الكيروسين  الغاز الطبيعي  البروبان  الخشب  الكريات  لا أعلم  أخرى: \_\_\_\_\_

يعتبر المصدر الثاني / الاحتياطي لوقود التدفئة في محل إقامتي هو:

الكهرباء  الزيت  الكيروسين  البروبان  الخشب  الكريات  الفحم  لا أملك مصدر ثاني / احتياطي للوقود  أخرى: \_\_\_\_\_

مرفق الكهرباء: إذا كنت مسؤولاً عن دفع فاتورة استهلاك الكهرباء، قدم ما يلي:

اسم المرفق: \_\_\_\_\_

رقم الحساب: \_\_\_\_\_ إذا كان صادر من شركة/وكالة ولاية نيويورك للكهرباء والغاز (NYSEG) أو الرقم الصادر من شركة/وكالة روتشيستر للكهرباء والغاز - نقطة تقديم الخدمة (RG&E - POD #) \_\_\_\_\_

مرفق الغاز: إذا كنت أحد عملاء لمرفق الغاز الطبيعي ومسؤول عن دفع فاتورة الاستهلاك، فقدم ما يلي:

اسم المرفق: \_\_\_\_\_

رقم الحساب: \_\_\_\_\_ إذا كان صادر من شركة/وكالة ولاية نيويورك للكهرباء والغاز (NYSEG) أو الرقم الصادر من شركة/وكالة روتشيستر للكهرباء والغاز - نقطة تقديم الخدمة (RG&E - POD #) \_\_\_\_\_

المزود الرئيسي للوقود: إذا قمت باستخدام وقود غير الغاز الطبيعي أو الكهرباء لأغراض التدفئة والتسخين، فقدم ما يلي:

اسم الشركة: \_\_\_\_\_

رقم الحساب: \_\_\_\_\_

تفويض العميل للإفراج عن فواتير استهلاك الوقود / الطاقة (للسنتين السابقتين وثلاث سنوات مستقبلية)

أقر بتوقيعي أدناه أنني مسؤول ماليًا عن الحساب (الحسابات) المدرجة في هذا الطلب. أقر بموجب هذا وأصرح لموردي الكهرباء والوقود المذكورين في هذا التطبيق بالإفصاح عن أي وجميع معلومات تتعلق باستهلاك الطاقة، بما في ذلك رقم (أرقام) الحساب الخاصة بعنوان العقار أعلاه، إلى ممثلي هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) وبرنامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP) و/أو ممثليه المعينين للفترة التي تبدأ قبل عامين من تاريخ تقديم الطلب وتنتهي بعد ثلاث سنوات من المشاركة في البرنامج. أفهم وأقر أن هذه المعلومات ستبقى سرية، في حدود ما يسمح به القانون، وستستخدم لمساعدتي في طلباتي للاستفادة من البرامج وتحديد الأهلية والأحقية للحصول على مزايا البرامج السكنية والحوافز المالية المقدمة من هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) وبرنامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP) ولتقدير وفورات الطاقة ولأغراض التقييم.

توقيع العميل: \_\_\_\_\_ التاريخ: \_\_\_\_\_

## القسم (هـ): معلومات الشريك

إذا كنت ترغب في العمل مع مقاول معين لبرنامج تشاركي في برامج كفاءة الطاقة المقدمة من هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA)، فبرجاء الإشارة لذلك أدناه. سنعمل على تلبية طلبك لكن الاختيار النهائي يعتمد على مدى توفر مقاول البرنامج التشاركي وقبوله لمشروعك. إذا كنت لا تعمل مع مقاول برنامج، فسنعين لك أول مقاول متاح للبرنامج التشاركي من قائمتنا المعتمدة.

اسم المقاول: \_\_\_\_\_

تقدم هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) شبكة من مستشاري الطاقة المحترفين الذين قد يساعدونك بالفعل في هذا البرنامج وبرامج هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) الأخرى وعروض خدمات المرافق والموارد المحلية الأخرى. إذا كنت تعمل حالياً مع أحد مستشاري الطاقة التابع لهيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA)، فبرجاء تحديد أحدهم أدناه. سيشاركهم البرنامج معلومات محدودة عن المشروع حتى يتمكنوا من الاستمرار في مساعدتك في كل خطوة في هذا السبيل.

اسم مستشار الطاقة في هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA): \_\_\_\_\_



لمساعدة هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) في فهم التأثيرات الناتجة عن إطلاق برامجنا على المجتمعات المحلية، برجاء إكمال الأسئلة التي تتعلق بذكر البيانات الديموغرافية (التركيبية السكانية) أدناه. الإجابة على هذه الأسئلة اختيارية ولا تؤثر على أهليتك للحصول على خدمات هذا البرنامج.

حدد عدد أفراد الأسرة الذين هم:

بسن 60 عاماً أو أكثر: \_\_\_\_\_ من ذوي الإعاقة: \_\_\_\_\_ بسن 17 عاماً أو أقل: \_\_\_\_\_ من المحاربين القدامى: \_\_\_\_\_

حدد إن كان أحد أفراد الأسرة: (حدد خياراً واحداً على الأقل ، أو اختيارات متعددة حسبما تقتضيه الحالة)

- لا أفضل الإجابة
- من أصول هسبانية أو لاتينية
- من سكان جزر هاواي والمحيط الهادئ الأصليين
- من الأميركيين الأصليين / الأمم الأولى / سكان الاسكا الأصليين
- من أصل غير معلوم
- آسيوي
- أسود أو أفريقي أميركي
- آخر

### القسم (ط): تأكيد مقدم الطلب

أفوض وأسمح بالإفراج عن المعلومات الخاصة بتحديد أهليتي وأهليتي بالحصول على مزايا البرنامج والمعلومات المقدمة في هذا الطلب والمستندات الداعمة بما في ذلك وثائق تحديد وتوثيق الدخل بالإضافة إلى المعلومات المتعلقة بحالة مشروعني إلى ما يلي: هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) وممثليها؛ برنامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP) و/أو ممثلي المعينين؛ أي منظمات مجتمعية تعمل نيابة عن برامج هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA)؛ مرافق الكهرباء والغاز الطبيعي الخاصة بي؛ بالإضافة إلى الأفراد أو المنظمات التالية:

الذين أشركتهم لغرض مساعدتي في إكمال الطلب وتقديمه.

أفهم وأقر أن المعلومات التي قدمتها قد تُستخدم للتواصل معي أو مساعدتي في الاستفادة من أي عروض برامج حالية أو مستقبلية قد أكون مؤهلاً لها تبعاً لأغراض تحديد الأهلية والأهلية للحصول على مزايا برامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP) في ولاية نيويورك، ولتقدير التوقعات الخاصة بوفورات الطاقة ولأغراض التقييم. أفهم وأقر أن جميع المعلومات ستبقى سرية في حدود ما يسمح به القانون. أفهم وأقر أنه إذا تم تقديم الخدمات لي من خلال البرامج السكنية المقدمة من قبل هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) أو برامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP) في ولاية نيويورك، فإن مشاركتي في هذه البرامج لن تؤثر على مزايا الضمان الاجتماعي أو الإعانات الحكومية أو أي دخل آخر.

أفهم وأقر أن هذا الطلب لا يضمن لي الحصول على هذا الدعم. سيعتمد تقديم الخدمات من عدمه على عدد الطلبات الواردة وتوافر الأموال والأولويات التي تحدها البرامج.

أوافق على تزويد ممثلي هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) وبرامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP) في ولاية نيويورك والمقاولين المشاركين المستقلين بالوصول إلى مسكني، في الأوقات التي يتفق عليها الطرفان، لأداء أنشطة البرنامج بما في ذلك عمليات فحص مصادر الطاقة وتنفيذ الإجراءات وضمان الجودة وأنشطة التقييم. أفهم وأقر أن المقاولين المشاركين هم مقاولون مستقلون ويقدمون ضماناً لمدة عام واحد على العمل المنجز. أفهم وأقر أيضاً أن المقاولين والبائعين المشاركين سيقدمون الضمانات المناسبة على أي معدات مقدمة وأنه لا توجد ضمانات إضافية مقدمة من قبل هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) وبرامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP) في ولاية نيويورك.

أؤيد وأؤكد، بموجب العقوبات المنصوص عليها في القانون، أن البيانات التي تم الإدلاء بها في جميع أجزاء هذا الطلب، بما في ذلك البيانات التي تم الإدلاء بها على أي مستندات مصاحبة لهذا الطلب، قد تم فحصها من قبلي وهي على حد علمي صحيحة وكاملة.

أفهم وأقر أن توقيعي على هذا النموذج يمنح الإذن لهيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) وممثلي برامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP) في ولاية نيويورك ومصمميهم لتأكيد أهليتي وأهليتي بالحصول على مزايا برامج هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA) وبرامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP) في ولاية نيويورك. أوافق على الإجابة على أي استفسار للتحقق أو التأكد من المعلومات التي قدمتها. أفهم وأقر أنه إذا قدمت معلومات خاطئة أو حجبت معلومات من أجل الحصول على مزايا لا يحق لي الحصول عليها، سأعرض نفسي للمحاكمة أن أحكم إلى أقصى حد يسمح به القانون. أصرح أيضاً أنه لا يوجد أي شخص ورد اسمه في هذا الطلب يخضع للاستبعاد من خدمات برامج حماية المنازل من عوامل الطقس السيئة بموجب قانون إصلاح ومراقبة الهجرة لعام 1986 (القانون العام 99-063).

التاريخ

توقيع مقدم الطلب

التاريخ

توقيع ممثل مقدم الطلب

قد تتم مشاركة بيانات الاتصال الخاصة بك مع البرامج السكنية الأخرى المقدمة من قبل هيئة أبحاث وتطوير الطاقة بولاية نيويورك (NYSERDA). لإلغاء الاشتراك في هذه الخدمة، برجاء كتابة الأحرف الأولى من اسمك هنا \_\_\_\_\_

تمت المراجعة بواسطة:  برنامج المساعدة في الطاقة المنزلية (HEAP)  مكتب المساعدات العائلية (OFA)  المرافق  منح حماية المنازل من عوامل الطقس السيء من الباطن  EmPower  أخرى: \_\_\_\_\_

قم بوضع علامة أمام جميع المزايا التي تحصل عليها الأسرة:  دخل الضمان التكميلي (ISS)  برنامج المساعدة في الطاقة المنزلية (HEAP)  برنامج المساعدة الغذائية التكميلية (SNAP)  برنامج المساعدة المؤقتة للأسر المحتاجة في الولايات المتحدة الأمريكية (TANF)  طبقاً للمعلومات التي قدمها مقدم الطلب، تم تحديد الأسرة على أنها:

مؤهل لبرنامج خدمات السكن الميسور الكلفة في إطار الشراكة (AHP) فقط  مؤهل للحصول على خدمات برامج مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP)  غير مؤهل للحصول على خدمات برامج مساعدة وحماية المنازل من عوامل الطقس (WAP)

مؤهل للحصول على الخدمات المقدمة عبر EmPower  غير مؤهل للحصول على الخدمات المقدمة عبر EmPower  مؤهل للحصول على الخدمات المقدمة عبر EmPower لكن في قائمة الانتظار للحصول على خدمات مساعدة وحماية المنازل من عوامل الطقس السيئة (WAP)

قم بوضع علامة هنا في حال:

كانت الأسرة تحظى بخدمات حماية المنازل من عوامل الطقس السيئة في السابق

الأسرة غير مؤهلة للحصول على المزيد من الخدمات عبر EmPower

تعليقات إضافية:

التاريخ

اللقب الوظيفي

توقيع ممثل EmPower



NYSDERDA



# EmPower নিউ ইয়র্ক এবং ENERGY STAR® এর সাথে সহায়তায় হোম পারফরম্যান্স

এই চেকলিস্ট আপনার আবেদন একটি সময়মত পদ্ধতিতে প্রক্রিয়া করা হবে তা নিশ্চিত করতে সাহায্য করবে। একবার আপনি নিশ্চিত গেলে যে সমস্ত আবেদন বিভাগ সম্পূর্ণ হয়েছে, এবং প্রয়োজনীয় ডকুমেন্টেশন সরবরাহ করা হয়েছে, অনুগ্রহ করে উপযুক্ত বাক্সে একটি ✓ রাখুন। আগে আসলে আগে পাবেন ভিত্তিতে আবেদন প্রক্রিয়া করা হয়।

সাধারণ আবেদনকারীর তথ্য (বিভাগ এ, বি এবং সি) - যাচাই করুন যে সমস্ত প্রয়োজনীয় ক্ষেত্র সম্পূর্ণ হয়েছে (যদি না "ঐচ্ছিক" হিসাবে চিহ্নিত করা হয়)।

## শুধু ভাড়াটেরা:

জমির মালিকের নাম, ঠিকানা এবং ফোন নম্বর সি সেকশনে দেওয়া আছে

## ইউটিলিটি তথ্য (বিভাগ ডি):

গ্রাহক জ্বালানী/শক্তি বিল রিলিজ অনুমোদন স্বাক্ষর করুন

সম্পূর্ণ বৈদ্যুতিক বিলের একটি অনুলিপি অন্তর্ভুক্ত করুন

প্রোপেন, তেল, কেরোসিন, কাঠ বা কয়লা দ্বারা গরম করা হলে সম্পূর্ণ গ্যাস ইউটিলিটি বিল বা জ্বালানী সরবরাহকারীর বিলের একটি অনুলিপি অন্তর্ভুক্ত করুন

## আয়ের তথ্য (এফ এবং জি বিভাগ):

সমস্ত প্রয়োজনীয় ক্ষেত্র সম্পূর্ণ হয়েছে তা যাচাই করুন

## ডেমোগ্রাফিক (বিভাগ এইচ): ঐচ্ছিক

ঐচ্ছিক

## আবেদনকারী নিশ্চিতকরণ (বিভাগ আই):

পড়ুন এবং স্বাক্ষর করুন

## অনুগ্রহ করে এখানে আবেদনটি ফেরত দিন:

এনার্জি অডিট অ্যাপ্লিকেশন  
8 Southwoods Blvd  
Suite 201  
Albany, NY 12211

নিম্নলিখিত তথ্যগুলি আপনার জন্য কোন পরিষেবা এবং প্রোগ্রামগুলি সবচেয়ে উপযুক্ত তা নির্ধারণ করতে সাহায্য করবে। কিছু পরিস্থিতিতে, EmPower নিউ ইয়র্ক পরিষেবাগুলি ওয়েদারাইজেশন অ্যাসিসট্যান্স প্রোগ্রাম (WAP) এর সংস্থাগুলি দ্বারা সরবরাহ করা হয়। এই ক্ষেত্রে, এই অ্যাপ্লিকেশনটি WAP-এর জন্য একটি অ্যাপ্লিকেশন হিসাবে কাজ করবে এবং এই পরিষেবাগুলির জন্য আপনার স্থানীয় সংস্থার কাছে ফরওয়ার্ড করা হতে পারে। অনুগ্রহ করে স্পষ্টভাবে প্রিন্ট করুন এবং যতটা সম্ভব তথ্য প্রদান করুন। এই অ্যাপ্লিকেশনটি অনলাইনে সম্পূর্ণ করা যেতে পারে এখানে [nyscrda.ny.gov/ahp-empower](http://nyscrda.ny.gov/ahp-empower)। অনলাইনে আবেদনটি পূরণ করা NYSERDA-এর জন্য আপনার আবেদন পর্যালোচনা এবং অনুমোদনের জন্য সবচেয়ে দ্রুত।

## বিভাগ এ: আবেদনকারীর তথ্য

আবেদনকারীর নাম

ঠিকানা

অ্যাপার্টমেন্ট #

NY

নগর

রাজ্য

জিপি

কাউন্টি

ফোন নম্বর (এরিয়া কোড সহ)

সেকেন্ডারি ফোন (এরিয়া কোড সহ)

ইমেইল অ্যাড্রেস

ডাক পাঠানোর ঠিকানা (যদি উপরের থেকে আলাদা হয়)

অতিরিক্ত যোগাযোগের ব্যক্তি

আবেদনকারীর সাথে সম্পর্ক

ফোন নম্বর (এরিয়া কোড সহ)

## বিভাগ বি: বাসস্থানের তথ্য

আমি মালিক

আমি ভাড়া থাকি

একক-পরিবার

অনেকগুলো পরিবার \_\_\_\_\_ # গুলো ইউনিটের

তৈরি/মোবাইল হোম

গ্রুপ হোম/আশ্রয়কেন্দ্র

## বিভাগ সি: মালিকের তথ্য

মালিকের নাম

ফোন নম্বর (এরিয়ার কোড সহ)

ইমেইল অ্যাড্রেস

মালিকের ঠিকানা কি বিল্ডিং ঠিকানার মতোই?  হ্যাঁ  না - যদি "না" হয় অনুগ্রহ করে নিচের ঠিকানাটি সম্পূর্ণ করুন।

ঠিকানা

**ঐচ্ছিক:** অনুগ্রহ করে এমন যেকোন তথ্য যোগ করুন যা আপনার শক্তি খরচ কমাতে সহায়ক হতে পারে এবং বাসিন্দাদের স্বাস্থ্য সমস্যা বা বিশেষ চাহিদার তালিকা করুন যা সম্পর্কে আমাদের সচেতন হতে হবে:

**EMPOWER ঠিকাদার এবং রেফারিং এজেন্সি:** আপনার ব্যবসা বা সংস্থার নাম প্রিন্ট করুন।

## বিভাগ ডি: ইউটিলিটি তথ্য

### আমার প্রধান গরমকারী জ্বালানী হল:

- বিদ্যুৎ  তেল  কেরোসিন  প্রাকৃতিক গ্যাস  প্রোপেন  কাঠ  প্যালেটস  আমি জানিনা  
 অন্যান্য: \_\_\_\_\_

### আমার সহায়ক গরমকারী জ্বালানী হল:

- বিদ্যুৎ  তেল  কেরোসিন  প্রোপেন  কাঠ  প্যালেটস  কয়লা  আমার কোন সহায়ক গরমকারী জ্বালানী নেই  
 অন্যান্য: \_\_\_\_\_

### বৈদ্যুতিক ইউটিলিটি: আপনি যদি বৈদ্যুতিক বিলের জন্য দায়ী হন তবে নিম্নলিখিতগুলি প্রদান করুন:

ইউটিলিটির নাম: \_\_\_\_\_

অ্যাকাউন্ট নম্বর: \_\_\_\_\_ যদি NYSEG বা RG&E - POD # \_\_\_\_\_

### গ্যাস ইউটিলিটি: আপনি যদি একজন প্রাকৃতিক গ্যাস ইউটিলিটি গ্রাহক হন এবং বিলের জন্য দায়ী হন, তাহলে নিম্নলিখিতগুলি প্রদান করুন:

ইউটিলিটির নাম: \_\_\_\_\_

অ্যাকাউন্ট নম্বর: \_\_\_\_\_ যদি NYSEG বা RG&E - POD # \_\_\_\_\_

### প্রাথমিক জ্বালানী সরবরাহকারী: আপনি যদি প্রাকৃতিক গ্যাস বা বিদ্যুৎ ছাড়া অন্য কোনো জ্বালানী দিয়ে গরম করেন, তাহলে নিম্নলিখিতগুলি সরবরাহ করুন:

কোম্পানির নাম: \_\_\_\_\_

অ্যাকাউন্ট নম্বর: \_\_\_\_\_

### জ্বালানী/শক্তি বিল প্রকাশের জন্য গ্রাহক অনুমোদন (আগের দুই বছর এবং ভবিষ্যতের তিন বছরের জন্য)

আমার স্বাক্ষর প্রত্যয়িত করে যে আমি এই আবেদনে তালিকাভুক্ত অ্যাকাউন্ট(গুলি) এর জন্য আর্থিকভাবে দায়ী। আমি এতদ্বারা এই আবেদনে নাম দেওয়া বিদ্যুৎ এবং জ্বালানী সরবরাহকারীদের সম্মতি দিচ্ছি এবং অনুমোদন করছি যে কোনো এবং সমস্ত শক্তি ব্যবহারের তথ্য, অ্যাকাউন্ট নম্বর(গুলি) সহ, উপরের সম্পত্তির ঠিকানা সম্পর্কিত, নিউ ইয়র্ক স্টেট এনার্জি রিসার্চ অ্যান্ড ডেভেলপমেন্ট অথরিটির প্রতিনিধিদের কাছে NYSEERDA), এবং Weatherization Assistance Program (WAP), এবং/অথবা এর মনোনীত প্রতিনিধিদের কাছে প্রকাশ করতে, আবেদনের তারিখের দুই বছর আগে শুরু হয় এবং প্রোগ্রামে অংশগ্রহণের তিন বছর পর পর্যন্ত সময়ের জন্য। আমি বুঝি যে এই তথ্য গোপন রাখা হবে, আইন দ্বারা অনুমোদিত পরিমাণে, এবং প্রোগ্রামগুলি ব্যবহার করতে আমাকে সহায়তা করার উদ্দেশ্যে, NYSEERDA-এর আবাসিক প্রোগ্রাম এবং আর্থিক প্রণোদনাগুলির জন্য যোগ্যতা নির্ধারণ, WAP-এর জন্য যোগ্যতা, শক্তি সঞ্চয় অনুমান করার জন্য, এবং মূল্যায়নের উদ্দেশ্যে ব্যবহার করা হবে।

গ্রাহকের স্বাক্ষর: \_\_\_\_\_ তারিখ: \_\_\_\_\_

## বিভাগ ই: অংশীদার তথ্য

আপনি যদি NYSEERDA-এর শক্তি দক্ষতা প্রোগ্রামগুলিতে একটি নির্দিষ্ট অংশগ্রহণকারী প্রোগ্রাম ঠিকাদারের সাথে কাজ করতে চান, অনুগ্রহ করে নিচে নির্দেশ করুন। আমরা আপনার অনুরোধ মিটমাট করার জন্য কাজ করব, কিন্তু চূড়ান্ত নির্বাচন অংশগ্রহণকারী প্রোগ্রাম ঠিকাদারের উপলভ্যতা এবং আপনার প্রকল্পের গ্রহণযোগ্যতার উপর ভিত্তি করে। আপনি যদি একটি প্রোগ্রাম ঠিকাদারের সাথে কাজ না করেন, আমরা আমাদের অনুমোদিত তালিকা থেকে পরবর্তী উপলভ্য অংশগ্রহণকারী প্রোগ্রাম ঠিকাদারকে বরাদ্দ করব।

ঠিকাদারের নাম: \_\_\_\_\_

NYSEERDA পেশাদার শক্তি উপদেষ্টাদের একটি নেটওয়ার্ক রক্ষণাবেক্ষণ করে যারা ইতোমধ্যেই এই প্রোগ্রাম এবং অন্যান্য NYSEERDA প্রোগ্রাম, ইউটিলিটি অফার এবং অন্যান্য স্থানীয় সংস্থানগুলির সাথে আপনাকে সহায়তা করছে। আপনি যদি বর্তমানে একজন NYSEERDA শক্তি উপদেষ্টার সাথে কাজ করছেন, অনুগ্রহ করে নিচে কোনটি নির্দেশ করুন। প্রোগ্রামটি তাদের সাথে সীমিত প্রকল্পের তথ্য ভাগ করবে যাতে তারা আপনাকে প্রতিটি ধাপে সহায়তা করতে পারে।

NYSEERDA শক্তি উপদেষ্টার নাম: \_\_\_\_\_



## বিভাগ এইচ: ডেমোগ্রাফিক্স

স্থানীয় সম্প্রদায়ের উপর আমাদের প্রোগ্রামগুলির প্রভাব বুঝতে NYSERDA-কে সহায়তা করতে, অনুগ্রহ করে নিচের ডেমোগ্রাফিক সংক্রান্ত প্রশ্নগুলি সম্পূর্ণ করুন। এই প্রশ্নের উত্তর দেওয়া ঐচ্ছিক এবং আপনার প্রোগ্রামের যোগ্যতাকে প্রভাবিত করে না।

পরিবারের সদস্যদের সংখ্যা নির্দেশ করুন যারা:

60 বছর বা তার বেশি বয়সী: \_\_\_\_\_ অক্ষম: \_\_\_\_\_ 17 বছর বা তার কম বয়সী: \_\_\_\_\_ ভেটেরান: \_\_\_\_\_

নির্দেশ করুন যদি পরিবারের একজন সদস্য হয়: (অন্তত একটি নির্বাচন করুন, এবং যতগুলি প্রযোজ্য)

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| <input type="checkbox"/> উত্তর দিতে স্বাচন্দবোধ করছি                   | <input type="checkbox"/> স্থানীয় হাওয়াইয়ান বা প্রশান্ত মহাসাগরীয় দ্বীপবাসী |
| <input type="checkbox"/> হিস্পানিক বা ল্যাটিন                          | <input type="checkbox"/> শ্বেতাঙ্গ   |
| <input type="checkbox"/> নেটিভ আমেরিকান / ফার্স্ট নেশন / আলাস্কা নেটিভ | <input type="checkbox"/> অজানা   |
| <input type="checkbox"/> এশিয়ান                                       | <input type="checkbox"/> অন্যান্য  |
| <input type="checkbox"/> কৃষ্ণাঙ্গ বা আফ্রিকান আমেরিকান                |  |

## বিভাগ আই: আবেদনকারী নিশ্চিতকরণ

আমি আমার যোগ্যতা নির্ধারণ এবং এই আবেদনে প্রদত্ত তথ্য, আয়ের ডকুমেন্ট সহ সহায়ক ডকুমেন্ট, সেইসাথে নিম্নলিখিতগুলিতে আমার প্রকল্পের অবস্থা সম্পর্কিত তথ্য প্রকাশ করার অনুমোদন দিই: NYSERDA এবং এর প্রতিনিধিরা; NYS Weatherization Assistance Program (WAP) এবং/অথবা এর মনোনীত প্রতিনিধি; NYSERDA প্রোগ্রামের পক্ষে কাজ করছে এমন কোনো সম্প্রদায়-ভিত্তিক সংস্থা; আমার বৈদ্যুতিক এবং প্রাকৃতিক গ্যাস ইউটিলিটি; এবং নিম্নলিখিত ব্যক্তি বা সংস্থাগুলি: \_\_\_\_\_ যাদের আমি আবেদনটি সম্পূর্ণ করা এবং জমা দেওয়ার জন্য আমাকে সহায়তা করার উদ্দেশ্যে নিযুক্ত করেছি।

আমি বুঝি যে আমার দ্বারা প্রদত্ত তথ্যগুলি আমার সাথে যোগাযোগ করতে বা যে কোনো বর্তমান বা ভবিষ্যতের প্রোগ্রাম অফারগুলি ব্যবহার করতে যার জন্য আমি যোগ্য হতে পারি এবং NYSERDA এবং/অথবা ইউটিলিটি আবাসিক প্রোগ্রাম এবং আর্থিক প্রণোদনা, NYS WAP এর জন্য যোগ্যতা নির্ধারণের উদ্দেশ্যে, শক্তি সঞ্চয়ের সম্ভাব্যতা অনুমান করার জন্য এবং মূল্যায়নের উদ্দেশ্যে আমাকে সহায়তা করতে ব্যবহার করা যেতে পারে।

আমি বুঝি যে সমস্ত তথ্য আইন দ্বারা অনুমোদিত পরিমাণে গোপন রাখা হবে। আমি বুঝি যে যদি আমাকে NYSERDA-এর আবাসিক প্রোগ্রাম বা NYS WAP-এর মাধ্যমে পরিষেবা প্রদান করা হয়, তাহলে এই প্রোগ্রামগুলিতে আমার অংশগ্রহণ আমার সামাজিক নিরাপত্তা, জনসাধারণের সহায়তা বা অন্য কোনো আয়কে প্রভাবিত করবে না।

আমি বুঝি যে এই আবেদনটি আমাকে সহায়তা প্রদানের নিশ্চয়তা দেয় না। পরিষেবাগুলি প্রদান করা হবে কি না তা নির্ভর করবে প্রাপ্ত আবেদনের সংখ্যা এবং তহবিলের প্রাপ্যতা এবং প্রোগ্রাম দ্বারা প্রতিষ্ঠিত অগ্রাধিকারের উপর।

আমি NYSERDA প্রতিনিধিদের, NYS WAP প্রতিনিধিদের, এবং স্বাধীন অংশগ্রহণকারী ঠিকাদারদের আমার বাসস্থানে প্রবেশাধিকার প্রদান করতে সম্মত হই, যা পারস্পরিকভাবে গ্রহণযোগ্য সময়ে, শক্তি পরিদর্শন, ব্যবস্থা ইনস্টলেশন, গুণমান নিশ্চিতকরণ, এবং মূল্যায়ন কার্যক্রম সহ প্রোগ্রাম কার্যক্রম সম্পাদন করতে হবে। আমি বুঝি যে অংশগ্রহণকারী ঠিকাদাররা স্বাধীন ঠিকাদার এবং কাজ সম্পন্ন করার জন্য শ্রমের উপর এক বছরের ওয়ারেন্টি প্রদান করে। আমি আরও বুঝি যে অংশগ্রহণকারী ঠিকাদার এবং বিক্রেতার প্রদত্ত যেকোন সরঞ্জামের জন্য উপযুক্ত ওয়ারেন্টি প্রদান করবে এবং NYSERDA বা NYS WAP দ্বারা কোন অতিরিক্ত ওয়ারেন্টি প্রদান করা হয় না।

আমি সাবস্ক্রাইব করি এবং নিশ্চিত করি, আইনের দণ্ডের অধীনে, এই আবেদনের সমস্ত অংশে দেওয়া বিবৃতিগুলি, যে কোনও সহগামী ডকুমেন্টে দেওয়া বিবৃতিগুলি সহ, আমার দ্বারা পরীক্ষা করা হয়েছে এবং আমার জ্ঞান অনুসারে সত্য এবং সম্পূর্ণ।

আমি বুঝি যে এই ফর্মে আমার স্বাক্ষর NYSERDA, NYS WAP-এর প্রতিনিধিদের এবং তাদের মনোনীত ব্যক্তিদের NYSERDA-এর প্রোগ্রাম এবং NYS WAP-এর জন্য আমার যোগ্যতা নিশ্চিত করার অনুমতি দেয়। আমি যে তথ্য দিয়েছি তা যাচাই বা নিশ্চিত করার জন্য আমি যেকোন তদন্তে সম্মতি দিচ্ছি। আমি বুঝি যে আমি যদি এমন সুবিধা পাওয়ার জন্য মিথ্যা তথ্য দিই বা তথ্য আটকে রাখি যা আমি পাওয়ার অধিকারী নই, আমার আইনের পূর্ণ মাত্রায় বিচার হতে পারে। আমি এও বলছি যে এই আবেদনে নাম লেখা কোনো ব্যক্তিই 1986 সালের ইমিগ্রেশন রিফর্ম অ্যান্ড কন্ট্রোল অ্যাক্ট (পাবলিক ল 99-063) এর অধীনে ওয়েদারাইজেশন পরিষেবাগুলির জন্য অযোগ্য নয়।

আবেদনকারীর প্রতিনিধির স্বাক্ষর

তারিখ

আবেদনকারীর প্রতিনিধির স্বাক্ষর

তারিখ

আপনার যোগাযোগের তথ্য NYSERDA-এর মধ্যে অন্যান্য আবাসিক প্রোগ্রামের সাথে শেয়ার করা হতে পারে। এটি অপ্ট আউট করতে, অনুগ্রহ করে এখানে নামের আদ্যক্ষর লিখুন। \_\_\_\_\_

## শুধু অভ্যন্তরীণ ব্যবহারের জন্য

পর্যালোচনা করেছেন:  HEAP  OFA  ইউটিলিটি  ওয়েদারাইজেশন সাবগ্রান্টি  EmPower  অন্যান্য: \_\_\_\_\_

পরিবারের প্রাপ্ত সমস্ত সুবিধাগুলি চেক করুন:  SSI  HEAP  SNAP  TANF

আবেদনকারীর প্রদত্ত তথ্যের ভিত্তিতে, পরিবারটি নির্ধারণ করা হয়েছে:

কেবল AHP এর জন্য যোগ্য  ওয়েদারাইজেশন এর জন্য যোগ্য  ওয়েদারাইজেশন এর জন্য যোগ্য নয়

EmPower এর জন্য যোগ্য  EmPower এর জন্য যোগ্য নয়  EmPower এর জন্য যোগ্য, তবে ওয়েদারাইজেশন এর জন্য অপেক্ষা তালিকাভুক্ত

এখানে চেক করুন যদি:

পূর্বে ওয়েদারাইজেশন দ্বারা পরিবারে পরিষেবা প্রদান করা হয়েছিল

EmPower এর মাধ্যমে আরও পরিষেবার জন্য পরিবার অযোগ্য

অতিরিক্ত মন্তব্যগুলি:

Empower প্রতিনিধির স্বাক্ষর

শিরোনাম

তারিখ

## 綜合住宅申請表

# EmPower New York 與由 ENERGY STAR® 支持的Assisted Home Performance



NYSERDA

本核對表將幫助您確保您的申請得到及時處理。在確認所有的申請內容均完整且提供了所需的文檔之後，請在相應的方框內打上✓。申請將按照先來後到的原則處理。

申請人基本資訊（A、B和C部分）- 請確認所有必填項都完整填寫（除非標記為"可選填"）。

### 僅租房者填寫：

C部分中提供的房東姓名、地址和電話號碼

### 公用事業資訊（D部分）。

簽署客戶燃料/能源賬發佈授權書

附上一份完整的電費帳單副本

如果取暖燃料為丙烷、石油、煤油、木材或煤，請附上完整的天然氣帳單副本或燃料供應商的帳單副本。

### 收入資訊（F和G部分）。

請核實所有必填項是否完整

### 人口統計資訊（H部分）。可選填

可選填

### 申請人申明（I部分）。

閱讀並簽署

### 請將申請表寄回至：

Energy Audit Application  
8 Southwoods Blvd  
Suite 201  
Albany, NY 12211

以下資訊可幫助您確定哪些服務和計畫最適合您。在某些情況下，EmPower New York的服務是由負責耐候化補助計畫 (Weatherization Assistance Program，簡稱WAP) 的機構提供的。在這些情況下，本申請表將作為WAP的申請表，並可能將轉交給您當地提供這些服務的機構。請清楚地填寫並盡可能多地提供資訊。本申請可以線上填寫，網址是 [nyscrda.ny.gov/ahp-empower](https://nyscrda.ny.gov/ahp-empower)。線上填寫申請是NYSERDA審查和批准您的申請的最快方式。

## A部分：申請人信息

申請人姓名

地址 公寓號  
紐約  
城市 州 郵編  
縣

電話號碼 (含區號) 其他電話 (含區號)

電子郵件地址

郵寄地址 (如果與上述地址不同)

其他連絡人 與申請人的關係 電話號碼 (含區號)

## B部分：居住資訊

- 本人擁有  本人租住  
 單戶家庭  多戶家庭 戶數#: \_\_\_\_\_  預製/活動房屋  集體住宅/庇護所

## C部分：房主信息

房主姓名 電話號碼 (含區號)

電子郵件地址

房主的地址是否與房屋地址相同？  是  否 - 如果回答 "否"，請在下面填寫地址。

地址

**可選填：** 請添加任何我們可能認為有助於減少能源消耗的資訊，並列出我們需要予以注意的居住者健康問題或特殊需求：

**EMPOWER承包商和推薦機構。** 正楷填寫您的企業或機構名稱。



## D部分：公用事業信息

我的主要取暖燃料是：

電  石油  煤油  天然氣  丙烷  木材  生物顆粒  不清楚

其他：\_\_\_\_\_

我的輔助供暖燃料是：

電  石油  煤油  丙烷  木材  生物顆粒  煤  沒有輔助燃料

其他：\_\_\_\_\_

**電力公司：如果您須支付電費，請提供以下資訊。**

公用事業單位名稱：\_\_\_\_\_

賬號：\_\_\_\_\_ 如果是NYSEG或RG&E，請提供 POD # \_\_\_\_\_

**天然氣公司：如果您是天然氣公司的客戶並負責支付帳單，請提供以下資訊。**

公用事業單位名稱：\_\_\_\_\_

賬號：\_\_\_\_\_ 如果是NYSEG或RG&E - POD # \_\_\_\_\_

**主要燃料供應商：如果您使用天然氣或電力以外的燃料供暖，請提供以下資訊。**

公司名稱：\_\_\_\_\_

賬號：\_\_\_\_\_

**客戶授權發佈燃料/能源帳單（此前兩年和未來三年）。**

本人在此簽名即證明本人對本申請表所列的帳戶負有財務責任。本人在此同意並授權本申請表中所列的電力和燃料供應商向紐約州能源研發局 (New York State Energy Research and Development Authority, 簡稱NYSERDA) 和耐候化補助計畫 (Weatherization Assistance Program, 簡稱WAP) 的代表和/或其指定的代表發佈包括帳號在內的與上述房產地址有關的任何和所有能源使用資訊，時間從申請日期前兩年開始，到參與計畫後三年結束。本人瞭解，這些資訊將在法律允許的範圍內保密，並用於協助本人使用這些項目，確定是否有資格參加NYSERDA的住宅專案和財務激勵措施、是否有資格參加WAP，估算節能效果，以及用於評估。

客戶簽名：\_\_\_\_\_ 日期：\_\_\_\_\_

## E 部分：合作夥伴資訊

如果您想與NYSERDA的能源效率計畫的某一計畫參與承包商合作，請在下面注明。我們將努力滿足您的要求，但最終的選擇取決於是否有計畫參與承包商可用，以及對您專案的接受程度。如果您目前沒有與計畫承包商合作，我們將從我們的核准名單中指定一個可用的計畫參與承包商。

承包商名稱：\_\_\_\_\_

NYSERDA擁有一個專業能源顧問網路，其中可能已經有顧問在本計畫和其他NYSERDA計畫、公用事業產品和其他當地資源方面為您提供幫助。如果您目前已經在與NYSERDA的能源顧問合作，請在下面注明是哪一位顧問。該計畫將有限度地與他們分享專案資訊，以便他們能夠繼續在後續工作的每個化解上協助您。

NYSERDA能源顧問名稱：\_\_\_\_\_



## H部分：人口統計資訊

為了幫助NYSERDA瞭解我們的計畫對當地社區的影響，請填寫以下人口統計資訊相關問題。回答這些問題是可選的，並不影響您的計畫資格。

**請說明，家庭成員中有多少是：**

60歲或以上：\_\_\_\_\_ 殘疾人：\_\_\_\_\_ 17歲或以下：\_\_\_\_\_ 退伍軍人：\_\_\_\_\_

**請說明，家庭中是否有成員是：**（至少選擇一個，可視情況選擇多個）

- |   |                                       |
|---|---------------------------------------|
| <input type="checkbox"/> 不願回答               | <input type="checkbox"/> 夏威夷原住民或太平洋島民 |
| <input type="checkbox"/> 西班牙裔或拉美裔           | <input type="checkbox"/> 白人           |
| <input type="checkbox"/> 美國原住民/第一民族/阿拉斯加原住民 | <input type="checkbox"/> 未知           |
| <input type="checkbox"/> 亞裔                 | <input type="checkbox"/> 其他           |
| <input type="checkbox"/> 黑人或非裔美國人           |                                       |

## 第一部分：申請人申明

本人授權將我的資格認定和本申請表中提供的資訊、包括收入證明文檔在內的證明文件以及有關我的專案狀況的資訊透露給以下人員：NYSERDA及其代表、紐約州耐候化補助計畫 (NYS Weatherization Assistance Program, 簡稱WAP) 和/或其指定代表、任何代表NYSERDA計畫的社區組織、我的電力和天然氣公司、以及本人為協助我完成和提交申請而聘用的以下個人或機構：\_\_\_\_\_。

本人理解，本人所提供的資訊可用於聯繫或協助我利用本人可能有資格獲得的任何當前或未來的計畫，用於確定獲得NYSERDA 和/或公用事業住宅項目和財務獎勵的資格，確定獲得 NYS WAP 的資格，估計節能潛力，以及用於評估目的。本人瞭解，所有資訊將在法律允許的範圍內予以保密。本人瞭解，本人如果通過NYSERDA的住宅計畫或NYS WAP獲得服務，本人對這些計畫的參與將不會影響本人的社會保險、公共援助或任何其他收入。

本人瞭解，本申請表並不保證我將獲得援助。是否提供服務將取決於所收到的申請數量和資金的可用性以及各個計畫所確定的優先次序。

本人同意，NYSERDA 代表、NYS WAP 代表和獨立的參與承包商可以在雙方都能接受的時間內進入我的住宅開展計畫下的活動，包括能源檢查、測量儀器安裝、品質保證和評估活動。本人瞭解，參與的承包商是獨立的承包商，對所完成的工作提供一年的工時保證。本人進一步瞭解，參與的承包商和供應商將為所提供的任何設備提供適當的質保，NYSERDA 或 NYS WAP 不提供額外的質保。

本人同意並確認，本申請表所有部分的陳述，包括任何隨附文檔上的陳述，已經過本人審查，就本人所知是真實和完整的，否則願受 證罪處罰。

本人瞭解，我在本表上簽名即為允許NYSERDA、NYS WAP的代表以及他們的指定人員保證本人有資格參加NYSERDA的計畫和NYS WAP。本人同意為核實或確認我所提供的資訊而進行的任何查詢。本人瞭解，如果本人出於獲得無權獲得的福利目的而提供虛假資訊或隱瞞資訊，本人將在法律允許的最大範圍內受到起訴。本人同時聲明，根據《1986年移民改革和控制法案》（公法第99-063號），本申請表中提到的任何人都不會被取消享受耐候化服務的資格。

申請人簽名

日期

申請人代表簽名

日期

您的聯繫資訊可能會與NYSERDA的其他住宅計畫共用。要選擇不共用，請在此以姓名首字母簽署。\_\_\_\_\_

**僅供內部使用**

審查者： HEAP  OFA  公用事業  耐候化次級受資助方  EmPower  其他：\_\_\_\_\_

請勾選該家庭接受的所有福利： SSI  HEAP  SNAP  TANF

根據申請人提供的資訊，該家庭被確定為：

- 僅符合AHP的資格     有資格接受耐候化改造     無資格接受耐候化改造  
 符合EmPower的條件     不符合EmPower的條件     符合EmPower的條件，但要候補耐候化改造

如為以下情形，請在這裡勾選：

- 住戶以前曾接受過耐候化改造服務  
 家庭不符合通過EmPower提供進一步服務的資格

其他意見：

EmPower代表簽名

職位

日期



## APLIKASYON REZIDANSYÈL KONBINE

# EmPower New York ak Pwogram pou Ede Pèfòmans Enèji Kay avèk ENERGY STAR®



NYSERDA

Lis verifikasyon sa a pral ede ou garanti yo trete aplikasyon w lan san pèdi tan. Tanpri mete ✓ nan ti kare ki apwopriye a lè w fin sèten ke w fin ranpli tout Seksyon Aplikasyon yo nèt, epi ou fin bay dokiman ki nesèsè yo. Aplikasyon yo trete sou prensip sa ki vini avan yo ap jwenn sèvis avan.

Enfòmasyon Jeneral sou Moun k ap Aplike a (Seksyon A, B & C) – Verifye ke tout pati ki obligatwa yo ranpli (sòs si li make "ochwa").

### LOKATÈ YO SÈLMAN:

Non Mèt Kay la, Adrès ak Nimewo Telefòn yo bay nan Seksyon C a

### ENFÒMASYON SOU SÈVIS DLO, GAZ, KOURAN, ELATRIYE (SEKSYON D):

Siyen otorizasyon pou pataje bòdwo pou gaz/enèji kliyan yo

Mete yon kopi bòdwo kouran ki konplè

Mete yon kopi bòdwo gaz pou sèvis dlo, gaz, kouran, elatriye oswa bòdwo Founisè Gaz la bay ki konplè si se chofaj pa mwayen pwopàn, lwil, kewozèn, bwa oswa chabon

### ENFÒMASYON SOU REVNI (SEKSYON F & G):

Verifye ke tout pati ki obligatwa yo byen ranpli nèt

### DONE DEMOGRAFIK (SEKSYON H): *Ochwa*

Ochwa

### AFIMASYON MOUN K AP APLIKE A (SEKSYON I):

Li epi siyen

### TANPRI VOYE APLIKASYON AN TOUNEN BAY:

Energy Audit Application  
8 Southwoods Blvd  
Suite 201  
Albany, NY 12211

Enfòmasyon sa yo ki annapre la ap ede detèmine ki sèvis ak pwogram ki pi apwopriye pou ou. Nan kèk sitiyasyon, se ajans yo nan Pwogram pou Ede Pwoteje kont Move Tan (Weatherization Assistance Program, WAP) ki ofri sèvis EmPower New York la. Nan ka sa yo, aplikasyon sa a pral sèvi kòm yon aplikasyon pou WAP epi yo ka transmèt li bay ajans lokal ou a pou sèvis sa yo. Tanpri ekri an lèt detache byen klè epi bay mezi enfòmasyon posib. Ou ka ranpli aplikasyon sa a sou entènèt nan [nysersda.ny.gov/ahp-empower](http://nysersda.ny.gov/ahp-empower). Ranpli aplikasyon an sou entènèt se fason ki pi rapid pou NYSERDA revize ak apwouve aplikasyon w lan.

## SEKSYON A: ENFÒMASYON SOU MOUN K AP APLIKE A

Non moun k ap aplike a

Adrès # Apatman  
NY  
Vil ETa Kòd

Konte

Nimewo telefòn (mete kòd telefòn zòn lan)

Dezyèm nimewo telefòn (mete kòd telefòn zòn lan)

Adrès imèl

Adrès ou resevwa kourye lapòs (si l diferan de adrès ki anwo a)

Lèt moun pou kontakte Relasyon ak moun k ap aplike a Nimewo Telefòn (mete kòd telefòn zòn lan)

## SEKSYON B: ENFÒMASYON SOU KAY LA

Mwen posede  Mwen lwe

Sèl fanmi  Plizyè fanmi \_\_\_\_\_ # inite  Kay fabrike/mobil  Kay gwoup/refij

## SEKSYON C: ENFÒMASYON SOU MÈT KAY LA

Non mèt kay la

Nimewo telefòn (mete kòd telefòn zòn lan)

Adrès imèl

Èske adrès mèt kay la se menm ak adrès bilding lan?  Wi  Non – Si “Non”, tanpri mete adrès li anba la.

Adrès

**OCHWA:** Tanpri ajoute nenpòt enfòmasyon ke nou ka twouve itil pou diminye kantite enèji ou itilize epi mete pwoblèm sante oswa bezwen espesyal lokatè yo genyen ke nou dwe konnen nan yon lis:

**KONTRAKTÈ EMPOWER YO AK AJANS KI BAY REFERANS YO:** Ekri non biznis ou oswa ajans ou an.

## SEKSYON D: ENFÒMASYON SOU SÈVIS DLO, GAZ, KOURAN, ELATRIYE

### Mwayen chofaj prensipal mwen se:

Kouran  Lwil  Kewozèn  Gaz Natirèl  Pwopàn  Bwa  Miyèt bwa  Mwen pa konnen  
 Lòt: \_\_\_\_\_

### Mwayen chofaj segondè mwen se:

Kouran  Lwil  Kewozèn  Pwopàn  Bwa  Miyèt bwa  Chabon  Mwen pa gen yon dezyèm mwayen chofaj  
 Lòt: \_\_\_\_\_

### SÈVIS KOURAN: Si w responsab pou w peye bòdwo kouran an, bay sa yo ki annapre la:

Non konpayi a: \_\_\_\_\_  
Nimewo kont: \_\_\_\_\_ si se NYSEG oswa RG&E – #POD \_\_\_\_\_

### SÈVIS GAZ: Si ou se yon kliyan sèvis gaz natirèl epi se ou ki responsab pou w peye bòdwo a, bay sa yo ki annapre la:

Non konpayi a: \_\_\_\_\_  
Nimewo kont: \_\_\_\_\_ si se NYSEG oswa RG&E – #POD \_\_\_\_\_

### FOUNISÈ GAZ PRENSIPAL: si w itilize chofaj avèk yon gaz ki pa gaz natirèl oswa se pa kouran, bay sa yo ki annapre la:

Non konpayi a: \_\_\_\_\_  
Nimewo kont lan: \_\_\_\_\_

### OTORIZASYON KLIYAN bay pou pataje bòdwo gaz/enèji (pou de ane anvan yo ak twa ane k ap vini yo)

Lè m siyen la, mwen sètifye ke mwen responsab pou m peye pou kont (yo) ki endike nan aplikasyon sa a. Mwen dakò epi mwen otorize founisè sèvis kouran ak gaz ki site nan aplikasyon sa a pou yo bay reprezantan Otorite Rechèch ak Devlopman Enèji Eta New York la (New York State Energy Research and Development Authority, NYSERDA) nenpòt enfòmasyon sou itilizasyon enèji, ki gen ladan nimewo kont, ki gen rapò ak adrès pwopriyete ki anwo a. NYSERDA, ak Pwogram pou Ede Pwoteje kont Move Tan (WAP), ak/oswa reprezantan li deziyen yo pou peryòd ki kòmanse dezan anvan dat aplikasyon an epi ki fini twa zan apre mwen fin patisipe nan pwogram lan. Mwen konprann ke enfòmasyon sa yo pral rete konfidansyèl, nan limit lalwa pèmèt, epi y ap itilize yo nan objektif pou ede m itilize pwogram yo, pou detèmine kalifikasyon m pou pwogram rezidansyèl NYSERDA yo ak pou ban m ankourajman finansye, kalifikasyon pou WAP, pou estime ekonomi enèji, ak pou zafè evalyasyon.

Kliyan siyen la: \_\_\_\_\_ Dat: \_\_\_\_\_

## SEKSYON E: ENFÒMASYON SOU ASOSYE

Si w ta renmen travay avèk yon kontraktè espesifik k ap patisipe nan pwogram efikasite enèji NYSERDA, tanpri make anba la. N ap travay pou fè aranjman pou demann ou an, men dènye chwa ap baze sou disponiblite kontraktè pwogram k ap patisipe a ak si yo aksepte pwojè w la. Si w p ap travay ak yon kontraktè pwogram lan, n ap bay pwochen kontraktè k ap patisipe nan pwogram lan ki disponib apati lis nou apwouve a.

Non Kontraktè a: \_\_\_\_\_

NYSERDA kenbe yon rezo konseye enèji pwofesyonèl ki ka deja ap ede w ak pwogram sa a ak lòt pwogram NYSERDA, lòt òf Sèvis dlo, gaz, kouran, elatriye, ak lòt resous lokal yo. Si w ap travay kounye a ak yon konseye enèji NYSERDA, tanpri make kiyès li ye anba la. Pwogram lan pral pataje kèk enfòmasyon nan limit pwojè a avèk yo pou yo ka kontinye ede w chak etap nan chemen an.

Non Konseye Enèji NYSERDA: \_\_\_\_\_

## SEKSYON F: DOKIMAN KI PWOUBE REVNI - Tanpri chwazi youn nan sa yo ki annapre la

A.  Eljiblite jewografik: Ou ka eljib pou w kalifye pou prim ankourajman dapre adrès ou. Al sou [nyserdera.ny.gov/ahp-empower](http://nyserdera.ny.gov/ahp-empower) pou w jwenn plis enfòmasyon. Si w nan yon zòn kalifikasyon jewografik, tanpri tcheke kare a.

B.  Lèt referans: Si w te resevwa yon lèt nan men NYSEDA ak yon kòd referans, antre li anba a. Si w gen yon kòd rekòmandasyon, ou pa bezwen bay okenn lèt dokiman sou revni anplis.

# ID Referans lan: \_\_\_\_\_

C.  Bay yon kopi YOUN nan sa yo ki annapre la: Kopi tout lèt prim pou HEAP, SNAP (Koupon pou Manje), TANF (Asistans Tanporè pou Fanmi ki nan Nesesite) oswa Revni Sekirite Sipleman tè ki gen dat nan 12 dènye mwa ki sot pase la yo.

D.  Si A, B, oswa C pi wo a pa aplike, lè sa a bay dokiman sou revni anba youn nan opsyon yo ki anba la:

### Opsyon 1

• Souch pèman: tout revni brit nan kay la pou 60 dènye jou yo ki sot pase la. Pou kalkile total revni mansyèl, si revni an se:

- Chak semèn: miltipliye revni chak semèn ki reprezante 4 semèn ki pi resan pa 4.3
- Chak de semèn: miltipliye 2 dènye semèn youn apre lòt yo pa 2.15
- De fwa pa mwa: miltipliye pa 2

• Sekirite Sosyal ak Sekirite Sosyal pou Andikap: kopi lèt prim lan

• Dokimantasyon sou tout fòm revni ki gen ladan andikap, dedomajman pou aksidan nan travay, chomaj, pansyon, antretyen, sipò timoun, alokasyon, avantaj Veteran, ak tout lòt revni.

• Travay endepandan: Rapò IRS sou salè chak trimès pou twa dènye mwa yo ki sot pase la

### Opsyon 2

• Deklarasyon taks: Opsyon sa a disponib sèlman si tout moun nan kay la ki te oblije ranpli yon deklarasyon taks te fè sa. Nan dokimantasyon revni ak deklarasyon taks, tout sous revni yo dwe dokimante ak deklarasyon taks yo. Deklarasyon yo dwe Deklarasyon Taks sou Revni Federal ki pi resan an (Fòmilè 1040, 1040A, oswa 1040EZ). Si w ap dokimante revni lokasyon, biznis oswa fèm – ou dwe soumèt fòmilè anèks ki asosye ak yo (fòmilè anèks C, E, ak F).

## SEKSYON G: ENFÒMASYON SOU REVNI

Konbyen moun ototal k ap viv nan kay la? \_\_\_\_\_

**Metè enfòmasyon sa yo pou chak moun k ap viv nan kay la.**

Kon konplè	Sèks (ochwa)	Laj	Elèv/Etidyan (Wi oswa Non)	Sous revni (yo)	Chak semèn	Chak mwa	Chak ane
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
<b>Revni total pou kay la</b>					\$	\$	\$



## SEKSYON H: DONE DEMOGRAFIK

Pou ede NYSERDA konprann enpak pwogram nou yo genyen sou kominote lokal yo, tanpri ranpli kesyon demografik yo ki anba la. Reponn kesyon sa yo ochwa e sa p ap afekte kalifikasyon w pou pwogram lan.

**Ekri konbyen moun k ap viv nan kay la ki:**

gen 60 lane oswa plis: \_\_\_\_\_ Andikape: \_\_\_\_\_ 17 lane oswa pi piti: \_\_\_\_\_ Veteran: \_\_\_\_\_

**Make si yon moun k ap viv nan kay la se:** (chwazi omwen youn, ak mezi ki aplikab)

- |  |   |
|--|---|
| <input type="checkbox"/> Pito pa reponn                          | <input type="checkbox"/> Endijèn Awayi oswa moun Zile Pasifik |
| <input type="checkbox"/> Panyòl oswa Latinx                      | <input type="checkbox"/> Blan                                 |
| <input type="checkbox"/> Amerendyen/Premye Nasyon/Endijèn Alaska | <input type="checkbox"/> Pa konnen                            |
| <input type="checkbox"/> Azyatik                                 | <input type="checkbox"/> Lòt                                  |
| <input type="checkbox"/> Ameriken Nwa oswa Afwo-Ameriken         |   |

## SEKSYON I: AFIMASYON MOUN K AP APLIKE A

Mwen otorize pou yo kominike detèminasyon kalifikasyon mwen ak enfòmasyon yo bay nan aplikasyon sa a, dokiman sipò ki gen ladan dokiman sou revni, ansanm ak enfòmasyon konsènan sityasyon pwojè mwen an bay ajans yo ki annapre la: NYSERDA ak reprezantan li yo; Pwogram pou Ede Pwoteje kont Move Tan (WAP) nan Eta New York ak/oswa reprezantan li nonmen yo; nenpòt òganizasyon kominotè k ap travay sou non pwogram NYSERDA; sèvis kouran ak gaz natirèl mwen yo; ak moun oswa òganizasyon sa yo: \_\_\_\_\_ ke mwen te angaje nan objektif pou ede m ranpli ak soumèt aplikasyon an.

Mwen konprann ke yo ka itilize enfòmasyon mwen bay yo pou kontakte oswa ede m itilize nenpòt òf pwogram aktyèl oswa pwochen mwen ka elijib pou li ak nan objektif pou detèmine kalifikasyon m pou NYSERDA ak/oswa pwogram rezidansyèl sèvis kouran, gaz, dlo elatriye ak prim ankourajman finansye, detèmine kalifikasyon pou NYS WAP, pou estime potansyèl ekonomi enèji, ak pou zafè evalyasyon.

Mwen konprann ke tout enfòmasyon yo pral rete konfidansyèl nan limit lalwa pèmèt. Mwen konprann si yo ban mwen sèvis atravè pwogram rezidansyèl NYSERDA oswa NYS WAP, patisipasyon mwen nan pwogram sa yo p ap afekte sekirite sosyal mwen, asistans piblik, oswa nenpòt lòt revni.

Mwen konprann ke aplikasyon sa a pa garanti ke yo pral ban m èd. Y ap detèmine si pou yo ba w sèvis sa yo ou pa tou depan de kantite aplikasyon yo resevwa ak disponiblite lajan ak priorite pwogram yo etabli yo.

Mwen dakò pou m bay reprezantan NYSERDA, reprezantan NYS WAP yo, ak kontraktè endepandan k ap patisipe yo aksè nan kay mwen an, nan moman ki akseptab youn pou lòt, pou yo fè aktivite pwogram tankou enspeksyon enèji, enstalasyon mezi, Asirans Kalite, ak aktivite evalyasyon. Mwen konprann ke kontraktè k ap patisipe yo se kontraktè endepandan epi yo bay yon garanti yon lane sou ouvraj pou travay ki fini. Anplis de sa, mwen konprann ke kontraktè ak founisè k ap patisipe yo pral bay garanti apwopriye sou nenpòt ekipman yo bay epi NYSERDA oswa NYS WAP pa bay okenn lòt garanti.

Mwen abòne epi mwen afime, anba sanksyon lalwa yo, ke deklarasyon ki fèt sou tout pati aplikasyon sa a, pami yo deklarasyon ki fèt sou nenpòt ki dokiman ki akonpaye yo, mwen te egzamine yo epi se selon sa m konnen, yo vrè e konplè.

Mwen konprann lè m siyen fòm sa, mwen bay NYSERDA, reprezantan NYS WAP yo, ak moun yo deziyen yo otorizasyon pou asire m kalifye pou pwogram NYSERDA yo ak NYS WAP lan. Mwen dakò pou reponn nenpòt demann pou verifye oswa konfime enfòmasyon mwen bay yo. Mwen konprann si mwen bay fo enfòmasyon oswa si mwen kache enfòmasyon pou mwen ka resevwa avantaj mwen pa gen dwa pou m resevwa,

Yo kapab pouswiv mwen lajitis nan tout limit lalwa pèmèt. Mwen deklare tou pa gen okenn moun ki site nan aplikasyon sa a ki kapab diskalifye pou sèvis pou ede pwoteje kont move tan dapre Lwa sou Refòm ak Kontwòl Imigrasyon 1986 lan (Lwa Piblik 99-063).

Aplikasyon an siyen la

Dat

Reprezantan aplikasyon an siyen la

Dat

Yo ka bay lòt pwogram rezidansyèl ki nan NYSERDA yo enfòmasyon kontak ou pou yo kontakte w. Pou mande pou yo pa pataje enfòmasyon w, tanpri mete inisyal non ou la, \_\_\_\_\_

## POU ITILIZASYON ENTÈN SÈLMAN

Moun ki egzamine aplikasyon an:  HEAP  OFA  Konpayi dlo, kouran, gaz, elatriye

Soubenefisyè sibvansyon pou pwoteksyon kont move tan  EmPower  Lòt: \_\_\_\_\_

Make tout avantaj kay la resevwa:  SSI  HEAP  SNAP  TANF

Dapre enfòmasyon moun k ap aplike a bay la, nou detèmine kay la:

Elijib pou AHP Sèlman  Elijib pou pwoteksyon kont move tan sèlman  PA elijib pou pwoteksyon kont move tan

Elijib pou EmPower  PA elijib pou EmPower  Elijib pou EmPower, an atant pou pwoteksyon kont move tan

Make la si:

Fwaye a te resevwa èd Pwoteksyon Kont Move Tan avan

Fwaye a pa elijib pou plis sèvis nan EmPower

Kòmantè anplis:

---

Reprezanan EmPower a siyen la    Tit    Date



**NYSERDA**

## DOMANDA RESIDENZIALE COMBINATA

# EmPower New York e Assisted Home Performance con ENERGY STAR®



**NYSERDA**

Questa lista di controllo aiuterà a far sì che la Sua domanda venga processata in tempi brevi. Inserisca un ✓ nell'apposita casella dopo aver controllato che tutte le sezioni della domanda siano complete e che sia stata fornita la documentazione richiesta. Le domande vengono elaborate in base all'ordine di arrivo.

Informazioni generali sul richiedente (sezioni A, B e C) - Informazioni generali sul richiedente (sezioni A, B e C) - Verifichi che tutti i campi obbligatori siano stati compilati (a meno che non siano contrassegnati come "opzionali").

### **SOLO PER GLI AFFITTUARI:**

Nome del proprietario, indirizzo e numero di telefono forniti nella Sezione C.

### **INFORMAZIONI SULLE UTENZE (SEZIONE D):**

Firmare l'autorizzazione al rilascio della bolletta del combustibile/energia per il cliente.

Includere una copia completa della bolletta dell'elettricità

Includere una copia della bolletta completa del gas o della fattura del fornitore di combustibile se il riscaldamento è a propano, olio, cherosene, legna o carbone.

### **INFORMAZIONI SUL REDDITO (SEZIONE F E G):**

Verifichi che tutti i campi richiesti siano completi

### **DATI DEMOGRAFICI (SEZIONE H): *Opzionale***

Opzionale

### **AFFERMAZIONE DEL RICHIEDENTE (SEZIONE I):**

Leggere e firmare

### **SI PREGA DI INVIARE LA DOMANDA A:**

Energy Audit Application  
8 Southwoods Blvd  
Suite 201  
Albany, NY 12211

Le seguenti informazioni saranno utili per determinare quali sono i servizi e i programmi più adatti a Lei. In alcune situazioni, i servizi di EmPower New York sono forniti da agenzie del Weatherization Assistance Program (WAP). In questi casi, la presente domanda servirà come domanda per il WAP e potrà essere inoltrata alla Sua agenzia locale per questi servizi. La preghiamo di scrivere in modo chiaro e di fornire il maggior numero di informazioni possibile. La domanda può essere compilata online su [nyserdera.ny.gov/ahp-empower](http://nyserdera.ny.gov/ahp-empower). La compilazione della domanda online è la più rapida per NYSERDA al fine di esaminare e approvare la Sua domanda.

## SEZIONE A: INFORMAZIONI DEL RICHIEDENTE

Nome del Richiedente

Indirizzo

Appartamento #

NY

Città

Stato

Codice Zip

Contea

Numero di telefono *(includere il prefisso)*

Telefono Secondario *(includere il prefisso)*

Indirizzo Email

Indirizzo postale *(se diverso dal precedente)*

Persona di contatto aggiuntiva  
*prefisso)*

Relazione con il Richiedente

Numero di telefono *(includere il*

## SEZIONE B: INFORMAZIONI SULL'ABITAZIONE

Proprietario  Affittuario

Monofamiliare  Multifamiliare \_\_\_\_\_ # di membri  casa fabbricato/casa mobile  istituto/rifugio

## SEZIONE C: INFORMAZIONI SUL PROPRIETARIO

Nome del proprietario

Numero di telefono *(includere il prefisso)*

Indirizzo Email

L'indirizzo del proprietario è lo stesso dell'edificio?  Sì  No – Se "No", inserisca l'indirizzo qui sotto.

Indirizzo

**OPZIONALE:** La preghiamo di aggiungere qualsiasi informazione che potremmo trovare utile per ridurre il Suo consumo energetico e di elencare i problemi di salute degli occupanti o le loro esigenze specifiche di cui dobbiamo essere a conoscenza:

**APPALTATORI EMPOWER E AGENZIE DI RIFERIMENTO:** Scriva il nome della Sua azienda o agenzia.

## SEZIONE D: INFORMAZIONI SULLE UTENZE

*Il mio combustibile principale per il riscaldamento è:*

- Elettricità  Olio  Cherosene  gas naturali  Propano  Legno  Pellet  Non lo so  
 Altro: \_\_\_\_\_

*Il mio combustibile secondario per il riscaldamento è:*

- Elettricità  Olio  Cherosene  Propano  Legno  Pellet  Carbone  Non ho un combustibile secondario  
 Altro: \_\_\_\_\_

**BOLLETTA DELL'ELETTRICITÀ** Se Lei è la persona responsabile della bolletta dell'elettricità, fornisca quanto segue:

Nome della compagnia dell'utenza: \_\_\_\_\_

Numero di conto: \_\_\_\_\_ se NYSEG o RG&E – POD # \_\_\_\_\_

**BOLLETTA DEL GAS:** Se è un cliente del servizio di gas naturale ed è responsabile della bolletta, fornisca quanto segue:

Nome della compagnia dell'utenza: \_\_\_\_\_

Numero di conto: \_\_\_\_\_ se NYSEG o RG&E – POD # \_\_\_\_\_

**FORNITORE PRIMARIO DI COMBUSTIBILE:** se si riscalda con un combustibile diverso dal gas naturale o dall'elettricità, fornisca i seguenti dati:

Nome della compagnia: \_\_\_\_\_

Numero di conto: \_\_\_\_\_

**AUTORIZZAZIONE DEL CLIENTE per il rilascio delle fatture di combustibile/energia (per i due anni precedenti e i tre anni futuri)**

La mia firma certifica che sono economicamente responsabile per il conto o i conti elencati in questa domanda. Con la presente acconsento e autorizzo i fornitori di energia elettrica e di combustibile indicati nella presente domanda a rilasciare tutte le informazioni sull'utilizzo dell'energia, compresi i numeri di conto, relative all'indirizzo dell'immobile di cui sopra, ai rappresentanti dell'Agenzia per la Ricerca e lo Sviluppo del Settore energetico dello Stato di New York (NYSERDA) e del Weatherization Assistance Program (WAP), e/o ai suoi rappresentanti designati per il periodo che inizia due anni prima della data della domanda e termina tre anni dopo la partecipazione al programma. Sono consapevole che queste informazioni saranno mantenute riservate, entro i limiti consentiti dalla legge, e utilizzate per assistermi nell'utilizzo dei programmi, per determinare l'idoneità ai programmi residenziali e agli incentivi finanziari di NYSEDA, per l'idoneità al WAP, per stimare i risparmi energetici e per scopi di valutazione.

Firma Cliente: \_\_\_\_\_ Data: \_\_\_\_\_

## SEZIONE E: INFORMAZIONI SUI PARTNER

Se desidera lavorare con uno specifico contraente partecipante ai programmi di efficienza energetica di NYSEDA, lo indichi di seguito. Faremo il possibile per soddisfare la Sua richiesta, ma la selezione finale si basa sulla disponibilità dell'appaltatore partecipante al programma e sull'accettazione del Suo progetto. Se non lavora con un appaltatore del programma, Le assegneremo il prossimo appaltatore del programma disponibile dal nostro elenco approvato.

Nome dell'appaltatore: \_\_\_\_\_

NYSEDA dispone di una rete di consulenti energetici professionali che potrebbero già assisterLa con questo programma e altri programmi NYSEDA, offerte di servizi e altre risorse locali. Se attualmente sta lavorando con un consulente energetico NYSEDA, La preghiamo di indicare quale. Il programma condividerà con loro informazioni limitate sul progetto, in modo che possano continuare ad assisterLa in ogni fase del percorso.

Nome del consulente energetico di NYSEDA: \_\_\_\_\_

## SEZIONE F: DOCUMENTAZIONE RELATIVA AL REDDITO - La preghiamo di selezionare una delle seguenti opzioni

- A.  Geo-ammissibilità: Potrebbe avere diritto agli incentivi in base al Suo indirizzo. Visiti [nyserda.ny.gov/ahp-empower](http://nyserda.ny.gov/ahp-empower) per maggiori informazioni. Se si trova in un'area di Geo-ammissibilità, selezioni la casella.
- B.  Lettera di riferimento: Se ha ricevuto una lettera da NYSERDA con un codice di riferimento, lo inserisca qui sotto. Se ha un codice di riferimento, non è richiesta alcuna documentazione aggiuntiva sul reddito.

ID# di riferimento: \_\_\_\_\_

- C.  Fornisca una copia di UNO dei seguenti documenti: Copia dell'intera lettera di assegnazione di HEAP, SNAP (Food Stamps/Buoni Pasto), TANF (Temporary Assistance for Needy Families/Assistenza Temporanea per Famiglie Bisognose) o Supplemental Security Income datata negli ultimi 12 mesi.

- D.  Se i punti A, B o C non sono applicabili, fornisca la documentazione del reddito secondo una delle opzioni seguenti:

### Opzione 1

- Buste paga: tutti i redditi lordi della famiglia negli ultimi 60 giorni. Per calcolare il reddito mensile totale, se il reddito è:
  - Settimanale: moltiplichi il reddito settimanale che rappresenta le 4 settimane più recenti per 4,3
  - Bisettimanale: moltiplichi le 2 settimane consecutive più recenti per 2,15
  - Due volte al mese: moltiplicare per 2
- Sicurezza sociale e invalidità della sicurezza sociale: copia della lettera di assegnazione
- Documentazione di tutte le forme di reddito, tra cui invalidità, indennità di disoccupazione, pensione, alimenti, mantenimento dei figli, rendite, sussidi per i veterani e tutti le altre fonti di redditi.
- Lavoro autonomo: Rapporto IRS dei guadagni trimestrali degli ultimi tre mesi.

### Opzione 2

- Dichiarazioni dei redditi: Questa opzione è disponibile solo se tutti i membri della famiglia che dovevano presentare una dichiarazione dei redditi l'hanno fatto. Se documenta il reddito con le dichiarazioni fiscali, tutte le fonti di reddito devono essere documentate con le dichiarazioni fiscali. Le dichiarazioni devono essere la più recente dichiarazione dei redditi federale (Modulo 1040, 1040A o 1040EZ). Se documenta il reddito da locazione, da impresa o da azienda agricola, deve presentare i relativi prospetti (Prospetto C, E e F).

## SEZIONE G: INFORMAZIONE SUL REDDITO

Numero totale di membri del nucleo familiare? \_\_\_\_\_

*Includa le seguenti informazioni per ogni membro della famiglia.*

Nome e cognome	Genere (opzionale)	Età	Studente (Sì o no)	Fonte/fonti di reddito	Settimanale	Mensile	Annuale
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
<b>Reddito totale per nucleo familiare</b>					\$	\$	\$

## SEZIONE H: DEMOGRAFIA

Per aiutare NYSERDA a capire l'impatto dei nostri programmi sulle comunità locali, La preghiamo di compilare le seguenti domande di carattere demografico. Rispondere a queste domande è facoltativo e non influisce sulla Sua ammissibilità al programma.

**Indichi il numero di componenti del nucleo familiare che hanno:**

60 anni o più: \_\_\_\_\_ Disabili \_\_\_\_\_ 17 anni o meno: \_\_\_\_\_ Veterani: \_\_\_\_\_

**Indichi se un componente del nucleo familiare è:** (selezionare almeno uno, e tutti quelli che sono applicabili)

- |  |   |
|--|---|
| <input type="checkbox"/> Preferisco non rispondere                             | <input type="checkbox"/> Nativo Hawaiano o delle Isole del Pacifico |
| <input type="checkbox"/> Ispanico o Latino                                     | <input type="checkbox"/> Bianco                                     |
| <input type="checkbox"/> Nativo americano / Prima Nazione / Nativo dell'Alaska | <input type="checkbox"/> Non so                                     |
| <input type="checkbox"/> Asiatico  | <input type="checkbox"/> Altro                                      |
| <input type="checkbox"/> Nero o Afroamericano                                  |   |

## SEZIONE I: AFFERMAZIONE DEL RICHIEDENTE

Autorizzo il rilascio della mia determinazione di ammissibilità e delle informazioni fornite in questa domanda, dei documenti di supporto, compresa la documentazione sul reddito, nonché delle informazioni relative allo stato del mio progetto ai seguenti soggetti: NYSERDA e i suoi rappresentanti; il programma NYS Weatherization Assistance Program (WAP) e/o i suoi rappresentanti designati; qualsiasi organizzazione legata alla comunità che lavori per conto dei programmi NYSERDA; i miei fornitori di energia elettrica e gas naturale; e le seguenti persone o organizzazioni: \_\_\_\_\_ che ho incaricato di assistermi nella compilazione e presentazione della domanda.

Sono consapevole che le informazioni da me fornite potranno essere utilizzate per contattarmi o assistermi nell'utilizzo di qualsiasi offerta di programma attuale o futura per la quale potrei essere idoneo e per determinare l'ammissibilità ai programmi residenziali e agli incentivi finanziari di NYSERDA e/o delle aziende di servizi pubblici, per determinare l'ammissibilità al NYS WAP, per stimare il potenziale di risparmio energetico e per scopi di valutazione.

Sono consapevole che tutte le informazioni saranno mantenute riservate entro i limiti consentiti dalla legge. Sono consapevole che se mi vengono forniti servizi attraverso i programmi residenziali di NYSERDA o il NYS WAP, la mia partecipazione a questi programmi non influirà sulla mia sicurezza sociale, sull'assistenza pubblica o su qualsiasi altro reddito.

Sono consapevole che questa domanda non garantisce che l'assistenza mi sarà concessa. La fornitura o meno di servizi dipenderà dal numero di domande ricevute, dalla disponibilità di fondi e dalle priorità stabilite dai programmi.

Accetto di consentire ai rappresentanti di NYSERDA, ai rappresentanti del NYS WAP e agli appaltatori indipendenti partecipanti di accedere alla mia abitazione, in orari accettabili per entrambe le parti, per svolgere le attività del programma, comprese le ispezioni energetiche, l'installazione delle misure, l'assicurazione della qualità e le attività di valutazione. Sono consapevole che gli appaltatori partecipanti sono indipendenti e forniscono una garanzia di un anno sulla manodopera per il lavoro completato. Inoltre, sono consapevole che gli appaltatori e i fornitori partecipanti forniranno garanzie appropriate su qualsiasi apparecchiatura fornita e che NYSERDA o il NYS WAP non forniscono garanzie aggiuntive.

Sottoscrivo e affermo, ai sensi della legge, che le dichiarazioni rese in tutte le parti della presente domanda, comprese le dichiarazioni rese in qualsiasi documento di accompagnamento, sono state da me esaminate e sono, a mia conoscenza, veritiere e complete.

Sono consapevole che la mia firma su questo modulo autorizza NYSERDA, i rappresentanti del NYS WAP e i loro incaricati a garantire la mia ammissibilità ai programmi di NYSERDA e al NYS WAP. Autorizzo qualsiasi indagine per verificare o confermare le informazioni che ho fornito. Sono consapevole che se fornisco informazioni false od ometto informazioni al fine di ricevere benefici a cui non ho diritto,

potrò essere perseguito nella misura massima prevista dalla legge. Dichiaro inoltre che nessuna persona nominata in questa domanda è soggetta a squalifica per i servizi di termoregolazione ai sensi della legge del 1986 sul controllo e la riforma dell'immigrazione (Immigration Reform and Control Act of 1986, P.L. 99- 603).

\_\_\_\_\_  
Firma del Richiedente

\_\_\_\_\_  
Data

\_\_\_\_\_  
Firma del rappresentante del richiedente

\_\_\_\_\_  
Data

Le Sue informazioni di contatto possono essere condivise con altri programmi residenziali di NYSERDA. Per negare questa possibilità, La preghiamo di apporre la Sua firma qui. \_\_\_\_\_

**SOLO PER USO INTERNO**

Revisionato da:  HEAP  OFA  Utenze  Subappaltatore per la termoregolazione (Weatherization)  EmPower  
 Altro: \_\_\_\_\_

Selezionare tutti i benefici che la famiglia riceve:  SSI  HEAP  SNAP  TANF

Sulla base delle informazioni fornite dal richiedente, si stabilisce che la famiglia sia:

Ammissibile solo per AHP  Ammissibile solo per la Termoregolazione (Weatherization)  NON ammissibile per la Termoregolazione (Weatherization)

Ammissibile solo per EmPower  NON Ammissibile solo per EmPower  Ammissibile per EmPower, ma in lista d'attesa per la Termoregolazione (Weatherization)

Selezionare qui se:

Il nucleo familiare è stato precedentemente servito da Weatherization

Il nucleo familiare non è idoneo a ricevere ulteriori servizi tramite EmPower

Commenti aggiuntivi:

Firma del rappresentante Empower

Titolo

Data



**NYSERDA**





이 체크리스트를 작성해야 신청서 처리가 지연되지 않습니다. 모든 신청서 섹션을 작성하고 필요한 서류를 준비한 후 알맞은 상자에 표시를 하십시오. 신청서는 선착순으로 처리됩니다.

일반 신청서 정보(섹션 A, B, C) - 필요한 필드를 모두 작성했는지 확인함("선택 사항" 제외)

**세입자 전용:**

섹션 C에 집주인 이름, 주소, 전화번호를 기재함

**공공 서비스 정보(섹션 D):**

고객 연료/에너지 청구서 공개 허가에 서명함

완전한 전기요금 청구서 사본을 포함함

가스요금 청구서 또는 프로판, 석유, 등유, 나무, 석탄으로 난방하는 경우 연료 공급회사의 청구서를 포함함

**소득 정보(섹션 F, G):**

필요한 필드를 모두 작성했는지 확인함

**인구 통계 정보(섹션 H): 선택 사항**

선택 사항

**신청인 동의(섹션 I):**

읽고 서명함

**신청서 보낼 곳:**

Energy Audit Application  
8 Southwoods Blvd  
Suite 201  
Albany, NY 12211

다음 정보는 귀하에게 가장 적합한 서비스와 프로그램을 결정하는 데 도움이 됩니다. Weatherization Assistance Program(WAP) 기관에서 EmPower New York 서비스를 제공하는 경우도 있습니다. 그럴 경우 이 신청서는 WAP 신청서 역할을 하며 해당 서비스를 제공하는 지역 기관에 전달될 수 있습니다. 깔끔하게 인쇄체로 써주시고 최대한 많은 정보를 제공해주세요. 이 신청서는 [nyserdera.ny.gov/ahp-empower](http://nyserdera.ny.gov/ahp-empower)에서 온라인으로 작성하실 수도 있습니다. 온라인으로 신청서를 작성하시면 NYSERDA에서 가장 빠르게 검토하고 승인할 수 있습니다.

## 섹션 A: 신청인 정보

신청인 이름

주소

아파트 호수

NY

시

주

우편번호

국가

전화번호(지역 번호 포함)

보조 전화(지역 번호 포함)

이메일 주소

우편 주소(위 주소와 다를 경우)

추가 연락처 신청인과의 관계

전화번호(지역 번호 포함)

## 섹션 B: 주거지 정보

소유  임대

단독  유닛 \_\_\_\_\_ 개가 있는 다가구  조립식/이동식 주택  그룹 홈/보호소

## 섹션 C: 집주인 정보

집주인 이름 전화번호(지역 번호 포함)

이메일 주소

집주인 주소가 이 건물 주소와 일치합니까?  예  아니요 - "아니요"인 경우 아래 주소를 적어주세요.

주소

**선택 사항:** 에너지 소비를 줄이는 데 도움이 될 정보가 있다면 추가하시고 저희가 알아야 하는 입주자 건강 문제 또는 특수 요건이 있다면 적어주세요.

**EMPOWER 계약업체 및 위탁 기관:** 해당 비즈니스 또는 기관 이름을 인쇄체로 써주세요.

## 섹션 D: 공공 서비스 정보

우리 집의 주요 난방 연료는

전기  석유  등유  천연가스  프로판  나무  펠릿  모름

기타: \_\_\_\_\_

우리 집의 부차적 난방 연료는

전기  석유  등유  프로판  나무  펠릿  석탄  부차적 연료가 없음

기타: \_\_\_\_\_

**전기 서비스: 전기요금 청구서를 직접 관리하시는 경우 다음 정보를 제공하십시오.**

공공 서비스 이름: \_\_\_\_\_

계정 번호: \_\_\_\_\_ NYSEG 또는 RG&E인 경우 - POD # \_\_\_\_\_

**가스 서비스: 천연가스 서비스 고객이며 청구서를 직접 관리하시는 경우 다음 정보를 제공하십시오.**

공공 서비스 이름: \_\_\_\_\_

계정 번호: \_\_\_\_\_ NYSEG 또는 RG&E인 경우 - POD # \_\_\_\_\_

**기본 연료 공급업체: 천연가스 또는 전기 외 연료로 난방하시는 경우 다음 정보를 제공하십시오.**

회사 이름: \_\_\_\_\_

계정 번호: \_\_\_\_\_

**연료/에너지 요금 청구서 공개(지난 2년 및 향후 3년 치)에 동의하는 고객 허가**

본인의 서명은 해당 신청서에 기재한 계정의 금전적 책임이 본인에게 있음을 증명합니다. 이로써 본인은 해당 신청서에 기재한 전기 및 연료 공급업체가 해당 신청서 날짜의 2년 전부터 프로그램 참여 3년 후까지 상기 건물 주소와 관련된 계정 번호를 포함하여 모든 에너지 사용 정보를 뉴욕주 에너지 연구 개발국(NYSERDA) 대리인, Weatherization Assistance Program(WAP) 대리인 및/또는 그 지정 대리인에게 공개하는 것에 동의하며 허가합니다. 본인은 이 정보가 법률이 허용하는 범위에서 기밀로 유지될 것이며 본인이 프로그램에 참여하는 것을 돕고, NYSEDA의 거주지 프로그램과 금융 혜택 수혜 및 WAP 참여 적합성 여부를 가리고, 에너지 절약률을 추산할 목적으로 사용되며 평가 목적으로 사용될 것임을 이해합니다.

고객 서명: \_\_\_\_\_ 날짜: \_\_\_\_\_

## 섹션 E: 협력사 정보

NYSEDA의 에너지 효율 프로그램에서 특정 참여 프로그램 계약업체와 협력하고 싶은 경우, 아래에 나타내주십시오. 저희는 귀하의 요청을 받아들이기 위해 노력할 것이나 최종 결정은 참여 프로그램 계약업체의 스케줄 및 귀하 프로젝트의 수락 여부에 달려있습니다. 프로그램 계약업체와 협력하지 않으시는 경우 저희는 승인 목록에서 그 다음으로 이용 가능한 참여 프로그램 계약업체를 배정할 것입니다.

계약업체 이름: \_\_\_\_\_

NYSEDA는 에너지 전문 조연가 네트워크를 유지하므로 이 프로그램 및 기타 NYSEDA 프로그램, 공공 서비스 혜택, 기타 지역 자원을 통해 이미 도움을 받고 계실 수 있습니다. 현재 NYSEDA 에너지 조연가의 도움을 받고 계신 경우 아래 나타내주십시오. 프로그램에서는 해당 조연가가 단계별로 계속 귀하에게 도움을 줄 수 있도록 프로젝트 정보를 제한적으로 공유할 것입니다.

NYSEDA 에너지 조연가 이름: \_\_\_\_\_

## 섹션 F: 소득 서류 - 다음 중 한 개를 선택해주시오

- A.  지리적 적합성: 귀하의 주소에 따라 혜택을 받을 수도 있습니다. 자세한 정보가 필요하시면 [nyserda.ny.gov/ahp-empower](http://nyserda.ny.gov/ahp-empower) 를 방문하십시오. 지리적으로 적합한 지역에 거주하는 경우, 상자에 체크 표시를 해주십시오.
- B.  추천 편지: NYSERDA에서 추천 코드가 든 편지를 받은 경우 아래 입력해주시오. 추천 코드가 있는 경우 추가 소득 서류가 필요 없습니다.

추천 ID#: \_\_\_\_\_

- C.  다음 중 하나의 사본을 제공하십시오. 지난 12개월 이내 HEAP, SNAP(푸드 스탬프), TANF(도움이 필요한 가족을 위한 임시 지원) 또는 보조적 보장 소득 수혜 확인 편지 전체 사본
- D.  상기 A, B, C가 해당하지 않는 경우 아래 옵션 중 하나의 소득 서류를 제공하십시오.

### 옵션 1

- 급여 명세서: 지난 60일간 가구 총소득. 급여 방식이 다음과 같은 경우 월간 총소득 계산법:

- 주간: 최근 4주간 소득 X 4.3
- 2주에 한 번: 최근 연속 2회 소득 X 2.15
- 한 달에 두 번: X 2

- 사회 보장 연금 및 사회 보장 장애 연금: 수혜 확인 편지 사본
- 장애 보조금, 산재보상, 실업 수당, 연금, 생활비, 자녀 양육비, 연금, 참전 용사 혜택, 기타 모든 소득 등 모든 형태의 소득을 증명하는 서류
- 자영업: 지난 3개월 치 IRS 분기별 이익 보고서

### 옵션 2

- 소득 신고서: 이 옵션은 소득 신고 의무가 있는 모든 식구가 소득을 신고했을 경우에만 선택할 수 있습니다. 소득 신고서로 소득을 증명하는 경우 모든 소득 출처가 소득 신고서로 증명되어야 합니다. 소득 신고서는 반드시 최근의 연방 소득 신고서 (서식 1040, 1040A, 1040EZ)여야 합니다. 임대, 비즈니스 또는 영농 수입을 증명하는 경우 반드시 해당 스케줄을 제출해야 합니다(스케줄 C, E, F).

## 섹션 G: 소득 정보

식구는 총 몇 명입니까? \_\_\_\_\_

식구별로 다음 정보를 작성해주시오.

성명	성별 (선택 사항)	나이	학생 (예 또는 아니요)	소득 출처	주간	월간	연간
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
<b>가구 총소득</b>					\$	\$	\$

## 섹션 H: 인구 통계 정보

NYSERDA에서 프로그램이 지역 공동체에 주는 영향을 이해하도록 도우려면 다음 인구 통계 정보 질문에 답해주시요. 질문에 답하는 것은 선택 사항이며 귀하의 프로그램 참여 적합성 여부에 영향을 주지 않습니다.

다음에 해당하는 식구 수를 나타내주시요.

만 60세 이상: \_\_\_\_\_ 장애: \_\_\_\_\_ 만 17세 이하: \_\_\_\_\_ 참전 용사: \_\_\_\_\_

식구가 다음에 해당하는지 나타내주시요. (한 개 이상, 해당하는 만큼 선택하십시오)

- |  |                             |
|--|-----------------------------|
| <input type="checkbox"/> 답변 거부               | <input type="checkbox"/> 백인 |
| <input type="checkbox"/> 히스패닉 또는 라틴계         | <input type="checkbox"/> 모름 |
| <input type="checkbox"/> 북미 원주민/알래스카 원주민     | <input type="checkbox"/> 기타 |
| <input type="checkbox"/> 아시아계                |                             |
| <input type="checkbox"/> 흑인 또는 아프리카계 미국인     |                             |
| <input type="checkbox"/> 하와이 원주민 또는 태평양 섬 주민 |                             |

## 섹션 I: 신청인 등의

본인은 프로그램 참여 적합성 여부 및 이 신청서에 기재된 정보와 본인의 소득 서류 및 프로젝트 상태에 관한 정보 등 증명 서류를 다음 단체에 공개하도록 허가합니다. NYSERDA 및 그 대리인, NYS Weatherization Assistance Program(WAP) 및/또는 그 대리인, NYSERDA 프로그램을 대신하여 작업하는 공동체 기반 조직, 전기 및 천연가스 서비스 업체, 본인이 신청서를 작성하고 제출할 때 도움을 받기 위해 연락한 적 있는 개인 또는 조직: \_\_\_\_\_

본인은 본인이 제공한 정보가 현재 또는 미래에 본인이 프로그램 혜택을 받도록 연락하거나 돕는 데 사용될 수 있으며, NYSERDA 및/또는 거주지 공공 서비스 프로그램 및 금융 혜택 수혜 적합성 여부를 가리고 NYS WAP 참여 적합성 여부를 가리고 에너지 절약률을 추산하기 위해 사용될 수 있으며, 평가 목적으로 사용될 수 있음을 이해합니다.

본인은 모든 정보가 법률이 허용하는 범위에서 기밀로 유지될 것임을 이해합니다. 본인은 NYSERDA 거주지 프로그램 또는 NYS WAP를 통해 서비스가 제공될 경우 본인의 프로그램 참여가 사회 보장 연금 또는 공적 부조, 기타 소득에 영향을 주지 않을 것임을 이해합니다.

본인은 이 신청서가 혜택을 받게 보장하는 수단이 아님을 이해합니다. 서비스 제공 여부는 신청서 수와 프로그램에 할당된 자금 및 우선순위에 달려있습니다.

본인은 NYSERDA 대리인, NYS WAP 대리인, 독립 참여 계약업체와 본인이 상호 간에 동의할 경우 이들이 본인의 거주지에 접근하여 에너지 점검, 장비 설치, 품질 보증 등 프로그램 활동 및 평가 활동을 수행하는 데 동의합니다. 본인은 참여 계약업체가 독립 계약업체이며 완료 작업에 대해 1년 동안 인건비를 보증함을 이해합니다. 또한 본인은 참여 계약업체와 제공업체가 설치한 장비에 대해 적절한 보증을 제공하고 NYSERDA 또는 NYS WAP에서는 추가 보증을 제공하지 않음을 이해합니다.

본인은 증명 서류에 명시된 내용을 포함하여 이 신청서의 모든 부분에 명시된 내용을 확인했으며 본인이 아는 한 사실이고 완전하며 그렇지 않을 경우 법률에 따라 처벌받을 것에 동의하며 맹세합니다.

본인은 이 서식의 서명이 NYSERDA, NYS WAP 대리인, 그 지명인에게 본인의 NYSERDA 프로그램 및 NYS WAP 참여 적합성 여부를 가리도록 허락한다는 의미임을 이해합니다. 본인은 제공 정보를 검증하거나 확인하기 위해 질문받을 수 있음에 동의합니다. 본인은 자격이 없는 혜택을 받기 위해 허위 정보를 제공하거나, 필요한 정보를 제공하지 않을 경우 법이 허용하는 최대한의 처벌을 받을 수 있음을 이해합니다. 또한 본인은 1986년에 제정된 이민 개혁 통제법(공법 99-063)에 따라 이 신청서에 기재된 모든 사람이 Weatherization 서비스를 받을 자격이 있음을 진술합니다.

신청인 서명

날짜

신청인 대리 서명

날짜

귀하의 연락처 정보는 NYSERDA 내 기타 거주지 프로그램에 공유될 수 있습니다. 이를 원치 않으시면 여기에 성명의 첫 글자를 적어주시요. \_\_\_\_\_

**내부 전용**

검토자:  HEAP  OFA  공공 서비스  Weatherization 2차 수령자  EmPower  기타: \_\_\_\_\_

가정이 받는 혜택에 모두 체크 표시하십시오.  SSI  HEAP  SNAP  TANF

신청자가 제공한 정보를 기준으로 이 가정은 다음과 같이 결정됩니다.

AHP만 적합  Weatherization에 적합  Weatherization에 부적합

EmPower에 적합  EmPower에 부적합  EmPower에 적합하나 Weatherization 대기 명단에 올림

여기에 다음의 여부를 체크 표시하십시오.

이 가정은 전에 Weatherization 서비스를 받은 적 있음

이 가정은 EmPower에서 서비스를 받을 자격이 없음

추가 의견:

EmPower 대리인 서명

직함

날짜



## POŁĄCZONY WNIOSEK MIESZKANIOWY

# Wyniki ENERGY STAR® programów EmPower New York i Pomocy Mieszkaniowej



NYSERDA

Ta lista kontrolna pomoże zapewnić terminowe rozpatrzenie wniosku. Wstaw ✓ w odpowiednim polu po upewnieniu się, że wszystkie sekcje wniosku są wypełnione, a wymagana dokumentacja – złożona. Wnioski są rozpatrywane według kolejności zgłoszeń.

Ogólne informacje wnioskodawcy (Sekcje A, B i C) – Sprawdź, czy wszystkie wymagane pola są wypełnione (jeśli nie są zaznaczone jako „opcjonalne”).

### TYLKO NAJEMCY:

Nazwisko wynajmującego, adres i numer telefonu podane w części C

### INFORMACJE O MEDIACH (CZĘŚĆ D):

Podpisz upoważnienie do wystawienia rachunku za opał/energię dla klienta

Dołącz kopię kompletnego rachunku za energię elektryczną

Dołącz kopię kompletnego rachunku za gaz lub rachunek od dostawcy opału, jeśli ogrzewanie jest za pomocą propanu, oleju, nafty, drewna lub węgla

### INFORMACJE O DOCHODACH (CZĘŚĆ F I G):

Sprawdź, czy wszystkie wymagane pola są wypełnione

### DANE DEMOGRAFICZNE (CZĘŚĆ H): *Opcjonalne*

Opcjonalne

### OŚWIADCZENIE WNIOSKODAWCY (CZĘŚĆ I):

Przeczytaj i podpisz

### ZWRÓĆ WNIOSEK TO:

Wniosek o Audyt Energetyczny  
8 Southwoods Blvd  
Suite 201  
Albany, NY 12211

Poniższe informacje pomogą określić, które usługi i programy są dla Ciebie najodpowiedniejsze. W niektórych sytuacjach usługi EmPower New York są świadczone przez agencje programu Weatherization Assistance Program (WAP). W takich przypadkach, niniejszy wniosek posłuży jako wniosek o WAP i może zostać przekazany do lokalnej agencji zajmującej się tymi usługami. Prosimy o czytelne wpisanie i podanie jak największej ilości informacji. Ten wniosek można wypełnić online na stronie [nyserdera.ny.gov/ahp-empower](http://nyserdera.ny.gov/ahp-empower). Wypełnienie wniosku online jest najszybszym sposobem, w jaki NYSERDA może przejrzeć i zatwierdzić Twój wniosek.

## CZĘŚĆ A: INFORMACJE O WNIOSKODAWCY

Imię i nazwisko wnioskodawcy

Adres

nr mieszk.

NY

Miejscowość

Stan

Kod

Powiat

Numer telefonu (w tym kierunkowy)

Drugi telefon (w tym kierunkowy)

Adres e-mail

Adres do korespondencji (jeśli inny niż powyżej)

Dodatkowa osoba kontaktowa

Pokrewieństwo z wnioskodawcą

Numer telefonu (w tym kierunkowy)

## CZĘŚĆ B: INFORMACJE O MIESZKANIU

Posiadam  Wynajmuję

Jednorodzinny  Wielorodz. \_\_\_\_\_ liczba mieszkań  Dom mobilny  Dom grupowy/schronisko

## CZĘŚĆ C: INFORMACJE O WŁAŚCICIELU

Imię i nazwisko właściciela

Numer telefonu (w tym kierunkowy)

Adres e-mail

Czy adres właściciela jest taki sam jak adres budynku?  Tak  Nie – Jeśli „Nie”, proszę wpisać adres poniżej.

Adres

**OPCJONALNIE:** Proszę dodać wszelkie informacje, które mogą okazać się pomocne w zmniejszeniu zużycia energii i wymienić kwestie zdrowotne mieszkańców lub specjalne potrzeby, o których musimy wiedzieć:

**KONTRAHENCI EMPOWER I AGENCJE KIERUJĄCE:** Wpisz czytelnie nazwę swojej firmy lub agencji.



## SEKCJA D: INFORMACJE O MEDIACH

Moim głównym opałem grzewczym jest:

- Prąd  Olej  Nafta  Gaz ziemny  Propan  Drewno  Pelet  Nie wiem  
 Inny: \_\_\_\_\_

Moim dodatkowym opałem grzewczym jest:

- Prąd  Olej  Nafta  Propan  Drewno  Pelet  Węgiel  Nie mam dodatkowego opału  
 Inny: \_\_\_\_\_

**ZAKŁAD ENERGETYCZNY:** Jeśli odpowiadasz za rachunek za prąd, podaj następujące dane:

Nazwa zakładu: \_\_\_\_\_

Nr konta: \_\_\_\_\_ Jeśli NYSEG lub RG&E – Nr POD \_\_\_\_\_

**GAZOWNIA:** Jeśli jesteś odbiorcą gazu ziemnego i odpowiadasz za rachunek, podaj następujące informacje:

Nazwa zakładu: \_\_\_\_\_

Nr konta: \_\_\_\_\_ Jeśli NYSEG lub RG&E – Nr POD \_\_\_\_\_

**GŁÓWNY DOSTAWCA OPAŁU:** jeśli ogrzewasz opałem innym niż gaz ziemny lub energia elektryczna, podaj następujące informacje:

Nazwa firmy: \_\_\_\_\_

Numer konta: \_\_\_\_\_

**ZGODA KLIENTA na udostępnienie rachunków za paliwo/energię (za poprzednie dwa lata i przyszłe trzy lata)**

Mój podpis poświadczam, że odpowiadam finansowo za rachunek (rachunki) wymienione w niniejszym wniosku. Niniejszym wyrażam zgodę i upoważniam dostawców energii elektrycznej i paliw wymienionych w niniejszym wniosku do ujawnienia wszelkich informacji dotyczących zużycia energii, w tym numerów kont, związanych z powyższym adresem nieruchomości, przedstawicielom New York State Energy Research and Development Authority (NYSERDA), oraz programu Weatherization Assistance Program (WAP), i/lub jego wyznaczonym przedstawicielom na okres rozpoczynający się dwa lata przed datą złożenia wniosku i kończący się trzy lata po przystąpieniu do programu. Rozumiem, że informacje te zostaną zachowane jako poufne w zakresie dozwolonym przez prawo i wykorzystane do celów pomocy w korzystaniu z programów, określenia kwalifikacji do programów mieszkaniowych i zachęt finansowych NYSEDA, kwalifikacji do WAP, oszacowania oszczędności energii oraz do celów oceny.

Podpis klienta: \_\_\_\_\_ Data: \_\_\_\_\_

## CZĘŚĆ E: INFORMACJE O PARTNERZE

Jeśli chcieliby Państwo współpracować z konkretnym wykonawcą programu uczestniczącym w programach efektywności energetycznej NYSEDA, proszę wskazać poniżej. Będziemy dążyć do uwzględnienia Państwa wniosku, ale ostateczny wybór jest oparty na dostępności wykonawcy programu uczestniczącego w programie i akceptacji Twojego projektu. Jeśli nie współpracujesz z wykonawcą uczestniczącym w programie, przydzielimy Ci następnego dostępnego wykonawcę programu z naszej zatwierdzonej listy.

Nazwa wykonawcy: \_\_\_\_\_

NYSERDA utrzymuje sieć profesjonalnych doradców energetycznych, którzy mogą już pomagać Państwu w tym programie oraz w innych programach NYSEDA, ofertach zakładów energetycznych i innych lokalnych zasobach. Jeśli obecnie współpracują Państwo z doradcą energetycznym NYSEDA, proszę wskazać poniżej, z którym. Program udostępni im ograniczone informacje o projekcie, aby mogli dalej pomagać Państwu na każdym kroku.

Nazwa doradcy energetycznego NYSEDA: \_\_\_\_\_

## Część F: DOKUMENTACJA DOCHODOWA — Wybierz jedno z poniższych

- A.  Geokwalifikacja: Możesz kwalifikować się do otrzymania zachęt w oparciu o swój adres. Więcej informacji można znaleźć na stronie [nyserdera.ny.gov/ahp-empower](http://nyserdera.ny.gov/ahp-empower). Jeśli znajdujesz się w obszarze geokwalifikowalności, zaznacz to pole.
- B.  Pismo polecający: Jeśli otrzymali Państwo pismo od NYSEDA z kodem polecającym, należy wpisać go poniżej. Jeśli mają Państwo kod polecający, nie jest wymagana dodatkowa dokumentacja dochodów.
- Nr kodu polecającego: \_\_\_\_\_
- C.  Proszę przedłożyć kopię JEDNEGO z poniższych: Kopia całego pisma przyznającego HEAP, SNAP (kupony żywnościowe), TANF (Pomoc tymczasowa dla potrzebujących rodzin) lub Supplemental Security Income (Dodatkowy dochód zabezpieczający), datowanego w ciągu ostatnich 12 miesięcy
- D.  Jeśli A, B lub C powyżej nie mają zastosowania, proszę dostarczyć dokumentację dochodów w ramach jednej z poniższych opcji:

### Opcja 1

- Odcinki wypłat: wszystkie dochody brutto gospodarstwa domowego za ostatnie 60 dni. Aby obliczyć miesięczną sumę dochodów, jeśli dochód jest:
  - Tygodniowy: pomnóż tygodniowy dochód za 4 ostatnie tygodnie przez 4,3
  - Dwutygodniowy: pomnóż 2 ostatnie kolejne tygodnie przez 2,15
  - Dwa razy w miesiącu: pomnóż przez 2
- Ubezpieczenie społeczne i renta inwalidzka: kopia pisma przyznającego
- Dokumentacja wszystkich form dochodu, w tym z tytułu niepełnosprawności, wynagrodzeń pracowniczych, zasiłku dla bezrobotnych, emerytury, alimentów, renty, świadczeń kombatanckich i wszystkie inne dochody
- Samozatrudnienie: Kwartalne deklaracje IRS (Urzędu Skarbowego) dotyczące zarobków z ostatnich trzech miesięcy

### Opcja 2

- Deklaracje podatkowe: Ta opcja jest dostępna tylko wtedy, gdy wszyscy członkowie gospodarstwa domowego, którzy byli zobowiązani do złożenia zeznania podatkowego, zrobili to. W przypadku dokumentowania dochodu zeznaniami podatkowymi należy udokumentować wszystkie źródła dochodu. Deklaracje muszą być najnowszymi federalnymi deklaracjami podatkowymi (Formularz 1040, 1040A lub 1040EZ). W przypadku dokumentowania dochodów z wynajmu, działalności gospodarczej lub gospodarstwa rolnego - należy złożyć odpowiednie formularze (Schedule C, E i F).

## CZĘŚĆ G: INFORMACJE O DOCHODACH

Łączna liczba osób w gospodarstwie domowym? \_\_\_\_\_

Należy podać następujące informacje dla każdego członka gospodarstwa domowego.

Pełne imię i nazwisko	Płeć (opcjonalnie)	Wiek	Student/uczeń (Tak lub Nie)	Źródło(-a) dochodów	Tygodniowe	Miesięczne	Rocznie
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
<b>Całkowity dochód gospodarstwa domowego</b>					\$	\$	\$

## CZĘŚĆ H: DEMOGRAFIA

Aby pomóc NYSERDA zrozumieć wpływ naszych programów na społeczności lokalne, proszę wypełnić poniższe pytania demograficzne. Odpowiedzi na te pytania są opcjonalne i nie mają wpływu na kwalifikowalność do programu.

**Wskaż liczbę członków gospodarstwa domowego, którzy są:**

mają 60 lat lub więcej: \_\_\_\_\_ Są niepełnosprawni: \_\_\_\_\_ w wieku 17 lub młodszy: \_\_\_\_\_ Kombatantami: \_\_\_\_\_

**Wskaż, czy członek gospodarstwa domowego jest:**

(wybierz co najmniej jedną opcję, a w razie potrzeby wszystkie właściwe)

Wolę nie odpowiadać

Osobą hiszpańskojęzyczną lub latynoską

Rdzennym Amerykaninem / należy do Pierwszego Narodu / jest rdzennym mieszkańcem Alaski

Azjata

Osobą czarnoskórą / Afroamerykaninem

Rdzennym mieszkańcem Hawajów lub Wysp Pacyfiku

osobą białą

nieznaną

inną

## CZĘŚĆ I: OŚWIADCZENIE WNIOSKODAWCY

Upoważniam do udostępnienia informacji na temat mojej kwalifikowalności i informacji podanych w niniejszym wniosku, dokumentów uzupełniających, w tym dokumentacji dotyczącej dochodów, jak również informacji dotyczących mojego statusu w projekcie następującym podmiotom: NYSERDA i jej przedstawicielom; programowi NYS Weatherization Assistance Program (WAP) i/lub jego wyznaczonym przedstawicielom; wszelkim organizacjom społecznym działającym w imieniu programów NYSERDA; moim zakładom energetycznym i gazowym; oraz następującym osobom lub organizacjom: \_\_\_\_\_, które zaangażowałem/-am w celu pomocy w wypełnieniu i złożeniu wniosku.

Rozumiem, że podane przeze mnie informacje mogą być wykorzystane do skontaktowania się ze mną lub do pomocy w skorzystaniu z jakiegokolwiek obecnej lub przyszłej oferty programowej, do której mogę się kwalifikować, oraz do celów określenia kwalifikacji do programów mieszkaniowych i zachęt finansowych NYSERDA i/lub przedsięwzięć użyteczności publicznej, określenia kwalifikacji do NYS WAP, do oszacowania potencjału oszczędności energii oraz do celów oceny. Rozumiem, że wszystkie informacje będą traktowane jako poufne w zakresie dozwolonym przez prawo. Rozumiem, że jeśli usługi będą świadczone dla mnie w ramach programów mieszkaniowych NYSERDA lub NYS WAP, to mój udział w tych programach nie będzie miał wpływu na moje ubezpieczenie społeczne, pomoc publiczną lub jakiegokolwiek inne dochody.

Rozumiem, że niniejszy wniosek nie gwarantuje, że pomoc zostanie mi przyznana. To, czy usługi będą świadczone, zależy od liczby otrzymanych wniosków, dostępności funduszy i priorytetów ustalonych przez programy.

Zgadzam się na zapewnienie przedstawicielom NYSERDA, przedstawicielom NYS WAP oraz niezależnym wykonawcom uczestniczącym w programie dostępu do mojego mieszkania, w godzinach, które są do przyjęcia dla obu stron, w celu przeprowadzenia działań programowych, w tym inspekcji energetycznych, instalacji środków, zapewnienia jakości oraz działań ewaluacyjnych. Rozumiem, że wykonawcy uczestniczący w programie są niezależnymi wykonawcami i udzielają rocznej gwarancji na robociznę za wykonaną pracę. Ponadto rozumiem, że uczestniczący wykonawcy i dostawcy zapewnią odpowiednie gwarancje na wszelkie dostarczone urządzenia i że NYSERDA ani NYS WAP nie zapewniają żadnych dodatkowych gwarancji.

Oświadczam i potwierdzam, pod groźbą kary, że oświadczenia zawarte we wszystkich częściach niniejszego wniosku, w tym oświadczenia zawarte we wszelkich dokumentach towarzyszących, zostały przeze mnie sprawdzone i są według mojej najlepszej wiedzy prawdziwe i kompletne.

Rozumiem, że mój podpis na tym formularzu daje zgodę NYSERDA, przedstawicielom NYS WAP i wyznaczonym przez te agencje osobom na zapewnienie mojej kwalifikacji do programów NYSERDA i NYS WAP. Wyrażam zgodę na wszelkie zapytania w celu weryfikacji lub potwierdzenia podanych przeze mnie informacji. Rozumiem, że jeśli podam fałszywe informacje lub zataję informacje w celu otrzymania świadczeń, do których nie mam uprawnienia, mogę podlegać ściganiu w pełnym zakresie prawa. Oświadczam również, że żadna osoba wymieniona w niniejszym wniosku nie podlega dyskwalifikacji w zakresie usług docieplania na podstawie Ustawy o Reformie i Kontroli Imigracji z 1986 roku (PL 99-063).

Podpis wnioskodawcy

Data

Podpis przedstawiciela wnioskodawcy

Data

Państwa dane kontaktowe mogą być udostępnione innym programom mieszkaniowym w ramach NYSERDA. Aby zrezygnować z tej opcji, proszę zaparafować tutaj: \_\_\_\_\_

## TYLKO DO UŻYTKU WEWNĘTRZNEGO

Sprawdził(a):  HEAP  OFA  Zakł. energ.  Sub-beneficjent docieplania  EmPower  Inne: \_\_\_\_\_

Zaznacz wszystkie świadczenia, które otrzymuje gospodarstwo domowe:  SSI  HEAP  SNAP  TANF

Na podstawie informacji podanych przez wnioskodawcę ustalono, że gospodarstwo domowe:

Kwalifikuje się tylko do AHP  Kwalifikuje się do docieplenia  NIE kwalifikuje się do docieplenia

Kwalifikuje się do EmPower  NIE kwalifikuje się do EmPower

Kwalifikuje się do EmPower, jest na liście oczekiwania do docieplenia

Zaznaczyć tutaj, jeśli:

Gospodarstwo domowe było już obsługiwane przez program docieplania

Gospodarstwo domowe nie kwalifikuje się do dalszych usług w ramach EmPower

Dodatkowe uwagi:

Podpis Przedstawiciela Empower

Stanowisko

Data



**NYSERDA**

## КОМБИНИРОВАННАЯ ЖИЛИЩНАЯ ЗАЯВКА



NYSERDA

# EmPower New York и Assisted Home Performance с ENERGY STAR®

Этот список поможет обеспечить оперативную обработку вашей заявки. Поставьте ✓ в соответствующем поле, когда убедитесь в том, что все разделы Заявки заполнены, а необходимые документы предоставлены. Заявки обрабатываются в порядке поступления.

Общая информация о соискателе (Разделы А, В и С) – Убедитесь, что все обязательные поля заполнены (если на них не указано «необязательное поле»).

### ТОЛЬКО ДЛЯ АРЕНДАТОРОВ:

Имя, адрес и номер телефона арендодателя приводится в Разделе С.

### ИНФОРМАЦИЯ О КОММУНАЛЬНЫХ УСЛУГАХ (РАЗДЕЛ D):

Подпишите разрешение клиента на раскрытие информации счетов за топливо/электроэнергию

Прикрепите копию полного счета за электроэнергию

Прикрепите копию полного счета за газ или счет от поставщика топлива в случае отопления пропаном, нефтью, керосином, дровами или углем

### ИНФОРМАЦИЯ О ДОХОДЕ (РАЗДЕЛЫ F И G)

Убедитесь, что все обязательные поля заполнены

### ДЕМОГРАФИЧЕСКИЕ ДАННЫЕ (РАЗДЕЛ H): *Необязательное поле*

Необязательное поле

### ЗАЯВЛЕНИЕ СОИСКАТЕЛЯ (РАЗДЕЛ I)

Прочитайте и подпишите

### ОТПРАВЬТЕ ЗАЯВКУ ПО АДРЕСУ:

Energy Audit Application  
8 Southwoods Blvd  
Suite 201  
Albany, NY 12211

Следующая информация поможет определить, какие ресурсы и программы наиболее вам подходят. В некоторых ситуациях услуги EmPower New York предоставляются организациями, работающими по Программе помощи с утеплением (Weatherization Assistance Program, WAP). В этих случаях настоящая заявка представляет собой заявку на программу WAP и может быть отправлена в вашу местную организацию, предоставляющую эти услуги. Пишите четко печатными буквами и предоставляйте как можно больше информации. Это заявку можно заполнить онлайн по адресу [nyscrda.ny.gov/ahp-empower](https://nyscrda.ny.gov/ahp-empower). При подаче онлайн NYSCRDA рассмотрит и утвердит ваше заявку быстрее всего.

## РАЗДЕЛ А: ИНФОРМАЦИЯ ЗАЯВИТЕЛЯ

Имя заявителя

Адрес

Номер квартиры

Нью-Йорк

Город

Штат

Почтовый индекс

Округ

Номер телефона (включая территориальный код)

Дополнительный номер телефона (включая территориальный код)

Адрес эл. почты

Почтовый адрес (если он отличается от приведенного выше)

Дополнительное контактное лицо

Кем приходится соискателю

Номер телефона (включая территориальный код)

## РАЗДЕЛ В: ИНФОРМАЦИЯ О ЖИЛЬЕ

Мне принадлежит  Я снимаю

Отдельный дом  Многоквартирный \_\_\_\_\_ число квартир  Сборный дом / дом на колесах

Интернатное учреждение / приют

## РАЗДЕЛ С: ИНФОРМАЦИЯ О ВЛАДЕЛЬЦЕ

Имя владельца

Номер телефона (включая территориальный код)

Адрес эл. почты

Адрес владельца тот же, что и адрес здания?  Да  Нет – Если вы выбрали «Нет», то укажите адрес ниже.

Адрес

**НЕОБЯЗАТЕЛЬНОЕ ПОЛЕ:** Пожалуйста, добавьте любую информацию, которая позволит нам помочь снизить потребление вами электроэнергии, и укажите проблемы со здоровьем или особые нужды, о которых нам необходимо знать:

**КОНТРАГЕНТЫ EMPOWER И ОРГАНИЗАЦИИ, ДАЮЩИЕ РЕКОМЕНДАЦИЮ:** Напишите печатными буквами название вашего бизнеса или агентства.

## РАЗДЕЛ D: ИНФОРМАЦИЯ О КОММУНАЛЬНЫХ УСЛУГАХ

Мое основное топливо для отопления — это:

- Электроэнергия  Нефть  Керосин  Природный газ  Пропан  Дрова  Гранулы  Я не знаю  
 Другое: \_\_\_\_\_

Мое вторичное топливо — это:

- Электричество  Нефть  Керосин  Пропан  Дрова  Гранулы  Уголь  У меня нет вторичного топлива  
 Другое: \_\_\_\_\_

**ЭЛЕКТРОЭНЕРГИЯ:** Если вы оплачиваете счета за электроэнергию, предоставьте следующее:

Название компании: \_\_\_\_\_  
Номер счета: \_\_\_\_\_ If NYSEG или RG&E – POD # \_\_\_\_\_

**ГАЗ:** Если вы являетесь клиентом компании-поставщика природного газа и оплачиваете счета, предоставьте следующее:

Название компании: \_\_\_\_\_  
Номер счета: \_\_\_\_\_ If NYSEG или RG&E – POD # \_\_\_\_\_

**ПОСТАВЩИК ПЕРВИЧНОГО ТОПЛИВА:** если вы отапливаете не природным газом или электричеством, а другим топливом, предоставьте следующее:

Название компании: \_\_\_\_\_  
Номер счета: \_\_\_\_\_

**РАЗРЕШЕНИЕ КЛИЕНТА на раскрытие информации счетов за топливо/электроэнергию (за предыдущие два года и последующие три года)**

Моя подпись подтверждает, что я несу финансовую ответственность за счет(а), указанные в этой заявке. Настоящим я даю согласие и разрешаю поставщикам электроэнергии и топлива, указанным в этом заявке, раскрывать любую и всю информацию об энергопотреблении, включая номер(а) счета (счетов), относящихся к недвижимости по адресу, приведенному выше, представителям Управления по исследованиям и разработкам в области энергетики штата Нью-Йорк (New York State Energy Research and Development Authority, NYSERDA) и Программы помощи с утеплением (Weatherization Assistance Program, WAP) и/или их уполномоченным представителям на период, начинающийся за два года до даты подачи заявки и заканчивающийся через три года после участия в программе. Я понимаю, что информация будет оставаться конфиденциальной настолько, насколько это разрешается законом, и использоваться для помощи мне в использовании программ, определения соответствия критериям жилищных программ и финансовых инициатив NYSERDA, соответствия критериям программы WAP, для оценки экономии энергии, а также для целей анализа.

Подпись клиента: \_\_\_\_\_ Дата: \_\_\_\_\_

## РАЗДЕЛ E: ИНФОРМАЦИЯ О ПАРТНЕРАХ

Если вы хотите работать с конкретным контрагентом-участником программы по программам энергоэффективности NYSERDA, укажите это ниже. Мы постараемся удовлетворить вашу просьбу, но окончательное решение будет зависеть от загруженности контрагента-участника программы и принятия вашего проекта. Если вы не работаете с одним из контрагентов программы, мы назначим вам следующего доступного контрагента-участника программы из утвержденного списка.

Название контрагента: \_\_\_\_\_

NYSERDA поддерживает сеть профессиональных энергетических консультантов, которые, возможно, уже помогают вам с этой и другим программам NYSERDA, предложениями коммунальных услуг и другими местными ресурсами. Если вы в настоящее время работаете с энергетическим консультантом NYSERDA, укажите ниже, с кем именно. Программа предоставит ему ограниченную информацию по проекту, чтобы он и дальше мог помогать вам на каждом этапе процесса.

Имя энергетического консультанта NYSERDA: \_\_\_\_\_

## РАЗДЕЛ F: ДОКУМЕНТАЦИЯ О ДОХОДЕ — Выберите одно из следующего

- A.  Доступ по географическому положению: Возможно, вы будете соответствовать критериям получения льгот по причине вашего адреса. Дальнейшую информацию можно найти на веб-странице [nyserdera.ny.gov/ahp-empower](http://nyserdera.ny.gov/ahp-empower). Если вы находитесь в географической зоне доступа, то поставьте галочку.
- B.  Рекомендательное письмо: Если вы получили от NYSERDA письмо с кодом рекомендации, введите его ниже. Если у вас есть код рекомендации, дополнительные документы о доходах не требуются.
- ID-номер рекомендации: \_\_\_\_\_
- C.  Предоставьте копии ОДНОГО из следующих документов: Копия полного письма о назначении пособия HEAP, SNAP (купоны на еду), TANF (Temporary Assistance for Needy Families, Временная помощь нуждающимся семьям) or Supplemental Security Income (Дополнительный доход по социальному обеспечению), отправленного в течение последних 12 месяцев
- D.  Если приведенные выше варианты A, B и C к вам не относятся, предоставьте документы о доходах по одному из следующих вариантов:

### Вариант 1

\*Квитанции о начислении заработной платы: чистый доход всех членов домохозяйства за последние 60 дней. Суммарный ежемесячный доход рассчитывается следующим образом:

- Если доход еженедельный: умножьте еженедельный доход за последние 4 недели на 4,3
- Если доход поступает раз в две недели: умножьте 2 последние последовательные недели на 2,15
- Если доход поступает дважды в месяц: умножьте на 2

- Social Security (Социальное обеспечение) и Social Security Disability (Социальное пособие по нетрудоспособности): копия письма о назначении пособия
- Документы о всех видах дохода, включая пособие по нетрудоспособности, компенсацию служащим, получившим травмы на работе (worker's compensation), пособие по безработице, пенсию, алименты, алименты на детей, аннуитет, пособия ветеранов и все другие формы дохода
- Самозанятые лица: Отчет о квартальном доходе за последние три месяца от Налогового управления США

### Вариант 2

- Налоговые декларации: Этот вариант доступен только в случаях, когда все члены домохозяйства, которые должны были подать налоговую декларацию, это сделали. Если вы подтверждаете доход с помощью налоговых деклараций, все источники дохода должны быть внесены в декларацию. В качестве налоговой декларации должна выступать последняя Декларация по федеральному подоходному налогу (Форма 1040, 1040A или 1040EZ). В документации дохода от аренды, бизнеса или фермы вы должны подавать соответствующие ведомости (Schedule C, E или F).

## РАЗДЕЛ G: ИНФОРМАЦИЯ О ДОХОДЕ

Сколько всего людей включает домохозяйство? \_\_\_\_\_

Включите следующую информацию для каждого члена домохозяйства.

Полное имя	Пол (необязательное поле)	Возраст	Ученик или студент (Да или Нет)	Источник(и) доход	Ежемесячный	Еженедельный	Ежегодный
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
<b>Суммарный доход семьи</b>					\$	\$	\$



## РАЗДЕЛ H: ДЕМОГРАФИЧЕСКИЕ ДАННЫЕ

Пожалуйста, ответьте на следующие демографические вопросы, чтобы помочь NYSERDA понять влияние наших программ на местных жителей. Ответы на эти вопросы не являются обязательными и не повлияют на ваше право на участие в программе.

Укажите число членов вашего домохозяйства, которым:

60 лет и старше: \_\_\_\_\_ Имеют инвалидность: \_\_\_\_\_ 17 лет и младше: \_\_\_\_\_ Ветераны: \_\_\_\_\_

Укажите, если один из членов домохозяйства:

(выберите столько вариантов, сколько требуется, по крайней мере один)

Предпочитаю не отвечать

Испанского или латиноамериканского происхождения

Коренной американец / коренной житель / коренной житель Аляски

Азиат

Чернокожий или афро-американец

Коренной гаваец или коренной житель тихоокеанских островов

Белый

Неизвестно

Другое

## РАЗДЕЛ I: ЗАЯВЛЕНИЕ СОИСКАТЕЛЯ

Я разрешаю раскрытие решения по моему соответствию критериям и информации, приведенной в этой заявке, подтверждающих документов, включая документы о доходах, а также информации о состоянии моего проекта следующим лицам: NYSERDA и его представителям; Программе помощи с утеплением штата Нью-Йорк (NYS Weatherization Assistance Program, WAP) и/или ее уполномоченным представителям; любым местным общественным организациям, работающим по программам NYSERDA; компаниям, предоставляющим мне коммунальные услуги электроэнергии и природного газа; а также следующим лицам или организациям: \_\_\_\_\_ к которым я обратился (обратилась) за помощью в заполнении и подаче этой заявки.

Я понимаю, что предоставленная мной информация может использоваться для того, чтобы связываться со мной или помогать мне использовать любую текущую или будущую программу, критериям которой я буду соответствовать, а также для определения соответствия критериям NYSERDA или жилищных программ по коммунальным услугам, финансовых льгот, определения соответствия критериям NYS WAP, для оценки потенциальной экономии энергии и для целей анализа.

Я понимаю, что вся информация будет оставаться конфиденциальной настолько, насколько это разрешается законом.

Я понимаю, что если услуги предоставляются мне через жилищные программы NYSERDA или NYS WAP, то мое участие в этих программах не окажет влияния на мое социальное обеспечение, государственное пособие и любой другой доход.

Я понимаю, что подача этой заявки на гарантирует получения мной помощи. То, будут ли мне предоставляться услуги, зависит от числа поданных заявок, наличия средств и приоритетов, определенных программами.

Я соглашаюсь предоставлять представителям NYSERDA, представителям NYS WAP и независимым контрагентам-участникам доступ к моему жилью во время, удобное для обеих сторон, для осуществления деятельности по программе, в том числе энергетических инспекций, установки средств, обеспечения качества и мероприятий по оценке. Я понимаю, что контрагенты-участники являются независимыми контрагентами и предоставляют годовичную гарантию на выполненную работу. Я также понимаю, что контрагенты-участники и поставщики будут предоставлять соответствующие гарантии на любое предоставленное оборудование, и что NYSERDA или NYS WAP не будут предоставлять никаких дополнительных гарантий.

Я ставлю свою подпись, под страхом предусмотренных законом наказаний, в подтверждение того, что все заявления, сделанные в рамках этой заявки, включая заявления, сделанные на любых дополнительных документах, были проверены мной и являются, насколько мне известно, подлинными и полными.

Я понимаю, что моя подпись на этом бланке дает разрешение представителям NYSERDA, представителям NYS WAP и назначенным ими лицам удостоверяться в том, что я соответствую критериям программ NYSERDA и NYS WAP. Я даю согласие на любые запросы для проверки или подтверждения предоставленной мной информации. Я понимаю, что в случае предоставления ложной информации или утаивания информации с целью получения льгот, на которые я не имею права, меня могут преследовать по всей строгости закона. Я также сообщаю, что ни одно из лиц, указанных в этой заявке, не дисквалифицировано из услуг утепления в соответствии с Актом о реформе и контроле иммиграции (Immigration Reform and Control Act of 1986 (Гражданское право 99-063)).

Подпись соискателя

Дата

Подпись представителя соискателя

Дата

Ваша контактная информация может передаваться другим жилищным программам в рамках NYSERDA. Чтобы отказаться от этого, введите инициалы здесь \_\_\_\_\_

**ТОЛЬКО ДЛЯ ВНУТРЕННЕГО ИСПОЛЬЗОВАНИЯ**

Кем одобрено:  HEAP  OFA  Энергетические компании

Организации, получившие суб-грант по программе утепления  EmPower  Другое: \_\_\_\_\_

Отметьте все льготы, которые получает домохозяйство.  SSI  HEAP  SNAP  TANF

На основе предоставленной заявителем информации определено, что домохозяйство:

Имеет право только на АНР  Имеет право на программу утепления

НЕ имеет права на программу утепления  Имеет право на EmPower  НЕ имеет права на EmPower

Имеет право на EmPower, но находится в списке ожидания на программу утепления

Отметьте здесь, если:

Ваше домохозяйство раньше обслуживали по программе утепления

Ваша домохозяйство не имеет права на дальнейшие услуги по программе EmPower

Дополнительные комментарии:

Подпись представителя EmPower

Должность

Дата

# SOLICITUD RESIDENCIAL EN CONJUNTO

## EmPower New York y Rendimiento

### Asistido en el Hogar con ENERGY STAR®



**NYSERDA**

Esta lista de verificación ayudará a garantizar que su solicitud se procese de manera oportuna. Coloque una ✓ en la casilla correspondiente una vez que se haya asegurado de que todas las secciones de la solicitud estén completas y se haya proporcionado la documentación requerida. Las solicitudes se procesan por orden de llegada.

- Información general del solicitante (secciones A, B y C): verifique que todos los campos obligatorios estén completos (excepto los que estén marcados como «opcionales»).

#### ÚNICAMENTE PARA ARRENDATARIO:

- Nombre, dirección y número de teléfono del arrendador provistos en la Sección C.

#### INFORMACIÓN SOBRE LOS SERVICIOS PÚBLICOS (SECCIÓN D):

- Firmar la autorización de liberación de la factura de energía/combustible del cliente.
- Incluir una copia de la factura de electricidad completa.
- Incluya una copia de la factura de servicio de gas completa o la factura del proveedor de combustible si la calefacción es con propano, aceite, queroseno, madera o carbón.

#### INFORMACIÓN SOBRE LOS INGRESOS (SECCIÓN F Y G)

- Verifique que todos los campos requeridos estén completos.

#### DATOS DEMOGRÁFICOS (SECCIÓN H): *opcional*

- Opcional

#### INFORMACIÓN SOBRE EL SOLICITANTE (SECCIÓN I):

- Lea y firme

#### PRESENTAR LA SOLICITUD A ESTA DIRECCIÓN:

Energy Audit Application  
8 Southwoods Blvd  
Suite 201  
Albany, NY 12211

La siguiente información ayudará a determinar qué servicios y programas son los más apropiados para usted. En algunos casos, agencias del Programa de Asistencia de Climatización (WAP) proporcionan los servicios de EmPower New York. En estos casos, esta solicitud servirá como una solicitud para el WAP y puede ser enviada a su agencia local para estos servicios. Escriba de manera legible y proporcione la mayor cantidad de información posible. Puede completar esta solicitud en [nyscrda.ny.gov/ahp-empower](http://nyscrda.ny.gov/ahp-empower). Completar la solicitud en línea será la forma más rápida para que NYSEDA revise y apruebe su solicitud.

## SECCIÓN A: INFORMACIÓN DEL SOLICITANTE

Nombre del solicitante

Dirección

N.º de departamento

Nueva York

Ciudad

Estado

Código postal

Condado

Número de teléfono (incluya el número de área)

Número de teléfono secundario (incluya el número de área)

Correo electrónico

Correo postal (si es diferente de la que indicó arriba)

Persona de contacto adicional

Relación con el solicitante

Número de teléfono (incluya el número de área)

## SECCIÓN B: INFORMACIÓN DE LA VIVIENDA

Soy propietario  Alquilo

Individual Familiar  Varias familias \_\_\_\_\_ N.º de unidades  Casa prefabricada/móvil  Casa de acogida/refugio

## SECCIÓN C: INFORMACIÓN DEL PROPIETARIO

Nombre del propietario

Número de teléfono (incluya el número de área)

Correo electrónico

¿La dirección del propietario es la misma que la dirección del edificio?  Sí  No (si la respuesta es «No», indique la dirección a continuación).

Dirección

**OPCIONAL:** agregue cualquier información que podamos encontrar útil para reducir su consumo de energía y enumere los problemas de salud de los ocupantes o las necesidades especiales que debemos saber:

**CONTRATISTAS DE EMPOWER Y AGENCIAS DE REFERENCIA:** escriba el nombre de su empresa o agencia.

## SECCIÓN D: INFORMACIÓN SOBRE LOS SERVICIOS PÚBLICOS

### *Mi principal combustible de calefacción es el siguiente:*

Electricidad  Petróleo  Queroseno  Gas natural  Propano  Madera  Pellets  No sé

Otro: \_\_\_\_\_

### *Mi combustible de calefacción secundario es el siguiente:*

Electricidad  Petróleo  Queroseno  Propano  Madera  Pellets  Carbón  No tengo combustible secundario

Otro: \_\_\_\_\_

### **ELECTRICIDAD: si usted es responsable de pagar la factura de electricidad, proporcione lo siguiente:**

Nombre del servicio público: \_\_\_\_\_

Número de cuenta: \_\_\_\_\_. Si tiene NYSEG o RG&E, indique el n.º del punto del suministro (POD): \_\_\_\_\_

### **GAS: si usted es un cliente de servicios públicos de gas natural y es responsable de pagar la factura, proporcione lo siguiente:**

Nombre del servicio público: \_\_\_\_\_

Número de cuenta: \_\_\_\_\_. Si tiene NYSEG o RG&E, indique el n.º del punto del suministro (POD): \_\_\_\_\_

### **SUMINISTRO DE COMBUSTIBLE PRIMARIO: si utiliza un combustible que no sea gas natural o electricidad, proporcione lo siguiente:**

Nombre de la compañía: \_\_\_\_\_

Número de cuenta: \_\_\_\_\_

### **AUTORIZACIÓN DEL CLIENTE para liberación de combustible/facturas de energía (por dos años anteriores y tres años futuros)**

Mi firma certifica que soy financieramente responsable de la(s) cuenta(s) que figuran en esta solicitud. Por la presente, doy mi consentimiento y autorizo a los proveedores de electricidad y combustible mencionados en esta solicitud a divulgar toda la información sobre el uso de energía, incluidos los números de cuenta, relacionados con la dirección de la propiedad arriba mencionada, a los representantes de la Autoridad de Investigación y Desarrollo de Energía del Estado de Nueva York (NYSERDA), y el Programa de Asistencia de Climatización (WAP), o sus representantes designados para el período que comienza dos años antes de la fecha de la solicitud y finaliza tres años después de la participación en el programa. Entiendo que esta información se mantendrá confidencial y en la medida en que lo permita la ley, y se utilizará a modo de evaluación con el fin de ayudarme a utilizar los programas, determinar la elegibilidad para los programas residenciales e incentivos financieros de NYSEDA, la elegibilidad para el WAP, estimar los ahorros de energía.

Firma del cliente: \_\_\_\_\_ Fecha: \_\_\_\_\_

## SECCIÓN E: INFORMACIÓN DEL SOCIO

Si desea trabajar con un contratista de programa participante específico en los programas de eficiencia energética de NYSEDA, indíquelo a continuación. Haremos lo posible para ubicar su solicitud, pero la selección final se basa en la disponibilidad y la aceptación de su proyecto por parte del contratista del programa participante. Si no está trabajando con un contratista del programa, le asignaremos el próximo contratista del programa participante disponible de nuestra lista aprobada.

Nombre del contratista: \_\_\_\_\_

NYSEDA mantiene una red de asesores de energía profesionales que ya pueden estar ayudándole con este programa y con otros programas de NYSEDA, con ofertas de servicios públicos y con otros recursos locales. Si actualmente está trabajando con un asesor de energía de NYSEDA, indique cuál a continuación. El programa compartirá información limitada del proyecto con ellos para que puedan continuar ayudándole en cada paso del camino.

Nombre del asesor de energía de NYSEDA: \_\_\_\_\_

## SECCIÓN F: DOCUMENTACIÓN SOBRE LOS INGRESOS: seleccione una de las siguientes opciones

- A.  Elegibilidad según área geográfica: puede ser elegible para calificar para incentivos según su dirección. Visite [nyserderda.ny.gov/ahp-empower](http://nyserderda.ny.gov/ahp-empower) para obtener más información. Si se encuentra en un área de elegibilidad geográfica, marque la casilla.
- B.  Carta de referencia: si recibió una carta de NYSEDA con un código de referencia, anótelos a continuación. Si tiene un código de referencia, no se requiere documentación de ingresos adicional.  
Número de identificación de referencia: \_\_\_\_\_
- C.  Presente una copia de UNO de lo siguiente: copia de la carta de adjudicación completa para Asistencia para Energía para hogares (HEAP), Asistencia Nutricional Suplementaria (SNAP) (bonos para alimentos), Asistencia Temporal para Familias Necesitadas (TANF), o Seguridad de Ingreso Suplementario (SSI) con fecha dentro de los últimos 12 meses.
- D.  Si A, B o C anteriores no corresponden, proporcione la documentación de ingresos según una de las siguientes opciones:

### Opción 1

- Recibos de pago: todos los ingresos brutos del hogar durante los últimos 60 días. Para calcular el total de ingresos mensuales, si los ingresos son:
  - Semanales: multiplique los ingresos semanales que representan las 4 semanas más recientes por 4.3
  - Cada dos semanas: multiplique las 2 semanas consecutivas más recientes por 2.15
  - Dos veces al mes: multiplique por 2
- Seguro Social y discapacidad del Seguro Social: copia de la carta de adjudicación.
- Documentación de todas las formas de ingresos, incluida la discapacidad, la compensación del trabajador, el desempleo, la pensión, el mantenimiento, la manutención de los hijos, las anualidades, los beneficios de los veteranos y todos los demás ingresos.
- Trabajadores autónomos: informe del Servicio de Impuestos Internos (IRS) de las ganancias trimestrales de los últimos tres meses.

### Opción 2

- Declaraciones de impuestos: esta opción solo está disponible si todos los miembros del hogar que debían presentar una declaración de impuestos lo hicieron. Si documenta los ingresos con declaraciones de impuestos, todas las fuentes de ingresos deben respaldarse con las declaraciones de impuestos. Las declaraciones deben ser la declaración de impuestos federales sobre ingresos más reciente (Formulario 1040, 1040A o 1040EZ). Si documenta ingresos de rentas, negocios o granjas, debe presentar los anexos correspondientes (Anexo C, E y F).

## SECCIÓN G: INFORMACIÓN SOBRE LOS INGRESOS

¿Cuántas personas viven en el hogar? \_\_\_\_\_

**Incluya la siguiente información para cada miembro del hogar.**

Nombre completo	Género (opcional)	Edad	Estudiante (sí o no)	Fuentes de ingresos	Semanal	Mensual	Anual
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
<b>Ingreso total del hogar</b>					\$	\$	\$

## SECCIÓN H: INFORMACIÓN DEMOGRÁFICA

Para ayudar a NYSERDA a comprender los impactos de nuestros programas en las comunidades locales, complete las siguientes preguntas respecto de los datos demográficos. Responder estas preguntas es opcional y no afecta su elegibilidad para el programa.

**Indique la cantidad de miembros del hogar:**

60 años de edad o más: \_\_\_\_\_ Con discapacidad: \_\_\_\_\_ 17 años de edad o menos: \_\_\_\_\_ Veterano: \_\_\_\_\_

**Indique si un miembro del hogar es:** (seleccione una opción, como mínimo, y tantas como corresponda)

- |   |  |
|---|--|
| <input type="checkbox"/> Prefiero no responder                      | <input type="checkbox"/> Nativo hawaiano o isleño del Pacífico |
| <input type="checkbox"/> Hispano o latino(a)                        | <input type="checkbox"/> Blanco                                |
| <input type="checkbox"/> Nativo estadounidense/Alaska/primer nación | <input type="checkbox"/> No sé                                 |
| <input type="checkbox"/> Asiático                                   | <input type="checkbox"/> Otro                                  |
| <input type="checkbox"/> Negro o afroamericano                      |  |

## SECCIÓN I: COFIRMACIÓN DEL SOLICITANTE

Autorizo la divulgación de mi determinación de elegibilidad y la información proporcionada en esta solicitud, los documentos de respaldo, incluida la documentación de ingresos, así como la información sobre el estado de mi proyecto a los siguientes: NYSERDA y sus representantes; el Programa de Asistencia de Climatización (WAP) del Estado de Nueva York o sus representantes designados; cualquier organización comunitaria que trabaje en nombre de los programas de NYSERDA; mis servicios públicos de electricidad y gas natural; y las siguientes personas u organizaciones: \_\_\_\_\_ a quien he contratado con el fin de ayudarme a completar y presentar la solicitud.

Entiendo que la información que proporcioné puede usarse para contactarme o ayudarme a utilizar cualquier oferta de programa actual o futura para la que pueda ser elegible y con el fin de determinar la elegibilidad para NYSERDA o programas residenciales de servicios públicos e incentivos financieros, determinar la elegibilidad para el NYS WAP, para estimar el potencial de ahorro de energía y para fines de evaluación. Entiendo que toda la información se mantendrá confidencial en la medida permitida por la ley. Entiendo que si se me brindan servicios a través de los programas residenciales de NYSERDA o NYS WAP, mi participación en estos programas no afectará mi seguro social, asistencia pública ni ningún otro ingreso.

Entiendo que esta solicitud no garantiza que se me otorgará asistencia. La prestación o no de los servicios dependerá del número de solicitudes recibidas y de la disponibilidad de fondos y prioridades establecidas por los programas.

Acepto proporcionar a los representantes de NYSERDA, los representantes de NYS WAP y los contratistas participantes independientes acceso a mi vivienda, en horarios que sean convenientes para ambas partes, para realizar actividades del programa, incluidas inspecciones de energía, instalación de medidas, control de la calidad y actividades de evaluación. Entiendo que los contratistas participantes son contratistas independientes y brindan una garantía de un año sobre la mano de obra por el trabajo completado. Además, entiendo que los contratistas y proveedores participantes proporcionarán garantías apropiadas sobre cualquier equipo provisto y que NYSERDA o NYS WAP no otorgan garantías adicionales.

Suscribo y afirmo, bajo pena de ley, que las declaraciones hechas en todas las partes de esta solicitud, incluidas las declaraciones en los documentos adjuntos, han sido examinadas por mí y, según mi conocimiento, son verdaderas y completas.

Entiendo que mi firma en este formulario autoriza a NYSERDA, a los representantes de NYS WAP y a sus designados a garantizar mi elegibilidad para los programas de NYSERDA y NYS WAP. Otorgo mi consentimiento para cualquier consulta para verificar o confirmar la información que he proporcionado. Entiendo que si doy información falsa u omito información para recibir beneficios a los que no tengo derecho, puedo ser procesado con todo el peso de la ley. También declaro que ninguna persona nombrada en esta solicitud está sujeta a descalificación para los servicios de climatización según la Ley de Control y Reforma de Inmigración de 1986 (Ley Pública 99-063).

\_\_\_\_\_  
Firma del solicitante

\_\_\_\_\_  
Fecha

\_\_\_\_\_  
Firma del representante del solicitante

\_\_\_\_\_  
Fecha

**Su información de contacto puede compartirse con otros programas residenciales dentro de NYSERDA. Si no desea participar, escriba sus iniciales aquí.** \_\_\_\_\_

**SOLO PARA USO INTERNO**

Revisado por:  HEAP  OFA  Servicio público  Subconcesionario de Climatización  EmPower  Otro: \_\_\_\_\_

Marque todos los beneficios que recibe el hogar:  Seguridad de Ingreso Suplementario (SSI)  Asistencia para Energía para hogares (HEAP)  
 Asistencia Nutricional Suplementaria (SNAP)  Asistencia Temporal para Familias Necesitadas (TANF)

En virtud de la información proporcionada por el solicitante, se determina que el hogar es:

- Elegible solo para Programa de Vivienda Asequible (AHP)  Elegible para climatización  NO es elegible para climatización
- Elegible para EmPower  NO es elegible para EmPower  Elegible para EmPower, pero en lista de espera para climatización

Verifique lo siguiente:

- El hogar recibió en el pasado servicios de climatización.  
 El hogar no es elegible para más servicios a través de EmPower.

Comentarios adicionales:

Firma del representante de EmPower

Cargo

Fecha







# עמפאָוער ניו יארק און אסיסטעד היים פע- רפאָרמענס מיט ENERGY STAR®

די ליסטע וועט העלפן פארזיכערן אז אייער אפליקאציע וועט ווערן פראצעסירט ביי צייטנס. ביטע שטעלט א ✓ אין דעם ריכטיגן קעסטל איינמאל וואס איר זענט זיכער אז אלע אפליקאציע טיילן זענען פארענדיגט. אפליקאציעס ווערן פראצעסירט לויט ווער סע קומט פריער באקומט פריער.

אלגעמיינע אפליקאציע אינפארמאציע (אפטייל A, B & C) - וועריפיקירט אז אלע געפאדערטע פעלדער זענען געפארטיגט (אויסער אז ס'איז אפגעצייכענט "אפציע").

## נאר פאר דינגערס:

נאמען פון לענדלארד, אדרעס און טעלעפאן נומער צוגעשטעלט אין אפטייל C

## יוטיליטי אינפארמאציע (אפטייל D):

שרייבט אונטער קונה'ס ברענווארג/ענערגיע ביל ארויסלאז אויטאריזאציע

לייגט צו א קאפיע פונעם גאנצן עלעקטריק ביל

לייגט צו א קאפיע פונעם גאנצן גאז יוטיליטי ביל אדער א ביל פונעם ברענווארג סופלייער אויב איר הייצט מיט פראפעין, אויל, קעראסין, האלץ אדער קוילן.

## הכנסה אינפארמאציע (אפטייל F & G):

מאכט זיכער אז אלע געפאדערטע פעלדער זענען פארענדיגט

## דעמאגראפיקס (אפטייל H): אפציע

אפציע

## אפליקאנט באשטעטיגונג (אפטייל I):

לייענט און שרייבט אונטער

## ביטע שיקט צוריק אייער אפליקאציע צו:

Energy Audit Application  
8 Southwoods Blvd  
Suite 201  
Albany, NY 12211

די פאלגנדע אינפארמאציע וועט העלפן פעסטשטעלן וועלכע סערוויסעס און פראגראמען זענען צום מערסטנס פאסיג פאר אייך. אין געוויסע סיטואציעס, ווערן עמפאוער ניו יארק סערוויסעס צוגעשטעלט ביי ביוראס פון דער וועטערעזאציע הילף פראגראם (WAP). ווען דאס געשעט, וועט די אפליקאציע דינען אלץ אן אפליקאציע פאר דער WAP און קען ווערן איבערגעשיקט צו אייער לאקאלע ביורא פאר די סערוויסעס. ביטע דרוקט קלאר און שטעלט צו וויפיל אינפארמאציע נאר מעגליך. די אפליקאציע קען ווערן אויסגעפילט אנליין ביי [nyscrda.ny.gov/ahp-empower](http://nyscrda.ny.gov/ahp-empower). אויספילן די אפליקאציע אנליין איז דער שנעלסטער וועג פאר NYSERDA איבערצוקוקן און באשטעטיגן אייער אפליקאציע.

## אפטייל A: אפליקאנט אינפארמאציע

אפליקאנט נאמען

אדרעס

דירה #

NY

שטאט

סטעיט

זיפקאוד

לאנד

טעלעפאן נומער (מיטן עריע קאוד)

צווייטער טעלעפאן נומער (מיטן עריע קאוד)

אימעיל אדרעס

פאסט אדרעס (אויב אנדערש ווי אויבן)

נאך א קאנטאקט

שייכות צום אפליקאנט

טעלעפאן נומער (מיטן עריע קאוד)

## אפטייל B: וואוין אינפארמאציע

אייגן הויז  געדינגען

איין פאמיליע  מערער פאמיליעס \_\_\_\_\_ #דירות  פארבריצירט/מאבילע היימען  גרופע היים/שיץ הויז

## אפטייל C: אייגנטימער אינפארמאציע

אייגנטימער אינפארמאציע

טעלעפאן נומער (מיטן עריע קאוד)

אימעיל אדרעס

איז דער אייגנטימער אדרעסס דאס זעלבע ווי דעם בנין'ס אדרעס?  יא  ניין - אויב "ניין" ביטע פילט אויס דעם אדרעס אונטן.

אדרעס

**אפציענעל:** ביטע לייגט צו אינפארמאציע וואס קען אונדז העלפן פארמינערן אייער ענערגיע פארניץ און רעכענט אויס געזונט פראבלעמען אדער ספעציעלע געברויכן וואס איז כדאי פאר אונדז צו וויסן:

עמפאוער קאנטראקטארן און רעקאמענדיר ביוראס: דרוקט אייער ביזנעס אדער ביורא נאמען.

מיין הויפט הייצונג איז:

עלעקטריק  אויל  קעראסין  נאטורעלע גאז  פראָפעין  האלץ  פעלעטס  איך ווייס נישט  אנדערע: \_\_\_\_\_

מיין צווייטראנגיגע הייצונג ברענווארג איז:

עלעקטריק  אויל  קעראסין  פראָפעין  האלץ  פעלעטס  קוילן  איך האב נישט קיין צווייטראנגיגע ברענווארג  אנדערע: \_\_\_\_\_

עלעקטריק יוטיליטי: אויב איר זענט פאראנטווארטליך צו צאלן דעם עלעקטריק ביל, שטעלט צו די פאלגנדע:

יוטיליטי נאמען: \_\_\_\_\_

נומער קאנטע: \_\_\_\_\_ אויב NYSEG or RG&E – POD # \_\_\_\_\_

גאז יוטיליטי: אויב איר זענט א קונה פון נאטירלעכע גאז יוטיליטי און פאראנטווארטלעך פארן ביל, שטעלט צו די פאלגנדע:

יוטיליטי נאמען: \_\_\_\_\_

נומער קאנטע: \_\_\_\_\_ אויב NYSEG or RG&E – POD # \_\_\_\_\_

הויפט ברענווארג סופלייער: אויב איר הייצט מיט ברענווארג אנדערש ווי גאז אדער עלעקטריק, שטעלט צו די פאלגנדע:

קאמפאני נאמען: \_\_\_\_\_

נומער קאנטע: \_\_\_\_\_

אויטאריזאציע פון קונה ארויסצולאזן די ברענווארג/ענערגיע בילס (פאר די לעצטע צוויי יאר און די נעקסטע דריי יאר)

מיין חתימה אטעסטירט אז איך בין פינאנציש פאראנטווארטליך פאר די קאנטעס וואס זענען אויסגערעכנט אויף דער אפליקאציע. דערמיט בין איך מסכים און אויטאריזיר די עלעקטריק און גאז סאפלייערס אויסגערעכנט אין דער אפליקאציע ארויסצוגעבן אלע ענערגיע באניץ אינפארמאציע, ווי אויך די נעמען פון קאנטעס (ס) וואס האבן א שייכות מיטן אויבנדערמאנטן אדרעס, צו רעפרעזענטעטיווען פון דער ניו יארק סטעיט ענערגיע פארש און אנטוויקלונג אויטאריטעט (NYSERDA), און דער וועטערעזאציע הילף פראגראם (WAP), און אדער אירע דעזיגנירטע רעפרעזענטעטיווען, פאר דער צייט אנהייבנדיג צוויי יאר פארן דאטום פון דער אפליקאציע און ענדיגן דריי יאר נאכן פראגראם באטייליגונג. איך פארשטיי אז די אינפארמאציע וועט ווערן געהאלטן פריוואט, אויף ווי ווייט עס איז ערלויבט לויטן געזעץ, און ווערן גענוצט פארן צוועק מיר ארויסהעלפן גילטן די פראגראמען, פעסטשטעלן פאסיגקייט פאר NYSEERDA'S וואוין פראגראמען און פינאציעלע אינצענטיווען, פאסיג פאר דער WAP, פאר אפשאצן ענערגישע איינשפארונג, און פאר אפשאץ צוועקן.

קונה אונטערשריפט: \_\_\_\_\_ דאטום: \_\_\_\_\_

אויב איר ווילט ארבעטן מיט א געוויסע פראגראם קאנטראקטאר וואס נעמט אנטווייל אין NYSEERDA'ס ענערגיע שפארעוודיגקייט פראגראמען, ביטע לאזט אונדז וויסן אונטן. מיר וועלן ארבעטן צן באפרידיקן אייער פארלאנג, אבער די לעצטע סעלעקציע ווענדט זיך אויפן קאנטראקטארס פארהאנענקייט און אנגעמונג פון אייער פראיעקט. אויב איר ארבעט נישט מיט א פראגראם קאנטראקטאר, וועלן מיר אייך צוטיילען דעם נעקסטן קאנטראקטאר וואס נעמט אנטווייל אין דער פראגראם פון אונדזער באשטימטע ליסטע וואס איז פארהאן.

קאנטראקאר נאמען: \_\_\_\_\_

NYSERDA האלט אן א נעץ פון פראפעסיאנעלע ענערגיע יועצים וואס אפשר העלפן אייך שוין מיט דער פראגראם און אנדערע NYSEERDA פראגראמען, יוטיליטי אבבאטן, און אנדערע לאקאלע רעסורסן. אויב איר ארבעט יעצט מיט א NYSEERDA ענערגיע יועץ, ביטע לאזט אונדז וויסן מיט וועלכן אונטן. די פראגראם וועט אויסטיילן באגרעניצטע פראיעקט אינפארמאציע מיט זיי אז זיי זאלן אייך קענען ווייטער ארויסהעלפן טריט ביי טריט.

NYSEERDA ענערגיע יועץ נאמען: \_\_\_\_\_

**אפטייל F: הכנסה דאקומענטאציע - ביטע קלויבט אויס איינע פון די פאלגנדע**

- A.  לאקאציע-פאסיגקייט: איר קענט זיין פאסיג פאר אינצענטיווען לויט ווי איר וואוינט. באזוכט [nyscrda.ny.gov/ahp-empower](http://nyscrda.ny.gov/ahp-empower) פאר מער אינפארמאציע. אויב איר געפונט זיך אין א לאקאציע-פאסיגע געגנט, ביטע צייכנט אפ דאס קעסטל.
- B.  רעקאמענדאציע בריוו: אויב איר האט באקומען א בריוו פון NYSEDA מיט א רעקאמענדאציע קאוד, שרייבט עס אריין אונטן. אויב איר האט א רעקאמענדאציע קאוד, דארף מען נישט נאך קיין הכנסה דאקומענטאציע.

רעקאמענדאציע #DI \_\_\_\_\_

C.  שטעלט צו א קאפיע פון איינע פון די פאלגנדע: קאפיע פון דעם צוטייל בריוו פאר HEAP, צו SNAP (פוד סטעמפס), TANF (צייטווייליגע הילף פאר באדערפטיגע משפחות) אדער עקסטער סעקיריטי הכנסה דאטירט אין משך פון די לעצטע 12 חודשים

D.  אויב A, B, אדער C פון אויבן זענען נישט שייך, דאן שטעלט צו הכנסה דאקומענטאציע אונטער איינע פון די אפציעס אונטן:  
אפציע 1

- שטעק קוויטלעך: אלע הויזגעזינד ברוטא הכנסה פאר די לעצטע 60 טעג. אויסרעכענען די חודש'לעכע הכנסה, אויב די הכנסה איז:
  - וואכנטליך: כפ'ט די וואכנטליכע הכנסה פון די לעצטע פיר וואכן ביי 4.3
  - צוויי וואכניג: כפ'ט די צוויי לעצטע נאכאנאנדיגע וואכן ביי 2.15
  - צוויי מאל א חודש: כפ'ט ביי 2
- אשעל סעקיריטי און אשעל סעקיריטי דיסאביליטי: קאפיע פון צוטייל בריוו.
- דאקומענטאציע פון אלע סארטן הכנסות ווי אויך אינוואלידן-פענסיע, ארבעטער קאמפענסאציע, ארבעטלאזיגקייט, פענסיע, אויסהאלטונג, קינדאויסהאלט, רענטעפאנד, וועטעראנען בענעפיטן, און אלע אנדערע הכנסות
- ארבעטן פאר זיך שליין SRI רעפארט פון קווארטליגע פארדינסטן פון די לעצטע דריי חודשים.

אפציע 2

- שטייער דעקלאראציעס: די אפציע איז צום האבן נאר אויב אלע הויזגעזינד מיטגלידער וואס זענען געפאדערט איינצוגעבן א שטייער-דעקלאראציע האבן אזוי געטאן. אויב עס ווערט דאקומענטירט די הכנסה מיט שטייער דעקלאראציעס, מוזן אלע מקורות פון הכנסה ווערן דאקומענטירט מיט שטייער דעקלאראציעס. דעקלאראציעס מוזן זיין די נייסטע פעדעראלע הכנסה שטייער דעקלאראציע (פארם 1040A, אדער 1040EZ). אויב איר באווייזט דינגען, ביזנעס, אדער פארם הכנסה - מוזט איר איינגעבן די פארמולארן וואס שטימען. (פארמולאר E, C און F)

**אפטייל G: הכנסה אינפארמאציע**

סל הכל מיטגלידער אין דעם הויזגעזינד? \_\_\_\_\_

לייגט צו די פאלגנדע אימפארמאציע פאר יעדן הויזגעזינד מיטגליד.

\$	\$	\$						
\$	\$	\$						
\$	\$	\$						
\$	\$	\$						
\$	\$	\$						
\$	\$	\$						
\$	\$	\$						
\$	\$	\$						
\$	\$	\$						
\$	\$	\$	סך הכל הכנסה פארן הויזגעזינד					

צו העלפן NYSERDA פארשטיין די השפעות פון אונדזערע פראגראמען אויף די לאקאלע קאמיוניטיס, ביטע פילט אויס די דעמאגראפישע פראגעס. מע מוז נישט ענטפערן די פראגעס און עס איז נישט משפיע אויף אייער פראגראם פאסיגקייט.

**שרייבט וויפיל הויזגעזינד מיטגלידער וואס זענען:**

60 יאר אדער עלטער \_\_\_\_\_ אינוואליד: \_\_\_\_\_ 17 יאר אלט אדער יונגער: \_\_\_\_\_ וועטעראן: \_\_\_\_\_

**שרייבט אויב א מיטגליד פון אייער הויזגעזינד איז:** (קלייבט אויס כאטש איינע, און וויפיל נאך וואס זענען שייך)

- |  |   |
|--|---|
| <input type="checkbox"/> ליבערשט נישט ענפערן                       | <input type="checkbox"/> האוואי געבוירענער אדער פאסיפיק איילענדער |
| <input type="checkbox"/> שפאניש אדער לאטיין                        | <input type="checkbox"/> ווייס                                    |
| <input type="checkbox"/> אינדיאניש / ערשטע פאלק / אלאסקא געבארענער | <input type="checkbox"/> אומבאוואוסט                              |
| <input type="checkbox"/> אזיאן                                     | <input type="checkbox"/> אנדערע                                   |
| <input type="checkbox"/> שווארץ אדער אפריקן אמעריקאנער             |   |

**אפטייל I: אפליקאנט באשטעטיגונג**

איך אויטאריזיר דאס ארויסגעבן וועגן מײן פאסיגקייט החלטה און אינפארמאציע צוגעשטעלט אויף דער אפליקאציע, באווייז דאקומענטן ווי אויך הכנסה דאקומענטן און דערצו אינפארמאציע וועגן מײן פראיעקט סטאטוס צו די פאלגנדע: NYSERDA און אירע רעפרעזענטעטיווען; די SYN וועטעריזאציע הילף פראגראם (WAP) און/אדער אירע דעזיגנירטע רעפרעזענטעטיווען; סײ וועלכע קאמיוניטי-באזירטע ארגאניזאציעס וואס ארבעטן לטובת NYSERDA פראגראמען; מײן עלעקטריק און נאטורעלע גאז יוטיליטיס; און די פאלגנדע מענטשן אדער ארגאניזאציעס: \_\_\_\_\_ וועמען איך האב באטייליגט פארן ציל פון העלפן מיר פארענדיגן און איינגעבן די אפליקאציע.

איך פארשטיי אז די אינפארמאציע וואס איך האב צוגעשטעלט קען געניצט ווערן זיך צו פארבינדן אדער מיר העלפן באניצן זיך מיט יעצטיגע און צוקונפדיגע פראגראמען און נאך וויי פאסיג צו באקומען און פאר די צוועקן פון באשטעטיגן פאסיגקייט פאר NYSERDA און/אדער אדער יוטיליטי וואוין פראגראמען און פינאנציעלע אינצענטיווען, באשטעטיגן פאסיגקייט פאר דער NYS WAP, פאר שאצן פאטענציעלע ענערגיע שפארונגען, און פאר שאצונגען.

איך פארשטיי אז אלע אינפארמאציע וועט ווערן געהאלטן פריוואט ווי ווייט מעגליך געזעצליך. איך פארשטיי אז אויב די סערוויסעס וואס ווערן צוגעשטעלט פאר מיר דורך NYSERDA'ס וואוין פראגראמען אדער דער NYS WAP, אז מײן השתתפות אין די פראגראמען וועט נישט האבן קיין השפעה אויף מײן אשעל סעקיוורטי, פובליק הילף, אדער אנדערע הכנסות.

איך פארשטיי אז די אפליקאציע פארזיכערט נישט אז איך וועל באקומען הילף. צי די סערוויסעס וועלן ווערן צוגעשטעלט צי נישט ווענדט זיך אויף די נומער אפליקאציע וואס זיי האבן באקומען און וויפיל געלט ס'איז דא און די פריאריטעט אוועקגעשטעלט ביי די פראגראמען.

איך בין מסכים צו צושטעלן NYSERDA רעפרעזענטעטיווען, די NYS WAP רעפרעזענטעטיווען, און אומאפהענגיגע קאנטראקטארן וואס נעמען אנטײל, צוטריט צו מײן שטוב, אין צייטן וועלכע ביידע זענען מסכים, אויס צו פילן פראגראם אקטיוויטעטן ווי אויך ענערגיע איבערקוקן, אינסטאלירונג פון מיטלען, קוואליטעט פארזיכערונגען, און אפשאץ אקטיוויטעטן. איך פארשטיי אז קאנטראקטארן וואס נעמען אנטײל זענען אומאפהענגיגע קאנטראקטארן און שטעלן צו אן איין יעריגער פארזיכערונג פאר דער פארענדיגטער ארבעט. איך פארשטיי ווייטער אז קאנטראקטארן וואס נעמען אנטײל און פארקויפערס וועלן צושטעלן געהעריגע פארזיכערונגען פאר סײ וועלכן געצייג צוגעשטעלט און קיין שום אנדערע פארזיכערונגען וועלן נישט ווערן צוגעשטעלט ביי NYSERDA אדער די NYS WAP.

איך שטיץ און שטעל פעסט, אונטער געזעצלעכע שטראף, אז די דעקלאראציעס וואס זענען געמאכט געווארן אויף אלע טיילן פון דער אפליקאציע, ווי אויך דעקלאראציעס געמאכט אויף איינע פון די צוגעגעבענע דאקומענטן, זענען געווארן איבערגעקוקט ביי מיר און צו מײן בעסטן וויסנשאפט זענען אמת און פולשטענדיג.

איך פארשטיי אז מײן אונטערשריפט אויף דעם פאָרם גיט רשות פאר NYSERDA, רעפרעזענטעטיווען פון דער NYS WAP, און זייערע מיטארבעטער צו פארזיכערן מײן פאסיגקייט פאר NYSERDA'ס פראגראמען און דער NYS WAP. איך באשטיי צו סײ וועלכע אויספארשונג צו וועריפיקירן אדער באשטעטיגן די אינפארמאציע וואס איך האב געגעבן. איך פארשטיי אז אויב איך גיב פאלשע אינפארמאציע אדער האלט צוריק אינפארמאציע כדי צו באקומען בענעפיטן וואס קומט מיר נישט, קען איך ווערן געשטעלט צום משפט צום פולסטן פארנעם פון געזעץ. און איך באמערק אויך אז קיין שום מענטש אין דער אפליקאציע איז עלול צו ווערן דיסקוואליפצירט פאר וועטערעזאציע סערוויסעס לויטן אימיגראציע רעפארם און קאנטראל אקט פון 1986 (פובליק געזעץ 99-063).

אפליקאנט אונטערשריפט \_\_\_\_\_ דאטום \_\_\_\_\_

אפליקאנט רעפרעזענטעטיוו אונטערשריפט \_\_\_\_\_ דאטום \_\_\_\_\_

אייער קאנטראקט אינפארמאציע קען ווערן געטיילט מיט אנדערע וואוין פראגראמען אינערהאלב NYSERDA. צו באשליסן זיך נישט צו באטייליגן, ביטע שרייבט אייער אינציאלן דא. \_\_\_\_\_

איבערגעקוקט ביי:  HEAP  OFA  יוטיליטי  וועטערעזאציע סובגראנטי  עמפאור  אנדערע: \_\_\_\_\_

באקוקט אלע בענעפיטן וואס דאס הויזגעזינד באקומט:  SSI  HEAP  SNAP  TANF

לויט די אינפארמאציע צוגעשטעלט פונעם אפליקאנט, איז דאס הויזגעזינד באשטעטיגט צו זיין:

פאסיג בלויז פאר AHP  פאסיג פאר וועטערעזאציע  נישט פאסיג פאר וועטערעזאציע

פאסיג פאר עמפאוער  נישט פאסיג פאר עמפאוער  עמפאוער פאסיג אבער איז אויף א ווארט-ליסטע פאר וועטערעזאציע

צייכנט אפ דא אויב:

הויזגעזינד וואס איז פריער באדינט געווארן ביי וועטעריזאציע

הויזגעזינד נישט פאסיג צו ווייטער באקומען סערוויסעס דורך עמפאוער

נאך באמערקונגען:

דאטום

טיטל

עמפאוער רעפרעזענטאטיוו אונטערשריפט



NYSERDA

**NY Residential Existing Homes Programs  
Income Limits 2022-2023**

<b>Household Size</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
<b>60% State Median Income</b>	\$34,224	\$44,760	\$55,296	\$65,820	\$76,356	\$86,892	\$88,860	\$90,840	\$92,808	\$94,788
<b>80% State Median Income</b>	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
<b>120% State Median Income</b>	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
<b>80% Area Median Income</b>										
Albany County	\$59,400	\$67,850	\$76,350	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Allegany County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Bronx County	\$74,800	\$85,450	\$96,150	\$106,800	\$115,350	\$123,900	\$132,450	\$141,000	\$149,520	\$158,064
Broome County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Cattaraugus County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Cayuga County	\$46,700	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Chautauqua County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Chemung County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Chenango County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Clinton County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Columbia County	\$49,700	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Cortland County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Delaware County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Dutchess County	\$62,600	\$71,550	\$80,500	\$89,400	\$101,808	\$115,856	\$118,480	\$121,120	\$125,160	\$132,312
Erie County	\$49,150	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Essex County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Franklin County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Fulton County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Genesee County	\$48,400	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Greene County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Hamilton County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Herkimer County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Jefferson County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Kings County	\$74,800	\$85,450	\$96,150	\$106,800	\$115,350	\$123,900	\$132,450	\$141,000	\$149,520	\$158,064
Lewis County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Livingston County	\$50,250	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Madison County	\$49,800	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Monroe County	\$50,250	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Montgomery County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Nassau County	\$67,450	\$77,050	\$86,700	\$96,300	\$104,050	\$115,856	\$119,450	\$127,150	\$134,820	\$142,524
New York County	\$74,800	\$85,450	\$96,150	\$106,800	\$115,350	\$123,900	\$132,450	\$141,000	\$149,520	\$158,064
Niagara County	\$49,150	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Oneida County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Onondaga County	\$49,800	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Ontario County	\$50,250	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Orange County	\$62,600	\$71,550	\$80,500	\$89,400	\$101,808	\$115,856	\$118,480	\$121,120	\$125,160	\$132,312
Orleans County	\$50,250	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Oswego County	\$49,800	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Otsego County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Putnam County	\$74,800	\$85,450	\$96,150	\$106,800	\$115,350	\$123,900	\$132,450	\$141,000	\$149,520	\$158,064
Queens County	\$74,800	\$85,450	\$96,150	\$106,800	\$115,350	\$123,900	\$132,450	\$141,000	\$149,520	\$158,064
Rensselaer County	\$59,400	\$67,850	\$76,350	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Richmond County	\$74,800	\$85,450	\$96,150	\$106,800	\$115,350	\$123,900	\$132,450	\$141,000	\$149,520	\$158,064
Rockland County	\$74,800	\$85,450	\$96,150	\$106,800	\$115,350	\$123,900	\$132,450	\$141,000	\$149,520	\$158,064
Saratoga County	\$59,400	\$67,850	\$76,350	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Schenectady County	\$59,400	\$67,850	\$76,350	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Schoharie County	\$59,400	\$67,850	\$76,350	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Schuyler County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Seneca County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
St. Lawrence County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Steuben County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Suffolk County	\$67,450	\$77,050	\$86,700	\$96,300	\$104,050	\$115,856	\$119,450	\$127,150	\$134,820	\$142,524
Sullivan County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Tioga County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Tompkins County	\$56,150	\$64,150	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Ulster County	\$53,800	\$61,450	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Warren County	\$48,350	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Washington County	\$48,350	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Wayne County	\$50,250	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Westchester County	\$63,000	\$72,000	\$81,000	\$90,000	\$101,808	\$115,856	\$118,480	\$121,120	\$126,000	\$133,200
Wyoming County	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
Yates County	\$45,950	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384

**NY Residential Existing Homes Programs  
Income Limits 2022-2023**

Household Size	1	2	3	4	5	6	7	8	9	10
<b>60% State Median Income</b>	\$34,224	\$44,760	\$55,296	\$65,820	\$76,356	\$86,892	\$88,860	\$90,840	\$92,808	\$94,788
<b>80% State Median Income</b>	\$45,632	\$59,680	\$73,728	\$87,760	\$101,808	\$115,856	\$118,480	\$121,120	\$123,744	\$126,384
<b>120% State Median Income</b>	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
<b>120% Area Median Income</b>										
Albany County	\$89,100	\$101,775	\$114,525	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Allegany County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Bronx County	\$112,200	\$128,175	\$144,225	\$160,200	\$173,025	\$185,850	\$198,675	\$211,500	\$224,280	\$237,096
Broome County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Cattaraugus County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Cayuga County	\$70,050	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Chautauqua County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Chemung County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Chenango County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Clinton County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Columbia County	\$74,550	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Cortland County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Delaware County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Dutchess County	\$93,900	\$107,325	\$120,750	\$134,100	\$152,712	\$173,784	\$177,720	\$181,680	\$187,740	\$198,468
Erie County	\$73,725	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Essex County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Franklin County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Fulton County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Genesee County	\$72,600	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Greene County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Hamilton County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Herkimer County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Jefferson County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Kings County	\$112,200	\$128,175	\$144,225	\$160,200	\$173,025	\$185,850	\$198,675	\$211,500	\$224,280	\$237,096
Lewis County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Livingston County	\$75,375	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Madison County	\$74,700	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Monroe County	\$75,375	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Montgomery County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Nassau County	\$101,175	\$115,575	\$130,050	\$144,450	\$156,075	\$173,784	\$179,175	\$190,725	\$202,230	\$213,786
New York County	\$112,200	\$128,175	\$144,225	\$160,200	\$173,025	\$185,850	\$198,675	\$211,500	\$224,280	\$237,096
Niagara County	\$73,725	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Oneida County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Onondaga County	\$74,700	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Ontario County	\$75,375	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Orange County	\$93,900	\$107,325	\$120,750	\$134,100	\$152,712	\$173,784	\$177,720	\$181,680	\$187,740	\$198,468
Orleans County	\$75,375	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Oswego County	\$74,700	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Otsego County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Putnam County	\$112,200	\$128,175	\$144,225	\$160,200	\$173,025	\$185,850	\$198,675	\$211,500	\$224,280	\$237,096
Queens County	\$112,200	\$128,175	\$144,225	\$160,200	\$173,025	\$185,850	\$198,675	\$211,500	\$224,280	\$237,096
Rensselaer County	\$89,100	\$101,775	\$114,525	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Richmond County	\$112,200	\$128,175	\$144,225	\$160,200	\$173,025	\$185,850	\$198,675	\$211,500	\$224,280	\$237,096
Rockland County	\$112,200	\$128,175	\$144,225	\$160,200	\$173,025	\$185,850	\$198,675	\$211,500	\$224,280	\$237,096
Saratoga County	\$89,100	\$101,775	\$114,525	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Schenectady County	\$89,100	\$101,775	\$114,525	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Schoharie County	\$89,100	\$101,775	\$114,525	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Schuyler County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Seneca County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
St. Lawrence County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Steuben County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Suffolk County	\$101,175	\$115,575	\$130,050	\$144,450	\$156,075	\$173,784	\$179,175	\$190,725	\$202,230	\$213,786
Sullivan County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Tioga County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Tompkins County	\$84,225	\$96,225	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Ulster County	\$80,700	\$92,175	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Warren County	\$72,525	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Washington County	\$72,525	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Wayne County	\$75,375	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Westchester County	\$94,500	\$108,000	\$121,500	\$135,000	\$152,712	\$173,784	\$177,720	\$181,680	\$189,000	\$199,800
Wyoming County	\$68,448	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576
Yates County	\$68,925	\$89,520	\$110,592	\$131,640	\$152,712	\$173,784	\$177,720	\$181,680	\$185,616	\$189,576





**NY Residential Existing Homes Program**  
**Rental Property Energy Efficiency Services Agreement**

For any questions regarding the use of this document, please contact the program implementer  
at **1-877-NYSMART**.

**For EmPower New York and Assisted Home Performance with ENERGY STAR® Program  
(Program) Projects:**

It is agreed by and between NYSERDA and the Owner/Authorized Agent (“Owner”) of the building located at **[Property Street Address, Property City, Property Zip Code]** as follows:

1. The Owner:
  - a. Declares that they are the legal Owner/Authorized Agent of the property listed above.
  - b. Declares that the property is not for sale.
2. A list of units must be attached to this Agreement as Attachment A, which is made a part hereof.
3. The Owner grants to independent participating contractors and/or NYSERDA’s implementation contractors permission to enter the premises to assess the potential for the installation of energy-saving measures, test and evaluate the heating system(s), and to assess the current condition of insulation. The Owner understands the assessment may include testing for insulation by drilling small probe holes in closets on outside walls. In these instances, the contractor will be responsible to reseal the test hole. The Owner agrees to allow testing of all combustion appliances in each unit to ensure complete assessment of the building.
4. The Owner grants permission to the independent participating contractor to enter the premises to install energy efficient measures. Measures installed through NYSERDA’s Programs are contingent upon the Owner and tenant(s) granting clear and unencumbered access to all work areas.
5. In exchange for the Program incentives to be paid by NYSERDA to the participating contractor, the Owner agrees to be bound for a period of two years commencing on the date this Agreement is signed to two years after the project is completed (“Agreement Term”) by the terms and conditions of this Agreement.
6. The Owner agrees to maintain the equipment and materials installed under this Agreement in working order in accordance with all relevant codes.
7. The Owner understands participating contractors in the NY Residential Existing Homes Program are independent contractors. If any issues arise regarding the services provided

or warranties of installed measures, the Owner will contact the responsible independent contractor.

8. It is understood that the present and future tenant(s) are meant as the persons to benefit from the Program. The owner shall provide a summary of this Agreement to each tenant and provide a copy of this Agreement to any tenant upon request. Tenants may contact the program implementer at **1-877-NYSMART** with any questions or concerns in association with the terms of this Agreement.
9. The Owner agrees not to evict a tenant during the Agreement Term to obtain higher rent tenants based upon the improvements made pursuant to this Agreement. The Owner agrees not to increase the rent of any tenant of the building during the Agreement Term as a result of the energy improvements made through the Program, except to recover actual increases in property taxes if applicable. In the event the owner does not comply, NYSERDA will be entitled to a refund from the Owner of all monies paid hereunder.
10. The Owner agrees to rent vacant, eligible dwelling units identified in Attachment A, to a low or moderate rate tenant. A unit that becomes vacant during the Agreement Term must be rented to income-eligible households within 90 days. The Owner must submit supporting documentation to NYSERDA that the vacant unit has been rented to income-eligible tenants or pay NYSERDA the full amount of the incentive pro-rated by the number of months remaining under this Agreement.
11. The Owner agrees to obtain, in writing, from any successor in ownership that said successor shall assume the Owner's obligations under this Agreement or, if the building is sold and this assumption is not obtained, the Owner shall pay NYSERDA the full amount of the NYSERDA incentive pro-rated by the number of months remaining under this Agreement after such sale closes. Said payment shall be made to NYSERDA at the time of conveyance.
12. NYSERDA shall give the Owner written notice of non-compliance with this Agreement and the grounds for the notice. If within seven days of receipt of the notice, the Owner fails to take responsible steps to come into compliance, the Owner will be considered in default of this Agreement and agrees to pay to NYSERDA the pro-rated amount of any NYSERDA incentive received based on the number of months remaining under this Agreement
13. If units are unoccupied, the Owner may seek authorization for the rehabilitation of unoccupied housing units with the agreement that proof of occupancy by an income eligible household will be submitted within 90 days after the date a job completion form is submitted to NYSERDA's implementation contractor by the participating contractor. The Owner is liable for the full amount of the NYSERDA incentive if adequate income documentation is not submitted within 90 days of completed work.
14. Upon default of this Agreement, the Owner agrees to pay to NYSERDA the pro-rated amount of any subsidy received based on the number of months remaining under this agreement.



**For EmPower New York Projects Only:**

1. The Owner understands that an independent participating contractor will be assigned to complete energy assessment and associated work, as agreed to by the Owner.
2. If the Owner of the property owns the primary refrigerator/freezer in use by the tenant(s) and the appliance meets the age/energy usage requirements for replacement, the Owner grants permission to NYSERDA and its independent contractors to exchange the current refrigerator/freezer with a brand new, white, fully warranted ENERGY STAR model of similar size at no cost to the Owner. The Owner understands the current refrigerator/freezer will be exchanged only if it meets program cost-effectiveness criteria for replacement, and that a new refrigerator/freezer will not be provided unless the Owner allows the Contractor to remove the old one. The Owner agrees to keep the new refrigerator/freezer in this apartment until replaced by one of equal or higher efficiency.
3. It is understood that the Owner and Contractor may agree to the installation of additional measures at the Owner's expense, but that the Owner is under no obligation to purchase any additional measures to obtain the free measures offered through EmPower.

I have read this agreement and understand all its provisions. To indicate my agreement, I have signed below.

Signed \_\_\_\_\_ Date \_\_\_\_\_  
Owner/Authorized Agent of Owner

Property Owner Name: \_\_\_\_\_

Agreement Term: \_\_\_\_\_

**For EmPower projects only:**

\_\_\_\_\_ Initial here if you would like to be notified as to the time and date of the energy audit and you are interested in being present.

Mailing Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_



**NY Residential Existing Homes Program  
Rental Property Energy Efficiency Services Agreement**

**ATTACHMENT A**

The documented eligible dwelling units included in the workscope under the attached Agreement as of the effective date of the Agreement is as follows:

Property Address:

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Unit Number: \_\_\_\_\_

Unit Number: \_\_\_\_\_

Unit Number: \_\_\_\_\_

Unit Number: \_\_\_\_\_



**NYSERDA**

**Assisted Home Performance  
EmPower New York  
Toll Free 1-877-NY-SMART**

## Homeowner Agreement

**PROOF OF OWNERSHIP IS REQUIRED TO COMPLETE THIS APPLICATION**

I \_\_\_\_\_ certify that I am the owner of the property  
(Print Property Owner(s) Name Here)

located at: \_\_\_\_\_  
(Print Property Address Here)

and further certify that I have given permission for New York Energy Research Development Authority (NYSERDA) and/or its independent contractors to work on the property listed above.

I understand that participating Assisted Home Performance and EmPower New York contractors are independent contractors and provide a one- year warranty on labor and materials for work completed. I further understand that contractors and vendors will provide information on all existing manufacturer warranties for any equipment installed.

Customer Name: \_\_\_\_\_ Date: \_\_\_\_\_

- Property Ownership Verified by Examination of:
- \_\_\_\_\_ Deed
  - \_\_\_\_\_ Property Tax Bill
  - \_\_\_\_\_ Mortgage Statement
  - \_\_\_\_\_ Bill of Sale
  - \_\_\_\_\_ Homeowners Insurance

Note: Utility bills are not acceptable as documentation of ownership

Certifying Contractor: \_\_\_\_\_ Date: \_\_\_\_\_



## Consumer Financing Options

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR.

All measures must be installed per program guidelines and BPI standards. Participating Contractors must install measures to manufacturers specifications and measures must meet the minimum efficiency requirements and SIR requirements indicated in the eligible measures list found in Section 5.15 of the [Program Manual](#).

Participating Contractor who provide services to Tier 1 or Tier 3 households have access to financing through the GJGNY Residential Financing Program. For additional information on financing options, customer eligibility, and loan processing and eligibility, Participating Contractor can reference the [Residential Financing Implementation Manual](#) and NYSERDA's [Residential Financing Options](#) webpages.

### **Finance Options**

The GJGNY Residential Financing Program offers GJGNY Loans (Smart Energy, On-Bill Recovery, and Renewable Energy Tax Credit Bridge Loan) which are unsecured loans up to twenty-five thousand (\$25,000) dollars for one- to four-family residential energy efficiency improvements or renewable energy system projects. The Smart Energy Loan (SEL) requires the Customer to make monthly loan payments directly to NYSERDA's loan servicer, Concord Servicing Corporation (Concord).

The On-Bill Recovery (OBR) Loan allows Customers to repay through an installment charge on a bill from one of the involved electric or gas utilities (Central Hudson, Con Edison, Long Island Power Authority, National Grid—Upstate, New York State Electric and Gas Corporation, Rochester Gas and Electric Corporation, or Orange and Rockland Utilities). The utilities then remit repayments to Concord, who coordinates data communications with each utility.

The Renewable Energy Tax Credit Bridge Loan (Bridge Loan) is a short-term loan product which enables Customers to finance federal and State tax credits and New York City (NYC) Real Property Tax Abatement for eligible renewable energy system costs. Customers will make a balloon payment of principal and interest at loan maturity via statement billing/check or automatic clearing house (ACH) payment. The Bridge Loan is not eligible for OBR (paid through utility).

NYSERDA also administers Companion Loans which are funded by the New York Green Bank, a division of NYSERDA. The Companion Loan will be available to Customers that fully utilized the GJGNY Loan for their energy efficiency or renewable energy system project and need additional loan funding to pay for remaining project costs. Companion Loans are an unsecured loan modeled after the SEL (repaid by statement billing/check or ACH payment). The Companion Loan is not eligible for OBR (paid through utility). Separate loan documents and notes will be issued for the GJGNY SEL/OBR Loan, the Bridge Loan and the Companion Loan. NYSERDA's loan originator, Slipstream, will originate loans simultaneously.

## Expectations for Participating Contractors

Upon acceptance into the Program, each Participating Contractor shall commit to promoting the Program's mission of improving the energy performance, durability, comfort and safety of existing residential buildings, as defined by the Program. The Participating Contractor acknowledges that participation in the Program is completely voluntary. NYSERDA may deny a contractor's application or suspend or terminate a Participating Contractor from participation in the Program for any reason, including the failure listed in the [Program Manual](#). In all cases involving a Contractor's participation status, NYSERDA's written decision is final. Please refer to Section 10.1 of the [Program Manual](#) for additional information on participation status.

As a condition for ongoing Program participation and associated benefits, each Participating Contractor understands and agrees to the terms and conditions outlined in the Participation Agreement, the Program Manual, and any Program Announcements distributed and/or posted by NYSERDA or an implementation contractor. NYSERDA reserves the right to make changes to the Program upon notice to the Participating Contractor. Programmatic changes announced through Program Announcements may supersede policies and procedures in the Participation Agreement and the Program Manual. Such notifications shall be communicated via email and posting of the Program Announcement on the [Contractor Support Site](#). To ensure the Participating Contractor receives Program communications, it is the Participating Contractor's responsibility to ensure the appropriate contractor contact's email address is on file with NYSERDA, it is the contractors responsibility to report any contact changes to NYSERDA and that the provided email address will accept emails from NYSERDA.

Upon acceptance into the Program, the Participating Contractor agrees to be an active contributor by providing high-quality and professional building performance services to Program participants. Participating Contractors are expected to provide households with Comprehensive Home Energy Assessments which identify all energy efficiency opportunities at the home.

The Participating Contractor is required to report, annually, a minimum of twelve (12) completed projects or at least \$100,000 in completed, eligible work through NYSERDA's residential programs. This can include a combined 12 projects/audit completions through participation in one or more of the following programs:

- EmPower/AHP
- Comfort Home
- NY Sun
- Residential Energy Assessments





The Participating Contractor shall only submit work under the Program organization name that is on file with NYSERDA in the fully executed Participation Agreement. Contractors who do not meet this minimum may be no longer be eligible for participation in these programs.

## Contractor Certifications

Participating Contractors may only submit projects to the Program for which it has the necessary certifications or by using a sub-contractor who maintains the necessary credentials as identified by the Program below. The Participating Contractor shall ensure that work performed through the Program adheres to the technical standards established and maintained by the credentialing organization, for each certification and meet the Program requirements outlined below and in the Program Manual. NYSERDA may modify or update these requirements at any time and will provide Participating Contractors with notice through a Program Announcement.

The Participating Contractor shall provide NYSERDA written documentation identifying each certified individual and copies of their certifications. This is inclusive of staff who will be onsite in a customer's home and not office staff or other support staff not at project locations. As an ongoing requirement, the Participating Contractor shall immediately inform the Program of any change to the list of certified staff. If a sub-contractor is utilized to install Program measures, it is the Participating Contractor's responsibility to ensure the sub-contractor meets the certification requirements and the name of the sub-contractor must be included as part of the project documentation.

Participation in the Program allows NYSERDA to obtain information from BPI for the purpose of verifying employee certifications.

### Certifications by Measure

Audit Contractor- Reserved for Participating Contractors performing audits and/or electric reduction direct install projects only. Audit Contractors must maintain a minimum of one full time staff member with one of the following certifications.

- BPI Building Analyst
- BPI Energy Auditor
- BPI Multifamily Building Analyst
- AEE Certified Energy Auditor
- ASHRAE- Building Energy Assessment Professional
- HERS Rater
- LEED Rater
- ICP Quality Assurance (QA) Assessor

Home Performance Contractor- Reserved for Participating Contractors performing audits and maintaining the certification requirements for one or more of the home performance installation services outlined below. In addition to measure certification, it is highly recommended the Participating Contractor pursue any manufacture's training/certifications for

any equipment they are installing as part of a Program project. Home performance measures must meet all Program installation and health and safety requirements as outlined in the Program Manual. Below are the certification requirements for each measure type:

#### Shell/Envelope

- BPI Envelope Professional

NYSERDA will consider the following BPI advanced certifications in lieu of BPI Envelope Professional, provided the Participating Contractor can meet Program requirements, as outlined in with Section 2.4 of the Program Manual :

- BPI Crew Leader or
- BPI Energy Auditor or
- BPI Quality Control Inspector or
- BPI Retrofit Installer Technician

#### Central Air Conditioning

- BPI AC/Heat Pump or
- NATE AC or
- NATE Heat Pump

#### Air Source Heat Pump

- BPI AC/Heat Pump or
- NATE Heat Pump or
- Approved Installer in NYS Clean Heat

#### Heat Pump Water Heater/Electric Water Heater

- BPI AC/Heat Pump or
- Manufacturer's training or
- Company is licensed plumber and/or electrician in the locality where the work will be performed or
- Approved installer in NYS Clean Heat

#### Oil Heat Work

- BPI Heating Professional or
- NATE Oil Heating or
- NORA Oil Heat Silver or
- NORA Oil Heat Gold

#### Manufactured Homes (Mobile Homes)

- BPI Manufactured Housing Professional Certification
- Provide documentation of your company's detailed procedures for serving manufactured homes. Detail provided must be enough to demonstrate to Program staff that the applicant exhibits proficiency with installing energy efficiency measures in manufactured housing stock. NYSERDA reserves the right to request additional supporting information as necessary to establish a contractor's experience. Acceptable documentation should include:
  1. Type of work performed (Insulation/mechanicals)
  2. Materials used
  3. Number of manufactured homes served in last 6 months
  4. Installation methods
  5. Any manufactured home-specific training received in the past 36 months

#### Gas Heat Work/Domestic Hot Water Heaters

- BPI Heating Professional or
- NATE Gas Heating

#### Pellet Stove

- BPI Heating Professional or
- Chimney Safety Institute of America (CSIA) – Certified Chimney Sweep®
- National Fireplace Institute (NFI) – Pellet Stove Specialist

## Electronic Signature Policy

NYSERDA recognizes the value of electronic signatures in improving the efficiency of services and is carefully in implementing these new procedures, and limit liability risks to contractors and the programs. Some use of electronic signatures has been approved and NYSERDA has developed electronic PDF versions of these forms for use in the field. While new procedures are in development it is critical that contractors ensure the integrity of the signature process, as follows:

1. Signatures are a declaration that a customer or contractor understands and accepts the statements above the signature. In some cases, they serve as an attestation that a contractor has taken responsibility for the statements in the document. As such:
  - a. It is inappropriate to transfer one signature to another document.
  - b. Altering documents by changing dates of signature or pricing is not allowable. It is unlawful to alter a document after a customer has signed it.
  - c. Changing pricing or signature dates after the signature was obtained will be cause for disciplinary actions from NYSERDA.
2. Authentic signatures are critical. Currently the only acceptable processes for obtaining signatures are as follows:
  - a. The customer's physical signature on a paper document (a "wet signature").
  - b. An electronic signature created by the customer directly on the specific document, after the document has been completed. Staff must ensure that no data points above the signature are modified after the signature has been executed.
  - c. If a customer is incapable of providing a signature according to the above, please document the reason on the form.
  - d. For the Combined Residential Application, please see the acceptable signature process below.
3. Cutting and pasting a signature from another document or forging a signature can result in disciplinary action from NYSERDA.

If you have questions about what is acceptable, please contact your Account Manager/Field Representative.

### Combined Residential Application

The following outlines the acceptable methods for securing customer authorization on the Combined Residential Application. When uploading to the Salesforce Application Portal, the entire application should be uploaded, not just the signature pages.

**For applications initiated by the homeowner/renter, the signature options are as follows:**

1. Customer utilizes Docusign to electronically sign their application within the Salesforce Application Portal itself. Docusign is a native functionality within Salesforce and an approved method of collecting electronic signatures.
2. Customer prints a copy of the application, applies a wet signature to the application, and uploads an electronic copy of the signed application to the Salesforce Application Portal.
3. Customer prints a copy of the application, applies a wet signature to the application, and mails the physical copy of the signed application to NYSERDA for manual processing.

**For applications initiated by a participating contractors or CEAs, the signature options are as follows:**

Note: The application should be initiated from the contractor or CEA's Salesforce Portal Account and **not** from the Combined Residential Application landing page.

1. A contractor or CEA prints a copy of the application, presents the application to the customer for a wet signature, and uploads an electronic copy of the signed application to the Salesforce Application Portal.
2. A contractor or CEA prints a copy of the Application, presents the application to the customer for a wet signature, and mails the physical copy of the signed application to CLEAResult for manual processing.
3. A contractor or CEA downloads a PDF version of the application, using their mobile device, obtains an electronic signature from the customer using either Adobe electronic signature or equivalent product, and uploads an electronic copy of the signed application to the Salesforce Application Portal.
4. A contractor or CEA downloads a PDF version of the application, creates an electronic signature block using their Docusign, Adobe, or equivalent product, and emails the PDF to the customer. The customer would then open the PDF on their own device, electronically sign, and email the electronically signed application to the contractor. The contractor would complete the application by uploading the electronically signed PDF to the Salesforce Application Portal and submitting the application.

Electronic signatures streamline the application process by allowing for a much quicker turnaround in reviewing and approving the final incentive for the applicant. The Combined Residential Application can be found on NYSERDA's website at <https://www.nyserda.ny.gov/ny/ahp-empower>. For an overview of the application process, please visit <https://knowledge.nyserda.ny.gov/pages/viewpage.action?pageId=81855392>.

For any questions, please reach out to your account manager or [support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov)

## Handling Emergency Situations

The EmPower New York and Home Performance with ENERGY STAR Programs are not emergency-services programs. The programs do, however, attempt to respond to emergency situations within the program guidelines and the existing infrastructure for the provision of services.

Prior to providing services it is important to:

- A. *Verify that home is owned by the applicant* (NOTE: In some cases, “Life Use” situations may be honored with appropriate documentation.) **Emergencies occurring in rental situations must be referred to the landlord, unless the emergency involves a tenant-owned appliance.**
- B. Attempt to gain a first person understanding of the situation from the household, or an appropriate representative of the household, such as an assisting family member.
- C. Contact the Program Implementer as soon as possible to gain approval. Contractors may proceed, at risk, prior to approval. The guidance below explains what the Program consider to be an emergency situation.

Evaluate whether a true emergency exists. Only the measures below meet criteria for emergency considerations.

### A. Heating System

- a. Emergency: Suspect natural gas leak: When natural gas leaks are found or suspected in the dwelling, the Participating Contractor **MUST** contact, or ensure that the household contacts the local Utility **IMMEDIATELY**.
  - i. The Participating Contractor must ensure that the household understands potential hazards and acts appropriately. **It is the Participating Contractor’s responsibility to become familiar with hazards related to natural gas leaks and other hazards and take appropriate actions in situations where life-threatening conditions exist.** If, for example, a life-threatening situation exists, such as a significant natural gas or propane leak, the Participating Contractor must instruct the family to leave the home immediately and not turn off or on any light switches or other electronic devices if the risk of sparks is a concern.
  - ii. For low-income customers - If the heating system is shut down due to health risks, the Participating Contractor must refer the household to the Department of Social Services (DSS) for the Office of Temporary and Disability Assistance Heating Emergency Repair and Replacement (HERR) program prior to referral to EmPower. See “Gas Leak Safety Procedures” in Section 13. If minor gas leaks are found, please refer to the Material and Installation Guide (MIG) for Program guidance (Section 9).
- b. Emergency: Suspect Carbon Monoxide CO leak/poisoning:
  - i. **It is the Participating Contractor’s responsibility to become familiar with hazards related to Carbon Monoxide leaks and other hazards and take appropriate actions in situations where life-threatening conditions exist.** If a life-threatening

situation exists, the Participating Contractor must instruct the household to call the local fire department, or 911.

- ii. When a Carbon Monoxide (CO) leak is suspected in the dwelling, please refer to the BPI Technical Standards for the Building Analyst Professional for guidance on appropriate testing procedure;  
([http://www.bpi.org/Web%20Download/BPI%20Standards/Building\\_Analyst\\_Professional\\_1\\_4\\_12.pdf](http://www.bpi.org/Web%20Download/BPI%20Standards/Building_Analyst_Professional_1_4_12.pdf)).
- c. Emergency: Heating system failure/inadequate heat for health reasons:
  - i. Contact the Program Implementer as soon as you can to discuss the situation and the proposed upgrades to determine eligibility.
  - ii. Low-Income customers:
    - 1. Participating Contractor must refer household to HERR program prior to referral to EmPower.
    - 2. If an income-eligible household is rejected for service by HERR, household may be referred for services to EmPower if documentation of the rejection by HERR is provided. Referral to and coordination with the local Weatherization Assistance Program (WAP) Agency may be explored by the Program Implementer whenever the household is eligible for WAP.
- d. Non-Emergency: In situations where the heating system is functioning and providing inadequate heat but the household expresses concerns about mild discomfort and/or inconvenience, the household shall follow the normal procedures for Home Performance with ENERGY STAR.

#### B. Water Heater

- a. Emergency: In situations where the current water heater is not functional and there is a need for immediate replacement (such as health risks), the household can be offered the Home Performance with ENERGY STAR Program.
  - i. Water heaters may only be replaced through EmPower in situations where the current water heater poses a health risk due to venting problems. See Section 13 – ***Tips and Solutions to Solve Water Heating Venting Issues*** for more information.
- b. Non-Emergency: In situations where the current water heater is not functional but there is no need for immediate intervention, the household can be offered incentives provided through Home Performance with ENERGY STAR. In these situations, the household's needs will be evaluated according to normal, non-emergency procedures.

#### C. Refrigerator

- a. Emergency: In situations where the refrigerator is not functioning well enough to cool food or medicine safely, household may apply to the Program.
  - i. For EmPower eligible customers: The Program Implementer will attempt to provide services as soon as possible. However, immediate replacement cannot be guaranteed.
- b. Non-Emergency: In situations where the refrigerator is functioning but the household expresses concerns about a refrigerator, such as concerns



about the age of the refrigerator, the household's needs will be evaluated according to normal, non-emergency procedures.

D. Air Conditioner

- a. Emergency: In situations where the air conditioning unit is not functional and poses medical risks, household can be offered Home Performance with ENERGY STAR and served on an emergency basis.
- b. Non-Emergency: In situations where the air conditioning unit is not functional and creates discomfort in the home, the household's needs will be evaluated according to non-emergency procedures.

After identifying an emergency and determining that the emergency services can be provided within the design of the Program:

- A. Submit the application to determine incentive eligibility.
- B. A full, comprehensive audit is not required to happen first to address the emergency situation provided that the necessary testing is completed. Program audits should be performed within 2 weeks if the customer intends to move forward with energy efficiency services through the Program.
- C. Submit the work-scope, and complete the required testing for the applicable measure.

# EmPower New York Contractor Pricing

## Effective March 10, 2023

For contractors with business addresses in counties south of and including Dutchess and Ulster counties.

Comprehensive Home Energy Assessment & In-Home Education		
<b>Comprehensive Home Energy Assessment, including:</b>	\$ 355.35	plus Mileage per site
Blower Door Test*		*If Blower Door Test not performed: -\$50.00
Combustion Efficiency and Safety Test, inc. CO detection		
Appliance Survey		
EmPCalc, TREAT, or other accepted audit report		
Onsite Energy Education*		*If Onsite Energy Education not performed: -\$55.00
<b>No-show Fee</b>	\$ 65.00	plus Mileage per site
<b>Mileage (from business location)</b>	\$ 0.655	per mile
Electric Measures		
<b>ENERGY STAR® rated LED and/or candelabra LED, including:</b>	\$ 11.00	per bulb incl. labor & materials
Up to 16 bulbs maximum, including 1 nightlight		
<b>Advanced Power Strip - Tier 1</b>	\$ 31.84	labor & materials
<b>Advanced Power Strip - Tier 2</b>	\$ 74.29	labor & materials
Domestic Hot Water Measures		
<b>Hot Water Pipe Insulation</b>	\$ 2.56	per linear foot incl. labor & materials
<b>High Efficiency Showerhead, includes handheld</b>	\$ 46.12	labor & materials
<b>DHW Pressure Relief Discharge Pipe</b>	\$ 25.00	per unit incl. labor & materials
Heating Equipment Measures		
<b>Programmable Thermostat</b>	\$ 157.16	labor & materials
Prior approval of make and model by Program Implementor is required		
<b>WiFi Enabled Thermostat</b>	\$ 247.78	labor & materials
Prior approval of make and model by Program Implementor is required		
<b>Standard Furnace Filter</b>	\$ 37.36	labor & materials
If the furnace manufacturer requires a more expensive model, propose price to Program Implementor		
<b>Furnace Filter Slot Cover</b>	\$ 30.42	labor & materials
Air Sealing Measures		
<b>Air-Sealing</b>	\$ 117.81	per hour plus materials
<b>Door Weather-stripping and Sweep</b>	\$ 87.74	per door
<b>Door Sweep ONLY</b>	\$ 34.37	per door
Health & Safety		
<b>Smoke Detector with Lithium Battery</b>	\$ 50.21	labor & materials
Prior approval of make and model by Program Implementor is required		
<b>CO Detector with Lithium Battery</b>	\$ 92.91	labor & materials
Prior approval of make and model by Program Implementor is required		
<b>Combination CO/Smoke Detector with Lithium Battery</b>	\$ 112.02	labor & materials
Prior approval of make and model by Program Implementor is required		
<b>Vapor Barrier</b>	\$ 1.70	per square foot incl. labor & materials
Total sq. ft. of coverage including the floors, walls, and around columns		
Insulation Measures		
<b>Sidewall 4" (Dense pack)</b>		
Wood Shingle, Clapboard, Vinyl, & Other Siding	\$ 3.67	per square foot
Aluminum Siding	\$ 3.94	per square foot
Asbestos-like Siding	\$ 4.33	per square foot
<b>Sidewall 6" (Dense pack)</b>		
Wood Shingle, Clapboard, Vinyl, & Other Siding	\$ 4.14	per square foot
Aluminum Siding	\$ 4.46	per square foot
Asbestos-like Siding	\$ 4.85	per square foot
<b>2nd Floor Sidewall (Dense pack)</b>	1.5 times that of the first story dense pack sidewall price	
Does not apply to walls being dense packed from the interior		

## EmPower New York Contractor Pricing Effective March 10, 2023

Insulation Measures (continued)		
<b>Attic (Open)</b>		
6" Settled Depth Cellulose or 8" Blown Fiberglass or 7" Blown Rockwool*	\$	2.27 per square foot
8" Settled Depth Cellulose or 10" Blown Fiberglass or 10" Blown Rockwool*	\$	2.67 per square foot
10" Settled Depth Cellulose or 13" Blown Fiberglass or 12" Blown Rockwool*	\$	2.99 per square foot
12" Settled Depth Cellulose or 16" Blown Fiberglass or 15" Blown Rockwool*	\$	3.46 per square foot
14" Settled Depth Cellulose or 18" Blown Fiberglass or 17" Blown Rockwool*	\$	3.59 per square foot
*Insulation depths calculated per BPI standards.		
<b>Blown Insulation Set-up Fee</b>	\$	<b>138.07</b>
Only for projects where a total of less than 500 sq. ft. of blown insulation is installed		
<b>Attic (Floored)</b>		
4" Dense Pack Cellulose	\$	2.69 per square foot
6" Dense Pack Cellulose	\$	2.97 per square foot
8" Dense Pack Cellulose	\$	3.35 per square foot
<b>Knee walls</b>		
3.5" Fiberglass	\$	2.96 per square foot
Netted Cellulose	\$	3.44 per square foot
<b>Slope</b>		
4" Cavity	\$	2.92 per square foot
6" Cavity	\$	3.32 per square foot
<b>Foam Insulation</b>		
1" Board	\$	4.67 per linear foot
2" Board	\$	6.51 per linear foot
3" Board	\$	7.88 per linear foot
4" Board	\$	8.87 per linear foot
5" Board	\$	9.79 per linear foot
6" Board	\$	12.10 per linear foot
1" Closed Cell	\$	6.05 per linear foot
2" Closed Cell	\$	7.99 per linear foot
3" Closed Cell	\$	9.46 per linear foot
4" Closed Cell	\$	11.76 per linear foot
5" Closed Cell	\$	13.66 per linear foot
6" Closed Cell	\$	15.25 per linear foot
4" Open Cell	\$	7.63 per linear foot
5" Open Cell	\$	9.59 per linear foot
6" Open Cell	\$	11.66 per linear foot
<b>Mobile Home Belly</b>		
4" Dense Pack Fiberglass	\$	2.46 per square foot
6" Dense Pack Fiberglass	\$	2.88 per square foot
<b>Band Joist Insulation</b>	\$	<b>8.06 per linear foot</b>
<b>Rim Joist Insulation</b>		
1" Foam	\$	5.36 per linear foot
2" Foam	\$	8.61 per linear foot
<b>Rim Joist Set-up Fee</b>	\$	<b>138.07</b>
Only for projects where less than 150 linear feet is installed and no other HP measures approved		
Ventilation Measures		
<b>Ridge Vent</b>	\$	<b>30.97 per linear foot</b>
<b>Soffit Vent</b>	\$	<b>29.94 per vent</b>
<b>Gable Vent</b>	\$	<b>159.62 per vent</b>
<b>Roof Vent</b>	\$	<b>158.29 per vent</b>
<b>Baffles</b>	\$	<b>6.17 per baffle</b>
<b>Existing Bath Fan to Roof (Insulated)</b>		
Less than 4'	\$	<b>249.03 per vent</b>
4' or more	\$	<b>343.37 per vent</b>
<b>Exhaust Un-vented Clothes Dryer to Outside</b>	\$	<b>164.27 per vent</b>
In situations calling for additional materials or labor due to special circumstances, or custom measures, additional costs must be recommended to the Program Implementor for prior-approval.		

## EmPower New York Contractor Pricing Effective March 10, 2023

For contractors with business addresses in counties north of and including Sullivan, Delaware, Green, and Columbia counties.

Comprehensive Home Energy Assessment & In-Home Education		
<b>Comprehensive Home Energy Assessment, including:</b>	\$	334.65 plus Mileage per site
Blower Door Test*		*If Blower Door Test not performed: -\$50.00
Combustion Efficiency and Safety Test, inc. CO detection		
Appliance Survey		
EmPCalc, TREAT, or other accepted audit report		
Onsite Energy Education*		*If Onsite Energy Education not performed: -\$55.00
<b>No-show Fee</b>	\$	60.00 plus Mileage per site
<b>Mileage (from business location)</b>	\$	0.655 per mile
Electric Measures		
<b>ENERGY STAR® rated LED and/or candelabra LED, including:</b>	\$	11.00 per bulb incl. labor & materials
Up to 16 bulbs maximum, including 1 nightlight		
<b>Advanced Power Strip - Tier 1</b>	\$	31.84 labor & materials
<b>Advanced Power Strip - Tier 2</b>	\$	74.29 labor & materials
Domestic Hot Water Measures		
<b>Hot Water Pipe Insulation</b>	\$	2.32 per linear foot incl. labor & materials
<b>High Efficiency Showerhead, includes handheld</b>	\$	41.48 labor & materials
<b>DHW Pressure Relief Discharge Pipe</b>	\$	25.00 per unit incl. labor & materials
Heating Equipment Measures		
<b>Programmable Thermostat</b>	\$	145.26 labor & materials
Prior approval of make and model by Program Implementor is required		
<b>WiFi Enabled Thermostat</b>	\$	229.16 labor & materials
Prior approval of make and model by Program Implementor is required		
<b>Standard Furnace Filter</b>	\$	35.90 labor & materials
If the furnace manufacturer requires a more expensive model, propose price to Program Implementor		
<b>Furnace Filter Slot Cover</b>	\$	29.34 labor & materials
Air Sealing Measures		
<b>Air-Sealing</b>	\$	115.47 per hour plus materials
<b>Door Weather-stripping and Sweep</b>	\$	81.72 per door
<b>Door Sweep ONLY</b>	\$	30.72 per door
Health & Safety		
<b>Smoke Detector with Lithium Battery</b>	\$	45.27 labor & materials
Prior approval of make and model by Program Implementor is required		
<b>CO Detector with Lithium Battery</b>	\$	86.37 labor & materials
Prior approval of make and model by Program Implementor is required		
<b>Combination CO/Smoke Detector with Lithium Battery</b>	\$	105.08 labor & materials
Prior approval of make and model by Program Implementor is required		
<b>Vapor Barrier</b>	\$	1.68 per square foot incl. labor & materials
Total sq. ft. of coverage including the floors, walls, and around columns		
Insulation Measures		
<b>Sidewall 4" (Dense pack)</b>		
Wood Shingle, Clapboard, Vinyl, & Other Siding	\$	3.44 per square foot
Aluminum Siding	\$	3.64 per square foot
Asbestos-like Siding	\$	3.91 per square foot
<b>Sidewall 6" (Dense pack)</b>		
Wood Shingle, Clapboard, Vinyl, & Other Siding	\$	3.93 per square foot
Aluminum Siding	\$	4.17 per square foot
Asbestos-like Siding	\$	4.40 per square foot
<b>2nd Floor Sidewall (Dense pack)</b>		1.5 times that of the first story dense pack sidewall price
Does not apply to walls being dense packed from the interior		

## EmPower New York Contractor Pricing Effective March 10, 2023

Insulation Measures (continued)		
<b>Attic (Open)</b>		
6" Settled Depth Cellulose or 8" Blown Fiberglass or 7" Blown Rockwool*	\$	2.07 per square foot
8" Settled Depth Cellulose or 10" Blown Fiberglass or 10" Blown Rockwool*	\$	2.49 per square foot
10" Settled Depth Cellulose or 13" Blown Fiberglass or 12" Blown Rockwool*	\$	2.80 per square foot
12" Settled Depth Cellulose or 16" Blown Fiberglass or 15" Blown Rockwool*	\$	3.13 per square foot
14" Settled Depth Cellulose or 18" Blown Fiberglass or 17" Blown Rockwool*	\$	3.23 per square foot
*Insulation depths calculated per BPI standards.		
<b>Blown Insulation Set-up Fee</b>	\$	<b>138.07</b>
Only for projects where a total of less than 500 sq. ft. of blown insulation is installed		
<b>Attic (Floored)</b>		
4" Dense Pack Cellulose	\$	2.49 per square foot
6" Dense Pack Cellulose	\$	2.76 per square foot
8" Dense Pack Cellulose	\$	3.11 per square foot
<b>Knee walls</b>		
3.5" Fiberglass	\$	2.74 per square foot
Netted Cellulose	\$	3.23 per square foot
<b>Slope</b>		
4" Cavity	\$	2.76 per square foot
6" Cavity	\$	3.12 per square foot
<b>Foam Insulation</b>		
1" Board	\$	4.27 per linear foot
2" Board	\$	5.89 per linear foot
3" Board	\$	7.19 per linear foot
4" Board	\$	8.02 per linear foot
5" Board	\$	8.81 per linear foot
6" Board	\$	9.82 per linear foot
1" Closed Cell	\$	5.46 per linear foot
2" Closed Cell	\$	6.95 per linear foot
3" Closed Cell	\$	8.59 per linear foot
4" Closed Cell	\$	10.46 per linear foot
5" Closed Cell	\$	12.16 per linear foot
6" Closed Cell	\$	13.04 per linear foot
4" Open Cell	\$	6.86 per linear foot
5" Open Cell	\$	8.94 per linear foot
6" Open Cell	\$	10.66 per linear foot
<b>Mobile Home Belly</b>		
4" Dense Pack Fiberglass	\$	2.25 per square foot
6" Dense Pack Fiberglass	\$	2.36 per square foot
<b>Band Joist Insulation</b>	\$	<b>6.89 per linear foot</b>
<b>Rim Joist Insulation</b>		
1" Foam	\$	4.92 per linear foot
2" Foam	\$	7.77 per linear foot
<b>Rim Joist Set-up Fee</b>	\$	<b>138.07</b>
Only for projects where less than 150 linear feet is installed and no other HP measures approved		
Ventilation Measures		
<b>Ridge Vent</b>	\$	<b>28.72 per linear foot</b>
<b>Soffit Vent</b>	\$	<b>27.76 per vent</b>
<b>Gable Vent</b>	\$	<b>146.46 per vent</b>
<b>Roof Vent</b>	\$	<b>145.01 per vent</b>
<b>Baffles</b>	\$	<b>5.60 per baffle</b>
<b>Existing Bath Fan to Roof (Insulated)</b>		
Less than 4'	\$	<b>229.88 per vent</b>
4' or more	\$	<b>282.29 per vent</b>
<b>Exhaust Un-vented Clothes Dryer to Outside</b>	\$	<b>152.14 per vent</b>
In situations calling for additional materials or labor due to special circumstances, or custom measures, additional costs must be recommended to the Program Implementor for prior-approval.		



## **OTDA Funding for Heat Pump Projects**

### **Background**

NYSERDA is pleased to announce that the Office of Temporary and Disability Assistance (OTDA) has released \$26.7 million in funding to be available immediately to help Home Energy Assistance Program (HEAP) customers move their homes towards Beneficial Electrification. This additional funding will allow for eligible HEAP households statewide to participate in EmPower, New York (EmPower) with work scopes up to \$20,000 per home for insulation, air sealing and the installation of heat pump technology. Projects must be completed by September 15, 2023. As a supplement to this guidance, a frequently asked questions [\(FAQ\) document](#) has been drafted to provide additional information.

### **Contractor Requirements**

This offering is open to EmPower participating contractors. The installer of the heat pump must be a NYS Clean Heat participating contractor. A contractor that participates in both EmPower and the NYS Clean Heat program can apply for utility incentives, submit the project to NYSERDA, and install the heat pump. Otherwise, the participating EmPower contractor can utilize a sub-contractor who participates in the NYS Clean Heat program to install the heat pump equipment.

### **Customer Requirements**

To be eligible, customers will need to be EmPower eligible and have a valid HEAP award letter (dated October 1, 2021, or later) with a Customer Identification Number (CIN) or Case Number. If a HEAP award letter is not available, a copy of the HEAP Guarantee of Payment Letter (for Program Year 2021-2022) may be submitted providing the Case Number is referenced on the letter. The Case Number is found in the “Applicant Information” section.

When processing Combined Residential Applications, CLEAResult will include a note when a customer is approved and is eligible for this funding. The note will appear in the NY HP Portal and the Participating Contractor will see it in the notes field when accepting the project. This offering is available for Long Island and municipal electric customers as well as those regularly served by EmPower. Municipal electric customers must check with their provider to ensure they are able to install electric heating equipment, which could lead to increased electric load of the home.

### **Project Requirements**

#### **Heating Systems**

Under this offering, heat pumps will be pre-qualified measures for households heating with oil, propane, kerosene, electric, or wood but the entire project would still need to show positive bill savings for the customer.

1. For natural gas heating homes, the efficiency of the equipment being replaced cannot exceed 80% and the total project for a natural gas heated home must have positive bill savings.

2. For heating equipment, the proposed heat pump(s) must cover 90-120% of the building load. The existing heating system may remain; however, these funds do not support hybrid systems with fossil fuel furnaces and heat pumps combined. Cases where the existing heating system can remain include:
  - a. Installing ASHP split system in a home with hydronic heat where radiator and boiler removal is cost prohibitive.
  - b. A situation in which the heat pump can cover at least 90% of the load of the home but for technical reasons cannot attain 100%. In these cases the contractor should verify the project appropriateness with the program and outline steps taken so the existing system will only be used in emergency situations.
3. Below are the minimum requirements for heat pump equipment installed through this offering:
  - a. Air Source Heat Pump- NEEP Cold Climate Rated
  - b. Ground Source Heat Pump- ENERGY STAR certified

### Insulation Requirements

To ensure the efficiency of the heat pump equipment, the project home must meet the following minimum insulation levels by the end of the project:

Area	Required Insulation Level
<b>Walls</b>	<b>R-14<sup>1</sup></b>
<b>Attic</b>	<b>R-30 Average<sup>2</sup></b>
<b>Attic Hatches</b>	<b>R-20</b>
<b>Pull-Down Stairs</b>	<b>R-13</b>
<b>Air Tightness</b>	<b>7 ACH<sup>3</sup></b>
<b>Mobile Home Walls</b>	<b>R-6</b>
<b>Mobile Home Attic</b>	<b>R-24</b>
<b>Mobile Home Belly</b>	<b>R-21</b>

<sup>1</sup> 2x4 Cavity filled to capacity.

<sup>2</sup> Average insulation of total attic area- some areas might have less than R-30 if the total average of the combined attics is R-30.

<sup>3</sup> Houses should be tightened to at least 7 ACH to ensure proper heating from heat pumps. If the contractors cannot perform a blower door test, they must use EmPCalc to estimate the air leakage.

### Distribution System/Panel Boxes

Any additional work needed for panel box upgrades or distribution systems should be itemized and included in the workscope proposal for the heat pumps.

The current distribution system should be considered when selecting a system. In some homes, major distribution improvements will have to be made. Incentives will have to be balanced with the overall system cost (for instance, it may be more economical to install mini splits rather than a central system

with duct improvements). In addition, the homeowner's preference should be considered when making these decisions.

As the program moves to electrify older homes, installers will encounter older panel boxes with insufficient amperage for heat pumps when coupled with existing electric stoves and dryers. Preliminary information indicates that panel boxes 100 Amps and smaller should be upgraded. If an existing panel box is  $\leq 100$  Amps, it is prequalified for replacement through the program. If the home requires greater than 100 Amp service, then a NEC worksheet must be completed indicating the need for the larger service. Project submission documentation must provide a photo of the pre-existing panel box and an invoice for the replacement panel box. Panel box work may include risers and other measures associated with the main electrical supply, including permits. Individual supply lines and boxes for the heat pump should be included in the cost of the heat pump.

### Heat Pump Water Heating

Heat Pump Hot Water Heaters should be installed in an unconditioned space, such as a basement, as long as space allows in accordance with manufacturer's installation guidelines. In some homes, such as slab on grade and mobile homes, this may not be possible at this time. Electric resistance water heaters should only be installed when the current system is non-functioning and installation of a HPWH is not possible. Heat Pumps must meet the following minimum requirements:

1. Heat Pump Water Heater  $\leq 55$  Gallon UEF  $>2.0$ ,  $> 55$  Gallon UEF  $\geq 2.2$

### Cooling

With more extreme weather from climate change there is also a large health benefit in preventable heat related illness with heat pumps. One of the main benefits of adding heat pumps to a home is the addition of highly efficient cooling. There may be operating cost increases for homes with no cooling, which the Participating Contractor should educate the customer on. In most cases there will be economic and health benefits in replacing old window unit air conditioners with heat pumps. Mandatory recycling to EPA guidelines of existing window units is required when installing heat pumps.

### Health and Safety

All health and safety measures should be presented for review and will be included toward the \$20,000 project cap

### **Incentive Structure**

It is expected that the project will take advantage of NY Clean Heat funding in addition to the EmPower/OTDA funding. These projects are not eligible for the Assisted Home Performance with ENERGY STAR® subsidy.

In the event that costs exceed established caps, the contractor should consider the viability of the project upgrade to heat pump technology. NYSERDA incentives will cover projects up to 60,000 Btu/heating and can be used in conjunction with utility incentives through NY Clean Heat program





but cannot be greater than the total project cost.

NYSERDA incentives will be paid to the EmPower participating contractor. Below is a table of incentive caps, based upon location, equipment installed, and program type. For EmPower measures not listed below, standard pricing and program requirements apply.

Description	Incentive Type	EmPower
Upstate/Downstate ASHP	\$/10,000 btu	\$3,000
Upstate/Downstate GSHP	\$/10,000 btu	\$3,800
HPWH	\$/unit	\$3,000
Ancillary Service-	Panel Box Upgrade/ Distribution Improvement	\$2,000

**Downstate Counties: New York, Bronx, Kings, Queens, Richmond, Orange, Rockland, Westchester, Putnam, Sullivan, Dutchess, and Ulster**

### Project Submission

In addition to the standard EmPower project completion paperwork, projects must also include the following required documents as part of the project submission process:

- Heat Pump Installation Acknowledgement Form (Attachment 1)
- LMI Heat Pump Certificate of Completion (Attachment 2)
- Panel Box Photo (Required if Panel Box Upgraded)
- Panel Box Invoice (Required if Panel Box Upgraded)
- Heat Pump Equipment Invoice(s)
- NEC calculation sheet if panel box being upgraded is >100 Amps (Attachment 3)

### Additional Information

For additional information on this offering including a webinar and Frequent Asked Questions documentation, please visit <https://hpwescontractorsupport.com/otda-heat-pump-funding/>.



**ATTACHMENT 1**

**Heat Pump Installation Acknowledgement Form**



## ATTACHMENT 2

### LMI Heat Pump Certificate of Completion

# Certificate of Completion

OTDA Heat Pump Funding

EmPower New York

Customer Name: \_\_\_\_\_ Contractor Name: \_\_\_\_\_

EmPower ID#: \_\_\_\_\_

**Contractor:** I, \_\_\_\_\_ attest that all measures completed by my company for EmPower New York adhere to current standards defined by the Building Performance Institute (BPI) and the current EmPower New York Program Guidelines. I further attest that for all Home Performance designated projects, I have conducted the appropriate Combustion Appliance Zone (CAZ) testing and left the home in a safe condition as per BPI Standards.

I attest that I have educated the customer on the use of their heat pumps and any effect they may have on their utility bills. The customer has signed the NYSERDA Heat Pump Installation Acknowledgement Form, and it will be completed in project completion paperwork.

I attest that this project adheres to the [NY Clean Heat program Guidelines](#), that a Manual J has been performed for this home, and that I or the NYS Clean Heat contractor will be applying for a reimbursement from the NY Clean for a utility heat pump rebate.

I attest that my company is responsible for collecting the utility rebate for this project and I will not hold the customer responsible for the contractor's failure to collect these funds. I will also not place a lien on the customer's property for outstanding funds that were promised as a utility rebate.

Company Authorized Signatory: \_\_\_\_\_ Date: \_\_\_\_\_



**ATTACHMENT 3**  
**NEC Calculations Sheet**



**NEC Standard Electrical Load Calculation for Single Family Dwellings  
(Only for Service Ratings of 120/240V, 225 Amps Max)**

Owner: \_\_\_\_\_ Location: \_\_\_\_\_

Total Floor Area of Dwelling(NEC 220.12) \_\_\_\_\_ SQFT.

Factor	Quantity	Volt Amperes(VA)	
<b>“General Lighting”</b>			
1. General Lighting (SQFT X 3 VA/SQ FT (Table 220.12))	3 X sqft.		
2. Small Appliance Circuits (1500 VA per circuit) (NEC 220.52(A)) (minimum 2)	1500 X		
3. Laundry Circuit (1500 VA per circuit) (NEC 220.52(B))	1500 X		
4. Total General Lighting Load (Add lines 1, 2 & 3):			
5. First 3000 VA @ 100%:		3000	
6. Total General Lighting Load – 3000 = _____ @ 35% =			
7. Net General Lighting Load (Per NEC 220.42) (Add lines 5 & 6):			
<b>*Fixed Appliances(if insufficient space, use back):</b>	YES	NO	
• Garbage Disposal			
• Bathroom Fan			
• Microwave			
• Dishwasher			
• Other:			
• Other:			
	Total		
8. 3 or less Appliances, Total Appliance VA; 4 or more Appliances, 75% of Total Appliance VA (NEC 220.53):			
<b>*Other Loads (including motors, EV charger(s), etc.)</b>	YES	NO	Nameplate Rating(VA)
9. Electric Range (8000VA or Nameplate)**			
10. HVAC			
11. Electric Oven			
12. Electric Dryer (5000 VA minimum)**			
13. Electric Vehicle Charger	✓		
14. Other:			
15. Other:			
16. 25% of largest motor (NEC 430.24)			
<b>Total Service Load Volt-Amperes (VA) (Add lines 7, 8 &amp; 9 thru 16) =</b>			
<b>Total Service Load Volt-Amperes / 240-volts =                      Amperes</b>			
<b>***Service Rating (Amperes)=</b>			

- \* For every “YES” answer, indicate VA rating of equipment
- \*\* Nameplate rating must be used if larger
- \*\*\* Service Rating shall be greater than or equal to the Service load

As a covered entity under Title II of the Americans with Disabilities Act, the City of Los Angeles does not discriminate on the basis of disability and, upon request will provide reasonable accommodation to ensure equal access to its programs, services and activities.

## Guidance for Not For Profits/ Land Trusts for Tier 1 and Tier 3 Eligible Households

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

The purpose of this document is to outline the project submission procedures for a Not-for-Profit/Land Trust or similar organization (entity) to receive Tier 1 or Tier 3 incentives when one of the conditions outlined below is met:

1. A Not For Profit/Land Trust owns a property, rehabilitates the residence, and sells or rents it to an income-eligible buyer.
2. A Not-For-Profit provides housing to disadvantaged residents, who are income eligible and/or are otherwise unable to maintain independent housing.

### Combined Residential Application

The first step is to apply for incentives through the submission of a Combined Residential Application. A completed Combined Residential Application in the name of the non-profit/Land Bank (entity) is required to be submitted for consideration for incentives. The Combined Residential Application and additional information regarding the application process, is accessible at [www.nyserda.ny.gov/ny/ahp-empower](http://www.nyserda.ny.gov/ny/ahp-empower). The program guidelines and income requirements for both Tier 1 and Tier 3 are listed below. Current income thresholds for Tier 1 and Tier 3 households can be found in Section 3.4 of the Program Manual.

#### 1. Entity Selling or Renting Property to Income-Eligible Household

When an entity is rehabilitating a residence and selling or renting it to a low-to-moderate income household, the below outlines the processes the entity must follow for Program compliance. It is understood that entity must enter into a purchase or rental agreement with an income-eligible household within 180 days of the completion of energy efficiency work. The prospective buyer/renter of the residence must be eligible for the program the entity wishes to participate in. For example, if the entity is looking to participate in EmPower New York, the residence must be sold or rented to a Tier 1 eligible household.

Non-For-Profit- selling to income qualified buyer- Existing residence may be unoccupied for more than 30 days. Program measures intended to achieve energy efficiency and carbon reduction goals may be installed in coordination with other trades, as necessary. Following

renovation completion and issuance of certification of occupancy, home is sold to income-eligible household within 180 days.

Failure to enter into a purchase or rental agreement on the home with an income-qualified household within 180 days of the project completion date may result in the entity forfeiting the NYSERDA project incentive and/or the prohibition of submitting future projects under these guidelines.

### Submission Procedures

Submit a Combined Residential Application along with a letter on entity's letterhead.

- For Tier 1 eligible households: Letter should indicate the home will be rented/sold to a household earning less than 60% of the State Median Income within 180 days of the project completion date
- For Tier 3 eligible households: Letter should indicate the home will be rented/sold to a household earning less than 80% of the AMI/SMI within 180 days of the project completion date.

Program Implementer will review documentation and if complete, approve. In the event a contractor has been identified, Program Implementer will refer the project to the identified contractor. If a project contractor has not been identified, Program Implementer will assign a contractor through the standard contractor assignment process.

#### For Tier 3 Eligible Households Only

- Financing is not available for entities looking to sell the home to an income qualified household. In the event the entity is looking to rent long-term to an income-eligible household, there may be finance opportunities through the Small Business/Commercial Loan. For more information on this program please send an inquiry to [gignysbnfp@nyserda.ny.gov](mailto:gignysbnfp@nyserda.ny.gov).

#### For Tier 1 and Tier 3 Households:

- Utility bills for each unit, when available, should be made available to the Program contractor; however, are not required for a project to receive incentives.
- It is the entity's responsibility to provide access to the project contractor to perform work. At the end of the project an authorized representative of the entity must be made available to sign any required Program completion paperwork. For these projects, a completed Rental Property Energy Efficiency Services Agreement, found in Section 3 of the Program Manual, must be completed.



- If selling the property, the entity must provide the buying household with information regarding the energy efficiency measures installed at the residence. In addition, NYSERDA will extend the warranty to the buying household for the work performed for one year following the completion date.

## **2. Entity is a Not-for-Profit Providing Housing to Disadvantaged Individuals**

In the instance where an entity is providing housing to income-eligible disadvantaged individuals, the below outlines the processes the entity must follow for Program compliance.

These guidelines apply to 1-4 family homes and not larger dormitory style buildings. Program understands that some of these residences have been renovated to serve as group homes and not individual, standalone apartment units. For group home settings, each floor level with one or more bedrooms, a bathroom, and a full kitchen can be considered a separate unit. Program will consider different approaches to determining unit counts for unique building types. Participating Contractor should work with their account manager for determining unit counts in unique building types. Under these guidelines, projects are limited to no more than four units.

### **Submission Procedures**

Submit a Combined Residential Application along with a letter on entity's letterhead.

- For Tier 1 eligible households: Letter should indicate the entity provides housing to individuals earning less than 60% of the State Median Income.
- For Tier 3 eligible households: Letter should indicate the entity provides housing to individuals earning less than 80% of the AMI/SMI within 180 days of the project completion date.

Program Implementer will review documentation and if complete, approve. In the event a contractor has been identified, Program Implementer will refer the project to the identified contractor. If a project contractor has not been identified, Program Implementer will assign a contractor through the standard contractor assignment process.

For Tier 3 Eligible Households Only:

- An entity is not eligible for financing through NYSERDA's Residential Loan Program; however, there may be finance opportunities through the Small Business/Commercial Loan. For more information on this Program please send an inquiry to [gignysbnfp@nyscrda.ny.gov](mailto:gignysbnfp@nyscrda.ny.gov).

For Tier 1 and Tier 3 Eligible Households:

- It is the entity's responsibility to provide access to the project contractor to perform work. At the end of the project an authorized representative of the entity must be made available to sign any required Program completion paperwork. For these projects, a completed Rental Property Energy Efficiency Services Agreement must be completed.
- Utility bills for each unit, when available should be made available to the Program contractor.

### **Guidance on Housing Conditions**

All existing 1-4 family homes will be eligible to use this process including gut rehabilitations. This offering is not for new construction or additions to existing homes. Standard NYSERDA incentives will remain so it is assumed other funds will be used to ensure the home is habitable by the completion of the project.

## Pellet Stove Guidance

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

With the sunset of NYSERDA's Renewable Heat NY - Residential Pellet Stove program, NYSERDA is providing access to pellet stove incentives and financing for Tier 1 and Tier 3 households .

### Eligible Project Requirements

- Residential sites used as a full-time residence (primary residence) that are not currently using natural gas are eligible.
- Incentives are to be used for the replacement of existing equipment.
- Resident must be either Tier 1 or Tier 3 income-eligible.
- Residence must be served by a non-municipal electric utility and pay into the Systems Benefit Charge (SBC).

### Incentives

Two incentive options, determined by income, are available to homeowners. Incentives are only available for primary residences.

- For Tier 1 [income-eligible](#) households:
  - \$2,000 for the purchase of a new pellet stove
  - An additional \$500 if an existing wood stove, pellet stove, or insert (with firebox) is recycled
- For Tier 3 [income-eligible](#) households:
  - 50% of the cost of a qualifying pellet stove capped at \$1,000
  - An additional \$500 if an existing wood stove, pellet stove, or insert (with firebox) is recycled

### Financing

Pellet stoves can be financed to assist eligible Tier 1 and Tier 3 households with the remainder of the project cost. NYSERDA offers two loan options, through EFS/Slipstream, to assist eligible residents, the On-Bill Recovery Loan or the Smart Energy Loan.

To apply for financing, residents should work with their Participating Contractor. The following sites provide guidance on the application process:

- <https://www.nyserdera.ny.gov/All-Programs/Programs/Residential-Financing-Options>

- [Energy Finance Solutions](#)

## Contractor Requirements

- Access to incentives and financing are reserved for participating EmPower and Assisted Home Performance contractors only.
- The pellet stove must be installed by a participating contractor or their sub-contractor meeting the certification requirements outlined in the current NY Residential Existing Homes Program Contractor Participation Agreement.

## General Project Requirements

- Pellet Stoves must have a particulate matter output of 2.0 grams per hour (PM 2.0 g/h) or less, an actual measured efficiency of 70% efficient or greater, and be compliant with Step 2 of the EPA's New Source Performance Standards. Please see the [US EPA Certified Wood Stoves](#) list for eligible equipment.
- All components installed as part of an approved pellet stove system must be new. The use of used or refurbished equipment is not permitted under program rules.
- The Participating Contractor is responsible for determining that a building is structurally capable of supporting the addition of a pellet stove at the specified location inside the home. The installation of the pellet stove should not over stress the structure and/or increase the dead load beyond acceptable limits as described in all relevant national and New York State codes and standards.
- All pellet stove equipment and accessories shall be installed in a neat and professional manner according to manufacturers' specifications and instructions. Any manufacturer warranties for workmanship and/or materials that are compromised and/or voided as a result of work performed by Participating Contractor will become the responsibility of the Participating Contractor. Labeling equipment and related controls is encouraged to ensure proper maintenance and design specifications. As with all heating systems, it is important that installation of all equipment is performed to manufacturer specifications to allow for routine maintenance to be conducted by other heating technicians.
- Participating Contractors are required to make homeowners aware of the level of noise associated with their selected pellet stove and its associated parts.
- Battery backup systems are permitted for the purpose of resiliency when grid electric power is not available. Where available, battery backup systems for a specific brand or series of stoves are the recommended option.

## Permitting Requirements

- The Participating Contractor is responsible for ensuring that all approved pellet stoves, accessories, and installations comply with any and all manufacturers' installation requirements, applicable laws, regulations, codes, licensing, and permit requirements, including but not limited to, the New York State Building Code and the National Electric Code (NEC), and all applicable state, city, town, or local ordinances or permit requirements.
- All permits must clearly reference installation of the approved pellet stove equipment at the installation site. If permit(s) are not needed for installation, each Participating Contractor is encouraged to obtain a signed letter from the Town Code Officer or Authority Having Jurisdiction (AHJ) stating that no building permit is required. The permit, an AHJ or third-party inspection certificate should be maintained on file with the Participating Contractor and shared with NYSERDA prior to or as part of any Quality Assurance inspection.

## Venting Requirements

- Qualifying components and materials used in the installation of the venting or flue system must meet existing New York State Code and the National Fire Protection Association (NFPA 211) standards for solid fuel residential combustion units. Stove-specific venting systems and parts are allowable.
- Sealed combustion is the recommended installation design. Whenever possible the system should be installed with a combustion air intake that is connected directly to outside air. The only exception to this installation is when the distance to outside combustion air and the associated angles of venting to the exterior, would exceed manufacturer's recommendations. When a "skuttle" air intake is installed to bring in combustion air, this air intake must not be installed directly below the flue or on the windward side of the home, where during exceptionally cold days, the stove's emitted combustion byproducts from the flue/chimney, may be taken back into the fresh air of the household.

## Pellet Storage Requirements

- Wood pellets can produce high levels of dust and off-gas carbon monoxide (CO) during storage that present health and safety concerns. CO is a colorless, odorless gas that has health effects below the levels at which common CO detector alarms are triggered. Due to concerns regarding CO exposure and the absence of a documented effective ventilation strategy for pellet storage, all bulk pellet storage must be outside of the home (Figure 1).



**Figure 1. This 4.5-ton outside residential bulk wood pellet storage bin has a ventilated soffit and two ports for pellet delivery.**  
(Photo courtesy of Vincent’s Heating and Fuel Service LLC)

- Bagged pellets must be kept dry to burn properly. Do not store pellet bags directly on concrete, as most concrete can wick large quantities of water (and even the smallest holes in bagged pellets can allow added moisture. Excess moisture can condense from air when pellets are in contact with cold concrete or the ground.

## Warranty

- All Participating Contractors must warranty their complete installation including parts and labor for one full year from the date the project is approved for payment by NYSERDA. The warranty must cover the full costs, including labor and repair or replacement of defective components or systems. The warranty includes venting, and where an existing vent system is used, it is up to the Participating Contractor to deem the existing venting system as passing for applicable use for one full year into the future. If the venting does not pass the quality assurance review, the Participating Contractor will be responsible for covering the cost and labor of any repairs or upgrades deemed necessary. The system as a whole as installed and approved by the Participating Contractor must be able to function for one full year from the approval of the installation.
- The Participating Contractor must share a copy of the manufacturer’s warranty of the pellet stove with the Customer. If the manufacturer needs to be notified to initiate the warranty, the Participating Contractor will be responsible for submitting verification of the installation and initiation of the warranty.
- If the installation includes a battery backup, the battery system must be covered by a full one-year warranty including labor and repair or replacement of the battery to the Customer. If the manufacturer needs to be notified to initiate the warranty, the Participating Contractor will be responsible for submitting verification of the installation and initiation of the warranty.

## Recycling Requirements

For projects retiring an old heating unit, proof that the retired unit was properly recycled is required. The Participating Contractor must recycle the old unit at a regional recycling center. The Participating Contractor is responsible for ensuring that destructive recycling of all materials is performed. The Participating Contractor must attach a receipt from the recycling centers that clearly states the following:

- Recycling center name
- Recycling center address
- Recycling date
- Name of Customer

The recycling incentive for proper retirement of the old heating unit will be paid directly to the Participating Contractor and must be passed on in the full amount to the Customer. NYSERDA reserves the right to follow-up with the recycling center/scrap yard to confirm the unit was properly destroyed. NYSERDA may request photos of a pre-existing installation at any time or as a part of Quality Assurance review for any project where recycling is required or applied. This proof would include:

- A photo of the old unit in working condition at the residence/business, noting the location of the stove/unit in the home
- A photo of the old unit at the recycling center/scrap yard, especially if proof of destructive recycling can be displayed
- A close-up photo of the name-plate photos that would aid in identifying the stove or its age in years.

## Project Submission Requirements

- The following energy tools can be used to model the submission of pellet stoves: EmPCalc, SnuggPro, or OptiMiser (TREAT should not be used).
- Due to current NY HP Portal data checks, the existing heating system must be modeled as a wood pellet stove, even if the existing system is a wood stove in SnuggPro and OptiMiser. Notes should be added in the NY HP Portal when submitting to specify that the existing system is a wood stove, if applicable.
- The full equipment cost must be entered in the modeling tool. Program staff will apply the incentive(s). The customer will be responsible for any amount not covered by the Program. The recycling incentive for proper retirement of the old heating unit will be paid directly to the Participating Contractor and must be passed on in the full amount to the Customer as well.
- Use the customer's actual fuel costs when possible. If none are available, refer to the latest [NY HPwES Energy Pricing](#) document on the Contractor Support website.

- At project submission notes should be added in the NY HP Portal to
  - specify that the existing system is a wood stove, if applicable
  - indicate if the replaced unit is being recycled

For projects with NYSEERDA financing:

- Prior to the start of work, participating contractor must provide a copy of the contract and Proforma to EFS/Slipstream.
  - Contractors should be using the latest version of the Proforma tool found [here](#).
- At project completion, a signed copy of the certificate of completion must be provided to EFS/Slipstream.

## Modeling

EmpCalc Procedures:

On the Cover tab, model Wood Pellets or Hard Wood for Heating Fuel Type:

Heating Fuel Type	Wood Pellets
-------------------	--------------

Heating Fuel Type	Hard Wood
-------------------	-----------

Enter the Usage and Price per Ton for Wood Pellets or Face Cord for Hard Wood:

Wood Pellet Cost per Ton	\$	274.28
--------------------------	----	--------

Hard wood Cost per Face Cord	\$	225.00
------------------------------	----	--------

Annual Wood Pellets Usage (Tons)	3
----------------------------------	---

Annual Hard Wood Usage (Face Cords)	15
-------------------------------------	----

On the Heating System tab fully complete both the Heating System and Conversion/Replacement sections

Heating Systems:

<b>Heating Systems</b>		Estimated Annual Heating Load (In Fuel Units)	Unit Location
Fuel	Heating System	15 Face Cords	conditioned space
Hard Wood	Wood or Pellet Stove		



EmpCalc Procedures cont.:

Heating Conversion/Replacement:

Heating Conversion/Replacement		Must provide Replacement Fu	
Existing Heating Fuel:	Hard Wood	Replacement Fuel:	Wood Pellets
		Replacement System:	Pellet Stove \$274.28
Cost	\$ 2,000.00	Replacement Make	Pellet Star
		Replacement Model#	H57
Existing Efficiency	60%	Replacement Efficiency	77%

SnuggPro Procedures:

1. Select "Stove or Insert" for System Equipment Type

System Name  
Hvac System 1

System Equipment Type

- Heating Only
  - Boiler
  - Steam Boiler
  - Furnace with standalone ducts
  - Electric Resistance
  - Direct Heater
  - Stove or Insert

2. Select Replace with a newer model

System Name  
Hvac System 1

System Equipment Type  
Stove or Insert

Upgrade action

- Replace with a newer model
- Keep an existing system as is

SnuggPro Procedures cont.:

3. Select Fuel Type Pellets\*

The screenshot shows a form titled "Heating". Under the heading "Fuel Type", there is a dropdown menu. The menu is open, showing "Pellets" as the selected option. Below the dropdown, the words "Wood" and "Pellets" are visible in a list, with "Pellets" highlighted in grey. The word "BASE" is visible above the dropdown menu.

*\*Remember due to a HP Portal data check "Pellets" must be selected not "Wood"*

4. Model the proposed Heating System using specifications from manufacturer

The screenshot shows a form for modeling a heating system. It contains five input fields, each with the word "IMPROVED" above it. The first field is a dropdown menu with "Pellets" selected. The second field contains the number "100" followed by a percentage sign "%". The third field contains the number "2021" followed by a hash symbol "#". The fourth field contains the number "80" followed by the label "AFUE". The fifth field contains the number "55,000" followed by the label "BTU/h".

## No Heat Guidelines

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

**The Assisted Home Performance with ENERGY STAR and EmPower New York programs are not emergency-services programs.** The programs do, however, attempt to respond to emergency situations within the constraints of program guidelines and the existing infrastructure for the provision of services. As such, NYSERDA has established the following guidelines for the submittal of “No-Heat” projects that address heating systems that have failed, during the designated heating season.

No-heat equipment replacement project incentives are available up to the program heating incentive caps for Tier 1 and Tier 3 projects referenced below.

1. Tier 1 – Furnace-Not to exceed \$6,000 per system
2. Tier 1- Boiler- Not to exceed \$10,000 per system
3. Tier 3- Furnace/Boiler \$2,000 per heating system

In the event program incentives do not cover the cost of the heating system replacement, the household may be eligible for NYSERDA financing to cover the additional cost.

Qualified households should apply for Heating Equipment Repair and Replacement Benefit (HERR) through OTDA first. NYSERDA’s no-heat equipment replacement funding is available for those who are ineligible or denied HERR funding. In certain instances, HERR will approve funding for a heating system repair or replacement; however, the costs for the repair/replacement of the failed system exceeds the HERR funding cap. When this occurs, the Tier 1 incentive can be applied *in addition to* the HERR funding up to the current Tier 1 no-heat funding cap.

### Heating Season

For the purposes of this guidance, the heating season is defined as the time period beginning October 1, 2022, continuing through to May 31, 2023.

### No-Heat Project Eligibility

A no-heat project is when the primary heating system fails or is determined unsafe to operate and is non-repairable, resulting in the need of a replacement primary heating source. In order to qualify for NYSERDA’s no-heat funding, the failure must have occurred during the current

heating season, at a primary residence of an income-qualified customer, and the replacement/repair cannot be completed through HERR or another assistance program.

The residence seeking no-heat equipment replacement funding must be served by an eligible utility and pay into the Systems Benefits Charge (SBC)

In addition to meeting the guidelines above, EmPower or Assisted Home Performance projects seeking no-heat equipment replacement funding must meet the following criteria.

#### **Tier 1 Households:**

- The household is owner occupied, has applied to the Heating Equipment Repair and Replacement (HERR) and has provided a denial letter to the customer. A copy of the denial letter must be provided to the Participating Contractor for submission to the Program. *or*
- The household owner occupied, is Tier 1 income eligible and meets one or more of the following criteria (the below are conditions that **would** trigger a HERR denial letter):
  1. Applicant has lived in the home less than 12 months preceding the month of application
  2. Applicant has owned the home less than 12 months preceding the month of application
  3. Dwelling is a 3- or 4-unit home
  4. Heating equipment is inoperable due to flood, fire, or other natural disasters

#### **Tier 3 Households:**

- The household meets the no-heat project eligibility criteria.

#### **Ineligible Projects**

The following factors would disqualify a project from being eligible for no-heat equipment replacement funding. If any of the following are true, the project should follow the standard submission and review process.

- The primary heating system has been disabled for 12 months or more and there is an alternative heating source in place.
- There is no immediate need for heat (i.e. replacement request occurs outside of the heating season)
- The operation of the existing heating equipment poses no immediate health and safety concerns
- Dwelling does not have an existing heating system
- The home was purchased/rented without an operational heating system
- Home is rental unit and owner is not income eligible or building is not owner-occupied

- The customer is a customer of National Fuel Gas (NFG)
  - \*NFG customers should reach out first to NFG in the event of a no-heat situation at 716-686-6123 M-F 7am-6pm or call the emergency line at Emergency line at 1-800-444-3130 which is available 24/7.

### **Project Submission Requirements**

In addition to the criteria listed above, the project must also meet the following:

- Participating Contractor must provide an explanation on why the heating system is non-repairable. If a failed heating system can be made operational again and serve the household for additional years to come, an attempt should be made to repair it.
- When submitting a no-heat project, the Participating Contractor should prioritize upgrading the existing heating system with heat pump technology. Program will consider heat pump replacement costs which exceed existing project caps. In the event heat pump technology is significantly cost prohibitive or otherwise infeasible, the existing fossil fuel heating equipment can be replaced with fossil fuel heating equipment.
- The defective heating equipment must be replaced with equipment identified on the current eligible measures list, or at minimum, a furnace with a minimum AFUE of 90% or a boiler with a minimum AFUE of 85%.
- All no-heat projects must be submitted to the Program and approved prior to work taking place in accordance with the project submission process outlined below. This is to ensure the project meets the qualifying criteria and the household meets the three-year prior services criteria.

### **Project Submission Process**

#### **Tier 1 Households**

- Evaluate whether the situation meets the Program's definition of an emergency.
  1. Review Section 5.4 Handling Emergency Situations in the [Program Manual](#)
  2. Call your Account Manager
- Contractors must refer customers to the HEAP HERR program first and must follow all the HEAP HERR requirements (<https://otda.ny.gov/programs/heap/#emergency-benefit>)
  1. If HEAP HERR denies services, then the denial letter must be submitted to Program staff prior to the Program approving the project.
  2. Weatherization Assistance Program may be explored if customers are also eligible for WAP services.
- Complete the online [Combined Residential Application](#). Note the application #.
- Submit a Case to notify Program of No Heat Emergency.

1. Email [support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov), use subject: **No Heat – Application #**
2. The Program will prioritize reviewing the project.

### **Tier 3 Households**

- Evaluate whether the situation meets the Program’s definition of an emergency.
  1. Review 5.4 Handling Emergency Situations in the [Program Manual](#)
  2. Call your Account Manager
- Customer should be informed of the HEAP HERR program first and should apply for benefits, if they qualify (<https://otda.ny.gov/programs/heap/#emergency-benefit>)
- Complete the online [Combined Residential Application](#). Note the application #.
- Submit a Case to notify Program of No Heat Emergency.
  1. Email [support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov), use subject: **No Heat – Application #**
  2. The Program will prioritize reviewing the no-heat project.

## Heat Pump Installation Requirements

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

The following outlines the eligibility and project requirements for heat pump installations, which include air-source heat pumps (ASHP), ground-source heat pumps (GSHP), and heat pump water heaters (HPWH) in existing low-to-moderate income 1-to-4 family homes. Heat pump equipment must meet the minimum program efficiency requirements referenced in the Eligible Measures list found in Section 5.15. Households seeking to install heat pump equipment should work with their Participating Contractor to leverage additional funding through utility rebates and other offerings if available.

### **Customer Requirements:**

To be eligible for incentives, the home must be a 1-4 family with the residents/tenants paying the utility bills. The project must be located in SBC territory (municipal electric and PSEGLI customers are not eligible). In addition, the household must be either Tier 1 or Tier 3 income eligible.

### **Minimum Project Requirements:**

To be eligible for heat pump equipment incentives, the following criteria must be met:

1. Incentive funding is available.
2. The home must meet the building envelope standards outlined in Table 1. below.
3. The existing primary HVAC system must be older than 5 years.
4. The heat pump should cover 90-120% of the building load. Whenever possible, the existing heating system should be removed. Cases where the existing heating system can remain include:
  - a. Installing ASHP split system in a home with hydronic heat where radiator and boiler removal is cost prohibitive.
  - b. A situation in which the heat pump can cover at least 90% of the load of the home but for technical reasons cannot attain 100%. In these cases the contractor should verify the project appropriateness with the program and outline steps taken so the existing system will only be used in emergency situations.
5. Only the first 60,000 Btus of the heating system will be subsidized.
6. For homes that heat with oil, propane, coal, electrical resistance, kerosene, pellets, and wood the project does not have to pass a total project savings for approval.  
For homes that heat with natural gas, the existing equipment must be 80% efficient or below and the project should show a net utility bill savings of 10% or greater for approval.

### **Building Envelope Standards:**

The program will use the below levels as the minimum level of insulation a house should have prior to the installation of a heat pump. In the event the home cannot be insulated to these levels, a heat pump

should not be considered for installation through the program at this time; however, the insulation work should proceed in anticipation of a future heat pump installation.

**Table 1.**

Area Required	Insulation Level
<b>1-4 Family Homes</b>	
Walls	R-14
Rim Joist	R-14
Attic	R-30 Average <sup>2</sup>
Attic Hatches	R-20
Pull-Down Stairs	R-13
Air Tightness	7 ACH <sup>3</sup>
<b>Mobile Homes</b>	
Walls	R-6
Attic	R-24
Belly	R-21
Air Tightness	12 ACH <sup>3</sup>

<sup>1</sup> 2x4 Cavity filled to capacity.

<sup>2</sup> Average insulation of total attic area- some areas might have less than R-30 if the total average of the combined attics is R-30.

<sup>3</sup> Prior to the installation of heat pump heating equipment, the contractor must verify the home is tightened to at least 7 ACH for a 1-4 family home/12 ACH for a mobile home or below to ensure proper heating from heat pumps. If the contractor cannot perform a blower door test, they must use EmPCalc to estimate the air leakage.

### **Project Considerations:**

Any additional work needed for distribution systems should be itemized and included in the workscope proposal. Panel box upgrades are not eligible for program incentives.

#### Distribution System

The current distribution system should be considered when selecting a system. In some homes, major distribution improvements will have to be made. Incentives will have to be balanced with the overall system cost (for instance, it may be more economical to install mini splits rather than a central system with duct improvements). In addition, the homeowner's preference should be considered when making these decisions.

#### Panel Boxes

As the program moves to electrify older homes, installers will encounter older panel boxes with insufficient amperage for heat pumps when coupled with existing electric stoves and dryers. These costs are the responsibility of the owner of the dwelling.



### Heat Pump Water Heating

Heat Pump Water Heaters (HPWH) should be installed whenever practicable regardless of the existing system fuel source. Heat Pump Hot Water Heaters should be installed in an unconditioned space, such as a basement, as long as space allows in accordance with manufacturer's installation guidelines. In some homes, such as slab on grade and mobile homes, this may not be possible at this time. Electric resistance water heaters should only be installed when the current system is non-functioning and installation of a HPWH is not possible.

### Cooling

With more extreme weather from climate change there is also a large health benefit in preventable heat related illness with heat pumps. One of the main benefits of adding heat pumps to a home is the addition of highly efficient cooling. There may be operating cost increases for homes with no cooling, which the Participating Contractor should educate the customer on. In most cases there will be economic and health benefits in replacing old window unit air conditioners with heat pumps. Mandatory recycling to EPA guidelines of existing window units is required when installing heat pumps.

### **Project Submission:**

In addition to the standard project completion paperwork, Heat Pump projects must also include the following required documents as part of the project submission process:

1. Heat Pump Installation Acknowledgement Form (Attachment 1)
2. LMI Heat Pump Certificate of Completion (Attachment 2)
3. Panel Box Photo (Required if Panel Box Upgraded)
4. Panel Box Invoice (Required if Panel Box Upgraded)
5. Heat Pump Equipment Invoice(s)
6. NEC calculation sheet if panel box being upgraded is >100 Amps (Attachment 3)  
(Required if Panel Box Upgraded)

Participating Contractors must inform program if additional rebates are being utilized on the project.



**ATTACHMENT 1**

**Heat Pump Installation Acknowledgement Form**

ACKNOWLEDGMENT FORM  
Heat Pump Installation



I, \_\_\_\_\_ residing at \_\_\_\_\_ acknowledge the following regarding the installation of a heat pump system in my home:

1. Overall energy cost reductions are not guaranteed, and my energy bills may increase following the installation of a heat pump system. Energy costs depend on a variety of factors, including usage, annual temperature variations, and how well my home is insulated/air sealed. I understand my energy bills may increase; however, I choose to have a heat pump system installed for one or more of the following reasons (please initial all that apply):

\_\_\_\_\_ My home does not have pre-existing full house air conditioning and adding full house air conditioning could add extra utility expenses.

\_\_\_\_\_ A heat pump would alleviate a health and safety concern in my home.

\_\_\_\_\_ I'm interested in having a heating system with a low carbon footprint.

\_\_\_\_\_ Other: \_\_\_\_\_

2. If I receive bill payment assistance through my utility or the Home Energy Assistance Program (HEAP), the shift in primary heating fuel source from a fossil fuel to electric may impact the level of bill payment assistance received. I will notify my utility and county Department of Social Services that I have installed a heat pump and have changed my primary fuel to electricity.

3. Heat pumps operate differently from traditional boilers and forced air furnaces. In order to maintain comfort in my home I may have to learn how to operate my thermostat differently. I understand that my HVAC contractor will instruct me in the proper use of the heat pump and its thermostat.

\_\_\_\_\_  
Home Owner (Printed) Date

\_\_\_\_\_  
Home Owner (Signature) Date

\_\_\_\_\_  
Contractor (Signature) Date





**ATTACHMENT 2**

**LMI Heat Pump Certificate of Completion**

# Certificate of Completion

LMI Heat Pump Projects

EmPower New York     Assisted Home Performance with ENERGY STAR®

Customer Name: \_\_\_\_\_ Contractor Name: \_\_\_\_\_

EmPower ID#: \_\_\_\_\_ AHP ID#: \_\_\_\_\_

**Contractor:** I, \_\_\_\_\_ attest that all measures completed by my company for EmPower New York/ Assisted Home Performance adhere to current standards defined by the Building Performance Institute (BPI) and the current EmPower New York/ Assisted Home Performance Program Guidelines. I further attest that for all Home Performance designated projects, I have conducted the appropriate Combustion Appliance Zone (CAZ) testing and left the home in a safe condition as per BPI Standards.

I attest that I have educated the customer on the use of their heat pumps and any effect they may have on their utility bills. The customer has signed the NYSERDA attestation, and it will be completed in project completion paperwork.

I attest that this project adheres to the [NY Clean Heat program Guidelines](#), that a Manual J has been performed for this home, and that I or the NYS Clean Heat contractor will be applying for a reimbursement from the NY Clean for a utility heat pump rebate.

I attest that my company is responsible for collecting the utility rebate for this project and I will not hold the customer responsible for the contractor's failure to collect these funds. I will also not place a lien on the customer's property for outstanding funds that were promised as a utility rebate.

Company Authorized Signatory: \_\_\_\_\_ Date: \_\_\_\_\_



## **Fossil Fuel Conversion Policy**

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

As the Program adjusts to meet New York’s electrification goals, fossil fuel heating and hot water system equipment incentives have been discontinued except in the situations outlined below. In further support of electrification, funds have been allocated for the safe decommissioning of above/underground fuel storage tanks for homes heated with fuel oil to switch to heat pump technology.

### **Eligibility Criteria**

1. Households with existing propane, kerosene, and oil heating equipment are only eligible to receive incentives in the following situations:
  - a. Equipment is being replaced as part of a no heat situation (see [Program Manual](#) Section 5.9 for Tier 1 and Tier 3 heating equipment caps).
  - b. Equipment is being replaced with an air source heat pump. When heat pumps are being installed and the existing heating system will remain as a backup, NYSERDA will provide the contractor with a letter to the oil distributor and a warning tag for the oil inlet.
  - c. Equipment is being replaced with a ground source heat pump and meets cost effectiveness criteria
2. Households with existing natural gas heating equipment are eligible to switch to heat pumps in the following situations:
  - a. Equipment is being replaced with an air source heat pump and meets cost effectiveness criteria
  - b. Equipment is being replaced with a ground source heat pump and meets cost effectiveness criteria
3. The full cost of installation for a fuel conversion must be submitted as part of the workscope submission for review and approval.
4. Fuel conversions of secondary heating systems are not allowed.

Fuel conversion projects not covered under this policy must be submitted to the Program Implementor and will be evaluated on a case-by-case basis. For additional information, please see Section 5.15 of the [Program Manual](#), Eligible Measures List.



## Oil Tank Removal

Additional funding for both Tier 1 and Tier 3 customers has been made available when the oil tank is being removed with the conversion of an oil-heating system to an ASHP/GSHP.

The measure will not be included in project level cost effectiveness calculations when proposed under these conditions. Effective for projects submitted using EmPCalc v8.2 or later.

### Incentive Structure

Tank Location	Incentive Cap	Incentive Information	Example
Above ground	\$2000	Tier 1 (100%)   Tier 3 (50%) Costs beyond caps are responsibility of customer.	<i>Below ground tank removal at cost of \$3600.</i> <ul style="list-style-type: none"> <li>• Tier 1: \$3600 incentive, no customer contribution.</li> <li>• Tier 3: \$1800 incentive, \$1800 customer contribution.</li> </ul>
Below ground	\$5000		

### Workscope Submission

For EmPCalc v8.2 and later, complete all inputs and target in the Oil Tank Removal measure on the Non-Energy Upgrades tab.

If you have any questions regarding this requirement, please reach out to your Account Manager or contact Contractor Support at 800-284-9069 or [support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov).



# NY Residential Existing Homes Energy Pricing

## Utility Fuels

Natural Gas	
Utility Company	\$/Therm
Central Hudson G&E	1.94
ConEdison	2.00
National Grid	1.01
NYSEG	1.08
Rochester Gas & Electric	0.95
Orange & Rockland	1.40
National Fuel Gas	0.96
KEDLI [Keyspan Energy (National Grid)]	1.60
KEDNY [Brooklyn Union Gas (National Grid)]	1.65
St. Lawrence*	1.20
Corning Natural Gas*	1.25

Source: Joint Utilities 2020-2022 SC1 3-Year Average

\* Eligibility is limited to measures not receiving municipal gas incentives. Check with CLEARresult for additional information.

Electricity	
Utility Company	\$/kWh
Central Hudson	0.21
ConEdison NYC	0.26
ConEdison Westchester	0.23
National Grid	0.15
NYSEG	0.15
Rochester Gas & Electric	0.15
Long Island Power Authority	0.23
Orange & Rockland	0.21

Source: Joint Utilities 2020-2022 SC1 3-Year Average

## Delivered Fuels

Home Heating Oil	
Region	\$/gallon
Long Island	5.26
New York City	5.19
Lower Hudson	5.29
Upper Hudson	5.28
Capital District	5.05
North Country	5.24
Central	5.01
Western	5.45
New York State	5.22

Source: NYSERDA New York Home Heating Oil Price Monitoring Program

Kerosene	
Region	\$/gallon
Mid-Hudson	6.81
Capital District	6.44
North Country	6.11
Central	6.23
Western	6.20
New York State	6.38

Source: NYSERDA New York Home Kerosene Monitoring Program

Propane	
Region	\$/gallon
Long Island	4.22
Mid-Hudson	3.81
Capital District	3.27
North Country	3.63
Central	3.31
Western	3.20
New York State	3.55

Source: NYSERDA New York Home Propane Monitoring Program

## Biomass

Hardwood Pellets	
Region	\$/ton
Long Island	346.19
Hudson Valley	339.15
Capital District	324.35
North Country	305.07
Central	293.59
Western	303.75
Statewide	319.15

Source: 2021-2022 2-Year Average

Cord Wood	
Region	\$/cord
Statewide	225.00

## Regions

Region - County	
Region	County
Long Island	Nassau and Suffolk
New York City	Bronx, Kings, New York, Queens, Richmond
Lower Hudson Valley	Dutchess, Putnam, Rockland, Westchester
Upper Hudson Valley	Columbia, Greene, Orange, Sullivan, Ulster
Mid-Hudson/Hudson Valley	Columbia, Dutchess, Greene, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester
Capital District	Albany, Fulton, Montgomery, Rensselaer, Saratoga, Schenectady, Schoharie, Washington
North Country	Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, St. Lawrence, Warren
Central	Broome, Cayuga, Chenango, Cortland, Delaware, Herkimer, Madison, Oneida, Onondaga, Oswego, Otsego, Tioga, Tompkins
Western	Allegany, Cattaraugus, Chautauqua, Chemung, Erie, Genesee, Livingston, Monroe, Niagara, Ontario, Orleans, Schuyler, Seneca, Steuben, Wayne, Wyoming, Yates



## Guidelines for Heating Systems Replacement

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

### Eligibility Criteria

- Propane, Kerosene, Oil Heating Equipment
  1. Not eligible for incentives unless the home is in a no-heat situation during the heating season and the customer has been denied for the Heating Replacement Repair and Replacement benefit. See Section 5.9 of the [Program Manual](#) for additional information.
  2. Customers should be informed on clean heating options through heat pump technology. See Section 5.10 of the [Program Manual](#), Heat Pump Installation Requirements, for additional information.
- Natural Gas Heating Equipment
  1. Replacement heating equipment must be a minimum of 96% efficient **and**
  2. Existing natural gas heating system must be 80% or less efficient **or**
  3. The home is in a no-heat situation during the heating season and the customer has been denied for the Heating Replacement Repair and Replacement benefit. See Section 5.9 of the [Program Manual](#), No Heat Guidelines, for additional information.
  4. For manufactured homes, the replacement heating equipment must be at least 95% efficient and the existing equipment must have an efficient level below 80%.
- Pellet Stoves
  1. The pellet stove offering is outlined in Section 5.8 of the [Program Manual](#), Pellet Stove Guidance.
- In addition to the above, please refer to Section 5.15 of the [Program Manual](#), Eligible Measures and Accessories, for additional information on eligibility requirements.

### Available Incentives:

- Incentives for heating systems, including no-heat projects, are subject to the program heating incentive caps for Tier 1 and Tier 3 projects referenced below.
  1. Tier 1 - \$4,000 per heating system
  2. Tier 3 - \$2,000 per heating system

- Costs above the measure or program caps must be paid directly by the household and may be financed through available NYSERDA sponsored loan options or private lenders.
- Incentives for the heating system conversion includes necessary distribution repairs, gas-piping inside the home, tank decommissioning and removal.
  1. Incentives shall not cover the costs of meter hookups, or any cost related to installing or upgrading gas lines before the meter.
- Participating Contractors with Tier 1 eligible rental units should also reference Section 5.19 -Services to Rental Properties in the [Program Manual](#).

### **Project Documentation**

- It is advantageous to the household if the sizing of the heating system takes into consideration shell measures installed through the program. All projects receiving an incentive must include documentation of attic and wall insulation levels and approximate square footage of un-insulated areas in addition to any required program documentation.

### **Considerations in Developing a Work Scope**

- When possible, heat pump technologies should be considered as an alternative for the replacement of a heating system.
- Participating Contractor must consider the household's ability to maintain the installed system according to manufacturer's recommendations, including filters, valves, etc. when proposing high efficiency equipment.
- A two-stage furnace installation may be considered in situations where insulation work will not be completed immediately after heating system installation.
- NYSERDA reserves the right to obtain additional bids for all proposed work.
- Contractor must consider options for the homes hot water heater. For example, but not limited to:
  1. Ensuring that an atmospheric water heater that is orphaned due to the installation of a high efficiency heating system drafts into a lined chimney and drafts properly according to the current BPI standards.
  2. Water heaters that are dependent on or connected to the heating system (side-arms, etc.) are considered part of the heating system and incentives for replacement are subject to the heating system caps.



3. Incentives are available for Heat Pump Water Heaters (HPWH) and electric resistance hot water heaters
  - a. Electric resistance hot water heaters should only be considered in the following instances:
    - A HPWH cannot be installed
    - The existing hot water heater is non-functional

**Special Considerations for the National Fuel Gas (NFG) Conversion Program:**

- National Fuel Gas is providing funding for heating system conversions to natural gas to a limited number of Tier 1 customers (60% SMI or less) in their utility territory. All program guidelines apply as above, with the exceptions noted below:
- Eligible customers must be a **property owner or renter**;
- Landlords must sign a Rental Property Energy Efficiency Services Agreement and will be responsible to pay 25% of the costs of the heating unit for each rental unit; and
- Participating Contractors must prioritize services to these households over other Tier 1 program referrals.
- Participating Contractors should call (716) 686-6123 (Monday-Friday 7am-6pm) or for after hour emergencies (800) 444-3130 for NFG offerings.

## Direct Install Measures

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

### Customer Eligibility

To receive Direct Install measures, customers will need to complete a [Combined Residential Application](#) and be determined a Tier 1 or Tier 3 customer provided their dwelling has not received similar measures previously from another participating contractor within the last 3 years.

Customers receiving electric service through a municipal electric provider may **not** be eligible for direct install measures. Participating Contractors should check with program implementation staff if they have questions regarding household eligibility. The table below represents the pre-qualified direct install measures, max install quantity and pricing.

### Eligible Direct Install Measures

Measure	Limit
TRM Tier 1- Advanced Power Strip	Limit 2 per home <sup>2</sup>
TRM Tier 2 Advanced Power Strip- <i>AV Use Only</i>	Limit 2 per home <sup>2</sup>
CO Detector	1 per home
Combination CO/Smoke Detector	1 per home in place of a single Smoke & CO detector
DHW Safety Discharge Pipe <sup>1</sup>	1 per DHW
Energy Education	1 per home
Furnace filter Slot Cover <sup>1</sup>	1 per home
Furnace Filter <sup>1</sup>	1 per home
LEDs	16 standard/unlimited candelabra (can include 1 nightlight)
Pipe wrap	Per linear ft, 9 ft max (limited to 6' max hot side and 3' max cold side)
Showerheads (handheld or regular) <sup>1</sup>	Quantity not to exceed the # of people in the home
Smoke Detector	1 per home
Sweep Only <sup>1</sup>	As needed, per door; to exterior or unconditioned space
Thermostats (programmable) <sup>1</sup>	1 per zone
Weather-stripping and Sweep <sup>1</sup>	As needed, per door to exterior or unconditioned space

<sup>1</sup> For renters, the installation of these measures requires landlord permission through the submission of a Rental Property Energy Efficiency Service Agreement found in Section 3 of the [Program Manual](#).

<sup>2</sup> No more than 2 total Advanced Power Strips can be installed per home (i.e. 2 Tier 1s or 2 Tier 2s or 1 Tier 1 and 1 Tier2)

For current pricing of direct install measures, please reference Section 7.1 of the [Program Manual](#).

### **Direct Install Additional Measure Requirements**

Participating Contractors must evaluate and install select measures where appropriate during an energy audit - at no cost to the household. Measure requirements can be found in Section 5.15 and Section 5.18 of the [Program Manual](#).

### **Project Submission Guidelines.**

For Tier 3 Direct Install projects, eligible measures are modeled in EmPCalc v6.9 or later and the incentive is claimed in the Express Audit workflow of the NY HP Portal. Direct Install measures are not deducted from the Assisted Home Performance subsidy caps. EmPCalc v6.9 has a Direct Install program type on the Cover tab. Follow the steps below to enter the eligible measures.

#### **EmPCalc v6.9**

- Select the Assisted Home Performance Direct Install program type on the Cover tab - enter data in all highlighted cells
- Go to the Assisted Home Performance Direct Install tab – Check off or enter the measure or installed quantities
- Click on the “Export CSV File” and save the CSV file to your computer

#### **EmPCalc v8 or later**

- Enter data in all highlighted cells on the Project Information tab
- Go to the Direct Install tab, in Section A only – Check off or enter the measure or installed quantities
- Go to the Summary tab, click on the “Direct Install Worksheet Package (.CSV) and save the CSV file to your computer

### Submission Process

Contractors should follow existing submission requirements as described in the NY HP Portal User Guide ([Program Manual](#) Section 11) to claim the CHA audit incentive. To claim the Direct Install incentive, contractors should answer “Yes” to the Direction Install question and provide the following documentation.

- Signed Certification of Completion found in Section 8 of the [Program Manual](#)
- CSV upload from EmPCalc

### Incentive Payment

Payment of Assisted Home Performance Direct Install Measures will be added to the current Audit incentive payment process and will not impact the current payment timeline. Additional Assisted Home Performance work can be done by creating an Express Contract project and following the existing submission process described in the NY HP Portal User Guide ([Program Manual](#) Section 11).

### **For Tier 1 Projects**

For Tier 1 projects, please refer to [Program Manual](#) Section 11 for project submission and invoicing procedures.

## EmPower NY & Assisted Home Performance with ENERGY STAR® Eligible Measures List

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1 are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

This is a general guide to measures eligible for incentives available for Tier 1 and Tier 3 households. Eligibility may vary based on the energy efficiency requirements for each upgrade type, results of the comprehensive home assessment, fuel type, energy utility, and funding source availability.

Subject to the terms described on pages 1-6, measures marked with a “✓” below are “Prequalified” and eligible for Tier 1 and Tier 3 incentives for income-eligible households and contractor incentives for Tier 3 projects. Tier 1 and Tier 3 projects marked as “Prequalified” below require no additional cost-effectiveness screening. Items on this list without a checkmark, “Standard” measures, may have limited, or not be eligible for, incentives. If the project includes one or more “Standard” upgrades, the project is subject to a project lifetime savings review as described on page 6. For Tier 3 projects, “Prequalified” measures are eligible for contractor incentives. NYSERDA also offers several financing options through NYSERDA’s Green Jobs Green New York (GJGNY) Residential Loan Fund: Smart Energy Loan, On-Bill Recovery (OBR) Loan, Renewable Energy Tax Credit Bridge Loan, Companion Loan. Review the [GJGNY Residential Financing Implementation Manual for Participating Contractors](#) for loan descriptions and requirements. All items listed are eligible for financing, subject to cost-effectiveness requirements.

### **No-Heat Situations**

With the exception of natural gas HVAC equipment, the program will no longer subsidize fossil fuel HVAC equipment unless the home is in an emergency no-heat situation and the customer has either applied for the [Heating Equipment Repair and Replacement \(HERR\)](#) benefit and received a denial letter or discussed the project with implementation staff and the project has been determined ineligible for HERR. Please refer to Section 5.9 of the [Program Manual](#) for No-Heat Guidelines.

! - No Heat Emergency Only

**Table 1. Eligible Measures List**

Eligible Measures		Minimum Efficiency Requirements	Prequalified	Incentive Cap (Tier 1/Tier 3)
Primary Heating and Cooling System <sup>1,2,3</sup>	Air Source Heat Pump (electric split systems) <sup>4</sup>	Listed on <a href="#">NEEP Cold Climate</a> and ENERGY STAR Qualified. Waiver required if dollar savings are not positive.		
	Ground Source Heat Pump	See <a href="#">NYS Clean Heat Program</a> for requirements.		
	Furnace <sup>5,6</sup> – Natural Gas	AFUE 96% with ECM (Mobile Home: AFUE 95% with ECM). Only replacing existing Natural Gas furnace with efficiency of 80% or less.	✓	\$4,000/2,000
	Furnace <sup>5,6,7</sup> – LP	! AFUE 95%		\$4,000/2,000
	Furnace <sup>5,6,7</sup> – Fuel Oil, Kerosene	! AFUE 85%		\$4,000/2,000
	Boiler – Natural Gas Condensing	AFUE 90%. Includes combi-boilers. Only replacing existing Natural Gas boiler with efficiency of 80% or less.	✓	\$4,000/2,000
	Boiler – LP Condensing <sup>7</sup>	! AFUE 90%		\$4,000/2,000
	Boiler – Fuel Oil/Kerosene Condensing <sup>7</sup>	! AFUE 87%		\$4,000/2,000
	Boiler – LP/Natural Gas Non-Condensing <sup>7,8</sup>	! AFUE 85%. Project must include boiler reset control.		\$4,000/2,000
	Boiler – Steam <sup>7</sup>	! AFUE 82% (size must be matched to cumulative capacity of connected radiators, per Institute of Boilers & Radiator Mfrs (IBR) standards).		\$4,000/2,000
	Pellet Stove <sup>9</sup>	EPA certified for particulate matter output of 2.0 grams per hour or less. Replacement of existing less efficient pellet or wood stove model.	✓	\$2,000/1,000
	Pellet Stove-Recycling Fee <sup>9</sup>	An additional \$500 incentive is available if an existing wood stove, pellet stove, or insert (with firebox) is recycled.	✓	\$500
	Central Air Conditioner (split system) <sup>10,11</sup>	AHRI Certificate Required. 14.5 SEER and ENERGY STAR Qualified.		No Incentive
	Room Air Conditioner <sup>12</sup>	ENERGY STAR Qualified. Health & Safety only with a doctor’s note.		\$0/\$250
	Clean & Tune (Gas, Oil) <sup>23</sup>	As needed to correct high smoke or CO issues.	✓	\$200-\$300/\$0
	Distribution Improvements <sup>13</sup>	Installed in accordance with all applicable state and local codes.		
	Heat Pipe Insulation	R-3	✓	
	Duct Sealing	UL 181B mastic or tape; use of “duct tape” is disallowed.		
Duct Insulation	Installed in accordance with all applicable state and local codes.			
Retrofit Electronically Commutated Motor (ECM)	Separate measure for blower fan replacement only. Installed in accordance with all applicable state and local codes.			
Building Shell <sup>14</sup>	Insulation – Cellulose, Fiberglass	See Table 1A for specific R-value requirements. Must be accompanied by blower door assisted air sealing per BPI and program guidelines.	✓	
	Insulation – Spray foam, Foam board <sup>15</sup>	See Table 1A for specific R-value requirements. Must be accompanied by blower door assisted air sealing per BPI and program guidelines.		
	Air Sealing <sup>16</sup>	Supervised by professional; blower door assisted per BPI and program guidelines. Some measures not prequalified.	✓	
	Exterior Doors	ENERGY STAR Qualified. May be subject to SHPO review.		
	Replacement Windows <sup>24</sup>	U Value 0.28, SHGC .032, Air Leakage ≤ 0.3 CFM/ft <sup>2</sup> . Including Jalousie window. May be subject to SHPO review.		
	Movable Window Insulation	R-3		

Eligible Measures		Minimum Efficiency Requirements			Prequalified	Incentive Cap (Tier 1/Tier 3)
Water Heater <sup>2,3,17,18</sup>	Heat Pump Water Heaters <sup>4</sup>	ENERGY STAR Qualified. Installed per manufacturer specifications, use professional discretion when citing.			✓	\$3,000/1,500
	Electric Resistance Storage Tank <sup>18</sup>	Replacement for Health & Safety only. As high an efficiency (UEF) as possible based on product availability.				\$1,250/625
	Natural Gas or Propane Power Vented Storage Tank <sup>18</sup>	Replacement for Health & Safety only.				\$2,000/1,000
		Draw pattern dependent.	≤ 55-gallons	> 55-gallons		
	ENERGY STAR Qualified.	≥ 0.64/0.68 UEF	≥ 0.78/0.80 UEF			
	Mobile Home Storage Tank <sup>18</sup>	Replacement for Health & Safety only. Electric: 0.92 UEF, Mobile Home Rated. Sealed Combustion (Direct Vent): Mobile Home Rated				\$2,000/1,000
Appliances <sup>2,3,19</sup>	Refrigerator	Existing appliance greater than 10 years old. ENERGY STAR Qualified.			✓	NA/\$400
	Freezer	Existing appliance greater than 10 years old. ENERGY STAR Qualified.			✓	NA/\$400
	Dehumidifier	ENERGY STAR Qualified. Can only be installed in basement/crawlspace.			✓	\$400/200
	Air Purifier <sup>20</sup>	Replacement of existing appliance or determined to be medically necessary (Doctor's note required). <a href="#">AHAM Verifide®</a> . <a href="#">Follows EPA Guidance</a> . ENERGY STAR Qualified.				\$250/125
Direct Install <sup>3,21</sup>	LEDs	ENERGY STAR Qualified. Refer to Lighting Guidelines in CRM.			✓	
	DHW Pipe Insulation	R-3. 9' maximum length (3' Cold and 6' Hot) for Direct Install.			✓	NA/\$500
	Low Flow Showerhead	EPA WaterSense: 2.0 gallons per minute. Aerating type showerheads not eligible. Limit one per household member.			✓	
	Advanced Power Strip <sup>22</sup>	Up to 2 Tier 1 or Tier 2 APS replacements that need to provide 1 primary and 3 secondary outlets with at least 1,000 joules of surge protection.			✓	
	DHW Pressure Relief Valve Discharge Pipe				✓	\$25
	Door Sweep	Exterior doors (including to unconditioned spaces ( <i>i.e.</i> , basement)).			✓	NA/\$500
	Weatherstrip	Exterior doors (including to unconditioned spaces ( <i>i.e.</i> , basement)).			✓	NA/\$500
	Detectors - CO & Smoke	UL Listed. When one isn't already present. Limit one per dwelling.			✓	
	Furnace Filter				✓	
	Furnace Filter Slot Cover	When not present or malfunctioning.			✓	
	Programmable Thermostat	5+2 day programmable thermostat including smart thermostat. Limited to one thermostat installed per zone.			✓	

<sup>1</sup> Defined as the primary heating system for the space being conditioned. Addition/replacement of secondary heating systems is not eligible. The new unit must be the primary heat for the space being served.

<sup>2</sup> Costs beyond caps are responsibility of customer.

<sup>3</sup> Specific requirements for ENERGY STAR Qualified products can be found by visiting: <https://www.energystar.gov/products>.

<sup>4</sup> Measures only require positive dollar savings when replacing electric, propane, oil, kerosene, or wood units. Natural gas units require the project lifetime savings to be greater than the Program incentive and have positive energy savings. The home where the heat pump is being installed (heating/cooling only) must meet the minimum insulation level specification set by NYSERDA (see [Program Manual](#) Section 5.10).

<sup>5</sup> When ECM is part of a new furnace, savings must be included in that new unit.

<sup>6</sup> Furnace humidifier costs are required to be included in the new furnace installation costs.

<sup>7</sup> Only eligible for Tier 1 customers in no-heat emergency with [Heating Equipment Repair or Replacement \(HERR\)](#) denial or implementation staff has determined the project ineligible for HERR.

<sup>8</sup> In instances where venting conditions require the installation of a non-condensing boiler, boiler reset controls must be included in the project; tank-less coil DHW is not allowed.



- <sup>9</sup> Pellet stove must supply a primary portion of heat. Listed on [EPA-Certified Wood Stove Database](#) or manufacturer documentation showing that the unit meets requirements.
- <sup>10</sup> Not eligible for program incentives but measure savings can be used to determine project lifetime savings.
- <sup>11</sup> Measure is only eligible when there is a replacement of an existing appliance or existing cooling system.
- <sup>12</sup> Tier 1 customers must be referred to [OTDA Cooling](#) for assistance. If denied, full cost of unit may be covered.
- <sup>13</sup> In instances where an area of a home lacks adequate distribution, installation of new distribution to serve the area is eligible. The area lacking adequate distribution must be located within the pre-existing thermal boundary.
- <sup>14</sup> Moving objects on behalf of the customer costs are required to be included in the insulation installation costs.
- <sup>15</sup> Rim joists and cantilever foam measures are Prequalified.
- <sup>16</sup> The following air sealing measures are NOT Prequalified: Glass block and hopper windows in unconditioned basement space and window glass repair. Incentives for these measures have a per window cap at \$400 for Tier 1 projects \$200 for Tier 3 projects. Measures require project lifetime savings to be greater than the Program incentive. Note that glass block in conditioned space is not an eligible measure and hopper windows in conditioned space must be entered as windows and meet minimum efficiency requirements.
- <sup>17</sup> Use manufacturer’s sizing guidelines or visit <https://www.energy.gov/energysaver/water-heating/sizing-new-water-heater>. For ENERGY STAR criteria, including UEF ratings and draw patterns, visit [energystar.gov/products/water\\_heaters/residential\\_water\\_heaters\\_key\\_product\\_criteria](https://energystar.gov/products/water_heaters/residential_water_heaters_key_product_criteria)
- <sup>18</sup> Incentivized only to correct Health & Safety issues in situations where a HPWH is not a feasible option. Acceptable Health & Safety issues for water heater replacement include: non-operational, leaking and not passing BPI test procedures. Existing fuel type must be used; fuel conversions not allowed. Electric units with burned out electric elements must be replaced with Heat Pump Water Heaters unless the space doesn’t allow for one. Measure will require project lifetime savings to be greater than the Program incentive.
- <sup>19</sup> Defined as the primary appliance located in conditioned space. Only the base price of the appliance plus applicable tax is eligible; delivery, set-up, warranties or appliance accessories, and any associated taxes on these items are not eligible for incentives.
- <sup>20</sup> Utilize [AHAM’s Room Air Cleaner Certification Program](#). CADR ≥ 2/3 of the room’s area.
- <sup>21</sup> See [Program Manual](#) Section 5.14 for additional details on Direct install pricing and procedures.
- <sup>22</sup> Tier 1 APS must be replacement for AV and/or IT equipment plugged in a standard power strip. Tier 2 APS must be replacement for AV equipment only plugged in a standard power strip or Tier 1 APS.
- <sup>23</sup> For Tier 1 households, Clean and Tune pricing is capped at \$300 for oil-fired heating systems and \$200 for natural gas/propane-fired heating systems.
- <sup>24</sup> Incentivized only in situations where window glass is broken or missing, and repair is not a feasible option. A photo of each existing window proposed for replacement must be included with the project’s workscope submission.

**Table 1A. Insulation Requirements**

Insulation Measure	Minimum Efficiency Requirements		
	R-Value	Cellulose / Fiberglass	Spray Foam / Foam board
Attic Entry – Hatch	R-20		Fireproofing when required.
Attic Entry – Pull-Down Stairs	R-13		Fireproofing when required.
Attic Open	R-49		N/A
Attic Floored	Attic Average R-30	Maximum depth of cavity.	N/A
Attic Knee Wall	R-15	Dense packed with air barrier.	Fireproofing when required.
Attic Slopes	Attic Average R-30	Maximum depth of cavity.	Fireproofing when required.
Attic Gable End Walls	R-14	N/A	Fireproofing when required.
Exterior Walls	R-14	Maximum depth of cavity.	
Band Joist	R-14	Maximum depth of cavity.	

Insulation Measure	Minimum Efficiency Requirements		
	R-Value	Cellulose / Fiberglass	Spray Foam / Foam board
Rim Joist	R-14	N/A	
Cantilever	R-21	Maximum depth of cavity.	Fireproofing when required.
Garage Ceiling	R-21	Maximum depth of cavity.	Fireproofing when required.
Crawl Space Ceiling	R-21	Maximum depth of cavity.	Crawlspace must not contain any mechanicals or distribution work. Space must be rendered inaccessible after insulation. Fireproofing when required.
Crawl Space Walls	R-14	N/A	Fireproofing when required.
Foundation (Basement) Walls	R-14	N/A	Down to 2' below grade; Area is not heated, and/or finished as a living space, No Drywall; Fireproofing when required.
Mobile Home Belly	R-21	See specific technical guidance document.	

### **Eligible Health & Safety Measures and Accessories**

All Health and Safety Measures and Accessories must be itemized for the purposes of determining incentive eligibility and a project's cost effectiveness. When projects with the following Health and Safety amounts and all other measures are pre-qualified the projects will be approved without having to pass project level cost effectiveness: Tier 1-\$1,000, Tier 3-\$500.

The costs associated with the installation of certain measures can be included in the related energy saving measure. Items such as high hat covers, weather stripping, and outlet gaskets can be included with air sealing. Baffles, insulation dams, and creating access to the attic can be included with attic insulation.

**Table 2. Eligible Health & Safety Measures and Accessories**

	Eligible Measures	Program Requirements	Prequalified
<b>Health and Safety</b>	Bath Fan: New, Replacement and Venting	Insulated duct in unconditioned space. Vent to exterior in all cases. Installation as needed by signs of moisture.	
	Dryer Vent Repair	Vent to exterior in all cases.	
	Heating/DHW System Repair/Upgrades including CAZ Corrections: Repairs/Upgrades (including power venting kits) to correct carbon monoxide failures, provide sufficient combustion air, prevent CAZ depressurization, spillage or inadequate draft.	Maximum incentives: Tier 1 \$500, Tier 3 \$250. Includes repairs only to exterior wood boilers, not upgrades. Cap exceptions may be considered with a <a href="#">Heating Equipment Repair or Replacement (HERR)</a> denial or implementation staff has determined the project ineligible for HERR.	
	Fuel (gas/oil) Leak Repair	Gas leaks require confirmation with bubble solution.	
	Moisture Barriers, Crawlspace/Vapor Barrier	Required on dirt floors.	
	Heat/Energy Recovery Ventilator	ENERGY STAR Qualified.	
	Ventilation Fans	Make-up air needs to meet ventilation requirements. Whole house fans or similar attic exhaust fans are not eligible.	
	Knob and Tube Wiring Upgrade to install insulation	Performed by licensed electrician. Not cost prohibitive.	
	Chimney Liners and Caps	Only to correct Health & Safety issues.	

Eligible Measures		Program Requirements	Prequalified
	Home Repairs: Due to water damage, molds and mildew, ice dams or other symptoms of poor building performance, if the cause(s) of building performance-related damage are addressed	Includes gutter repair/replacement and roof repair. Mold/mildew abatement must be completed according to New York State law and EPA guidelines.	
	Gas Oven Repair/Replacement	Only to correct Health & Safety issues (CO can't be corrected with a Clean & Tune). Costs beyond caps are responsibility of customer. Maximum incentives: Tier 1 \$500, Tier 3 \$250.	
Health and Safety	Oil Tank Removal or Replacement <sup>2</sup>	Tier 1 only when removal or replacement required by Code or to solve a Health & Safety issue. Tier 1 or 3 eligible when removed with the conversion of an oil-heating system to an ASHP/GSHP (See footnote for caps).	
	Sump Pump: New or Replacement	As needed by signs of moisture.	
	Asbestos Abatement	Work must be completed according to New York State law and EPA guidelines. Not cost prohibitive.	
	Lead Abatement <sup>1</sup>	Work must be completed according to New York State law and EPA guidelines.	No Incentive
	Radon Abatement	Work must be completed according to New York State law and EPA guidelines.	No Incentive
Qualified Accessories	Attic Access	Cutting access and patching or adding insulated hatch only (not stairs).	✓
	Attic Insulation Damming	All hatches where loose fill insulation will be installed, areas adjacent to chimneys, chases, storage, and mechanical platforms.	✓
	Attic Ventilation: baffles, soffit, gable, or ridge vents	Installed in accordance with all applicable state and local codes.	✓
	Attic Storage Platform / Mechanical Access	Storage platform limited to two 8x4 sheets (64 ft <sup>2</sup> ).	
	Drywall Repairs	Includes reinforcing existing surface for dense packing.	
	Thermal Barriers for Spray Foam (drywall/intumescent paint)	Required if area is not permanently sealed or contains mechanicals.	
	Insulation/Debris Removal	As needed to insulate to Program minimum standards. Measure prequalified up to \$500 (Tier 1) or \$250 (Tier 3).	
	Small Job Set Up Fee	Only for project where a total of less than 500 sq ft of insulation is blown.	
	Furnace Humidifier		
	Fuel Conversion Accessories		
	Oil Burner Replacement	No heat emergency only.	
	Boiler Reset Controls	No heat emergency only. Programmed properly per manufacturer's specifications and site conditions.	
	Well Pump Replacement		

<sup>1</sup> Minor remediation under health and safety may be considered at program's discretion to facilitate energy efficiency work.

<sup>2</sup> When removed with conversion of an oil-system to an ASHP/GSHP incentives are capped based on tank location and Tier level: Above ground (\$2000) and Below ground (\$4000) at 100% for Tier 1 and 50% for Tier 3.

### **INCENTIVES**

Tier 1 or Tier 3 income-qualified customers are eligible for incentives toward the energy efficiency work scope for single-family and 2 to 4-family homes per the table below. In the event the Tier 1 cap is exceeded or for the balance of the project cost for Tier 3 projects, the project may be eligible for financing through a Smart Energy or On-Bill Recovery Loan.



Program	Income Qualification	Work Scope Incentive*	Incentive Amount
EmPower NY (Tier 1)	< 60% State Median Income	100%	Please see Section 3.1 of the <a href="#">Program Manual</a> for Tier 1 and Tier 3 Incentive Caps
Assisted HPwES (Tier 3)	60-80% Area Median Income	50%	

\*Unless limited by measure eligibility or price caps.

### Incentive Eligibility

Tier 1 and Tier 3 measure incentives and Tier 3 contractor incentives are available for customers in the following electric utility territories: Central Hudson, Con Edison, National Grid (NYC and Upstate), NYSEG, Orange & Rockland, and Rochester Gas and Electric. Limited Regional Greenhouse Gas Initiative (RGGI) funds are available for eligible measures for customers of municipal electric utilities.

### Contractor Incentive

For Tier 3 projects, contractors can claim an Advanced Modeling Incentive (AMI). The incentive is 5% of the total prequalified measure costs and is capped at \$500.

### PROJECT LIFETIME SAVINGS REVIEW

Projects with non-“Prequalified” measures require the project’s lifetime dollar savings to be greater than 80% of the Tier 1 or Tier 3 incentive. Annual Energy Savings and Effective Useful Life determined by the [New York State Technical Resource Manual \(TRM\)](#).

$$\begin{aligned} & \text{Sum of [Annual Energy (\$) Dollar Savings} \times \text{Effective Useful Life (EUL)]} \\ & > \text{NYSERDA Program Incentive} \times 80\% \end{aligned}$$

### FINANCING OPTIONS

GJGNY Residential Financing is available statewide for all eligible measures that meet the cost-effectiveness standards of the loan product. The GJGNY Residential Financing Program offers GJGNY Loans (Smart Energy, On-Bill Recovery and Renewable Energy Tax Credit Bridge Loan) which are unsecured loans up to twenty-five thousand (\$25,000) dollars for one- to four-family residential energy efficiency improvements or renewable energy system projects. NYSERDA also administers Companion Loans which are funded by the New York Green Bank, a division of NYSERDA. The Companion Loan will be available to Customers that fully utilized the GJGNY Loan for their energy efficiency or renewable energy system project and need additional loan funding to pay for remaining project costs.

For additional information about GJGNY Residential Financing including terms and conditions see the [Residential Financing Implementation Manual](#).



## Determination of Tier 1 and Tier 3 Work Scopes and Incentive Caps

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

### Overview

- A. For an overview of customer incentives, including Tier 1 and Tier 3 project caps, please refer to Section 3.1 of the [Program Manual](#).
- B. For projects with fossil fuel heating equipment, please refer to Section 5.11 of the [Program Manual](#) for project level incentive caps.
- C. For projects with one or more rental units, please refer to Section 5.19 of the [Program Manual](#) for project level incentive caps.
- D. For no heat projects incentive caps, please refer to Section 5.9 of the [Program Manual](#).
- E. For projects with all pre-qualified measures, health and safety measures are capped at \$1,000 per project for Tier 1 eligible households and \$500 per project for Tier 3 eligible households with no additional project level cost effectiveness requirements. For all other scenarios, health and safety measures will be considered as part of the overall project level cost effectiveness.
- F. Program implementation staff will ensure that incentive caps are maintained, and that proposed work scopes are consistent with current guidelines and the needs of the home.
- G. In situations where a Tier 1 project work scope is deemed reasonable, but exceeds funding or timing limits, implementation staff will work with the participating contractor and NYSERDA to review project options, which may include coordinating the project with a Weatherization Assistance Program (WAP) contractor or a program rule exception may be granted at NYSERDA's discretion to allow for program funding above project caps. A program rule exception does not guarantee the same exemption will be approved on similar future projects.

### Direct Install

For all Participating Contractors approved to provide energy efficiency services to Tier 1 and Tier 3 households, at the time of the audit, the household must be evaluated for Direct Install Measures. Please refer to Section 5.14 of the [Program Manual](#) for Direct Install procedures.



### **Additional Measures**

- A. Participating contractors are required to provide audit reports and work scopes for further recommended measures to the program implementer for approval using an approved audit instrument to determine which measures are most cost effective .
- B. In situations where variations in procedure are required, the participating contractor must first discuss and document potential changes with the program implementer.

## Comprehensive Home Energy Assessments

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

The Program offers free Comprehensive Home Energy Assessments eligible Tier 1 and Tier 3 households. For both Tier 1 and Tier 3 households, Program requires that Comprehensive Home Energy Assessments and recommendations for energy efficiency measures be conducted in accordance with all relevant standards published by the Building Performance Institute (BPI). To be eligible for Program incentives and/or financing, recommendations made for proposed energy efficiency measures must meet or exceed the efficiency or eligibility criteria specified by the Program in Section 5.15 of the [Program Manual](#).

The Program has adopted the published BPI-1100 Home Energy Audit Standard. The BPI-1100 Standard describes all elements necessary for a Comprehensive Home Energy Assessment. The BPI-1200 standard complements the BPI-1100 standard and provides the protocols for achieving the requirements of the BPI-1100 standard (i.e. BPI-1100 describes what a comprehensive assessment is, and the BPI-1200 standard describes how to complete the assessment.).

For more information, visit [BPI.org](http://BPI.org).

### General Notes Regarding Comprehensive Home Energy Assessments

- A. Participating Contractor must carry an ID and display it to an appropriate household member prior to entering the home for the first time.
- B. If the Participating Contractor is utilizing a sub-contractor to perform the audit, the household must be informed, and sub-contractor must carry an ID and display it to an appropriate household member prior to entering the home for the first time.
- C. Participating Contractors must provide and carry with them all necessary tools.
- D. If an adult is not home at the time of the audit, the Participating Contractor must not enter the home, but should attempt to contact the customer by close of business that day.
- E. Participating Contractors are not obligated to continue in any situation in which they feel their personal or staff's health or safety is at risk. In situations where a Participating Contractor decides not to proceed with work, all dealings with the household must be courteous and professional. The Participating Contractor must provide the Program with details on why they are not moving forward with the project in a timely manner.

- F. It is very important that the Participating Contractor work directly with the residents of the building. The household is familiar with how the building performs and can provide valuable data as to how well the heating system functions, whether the hot water system satisfies the needs of the family, etc. This contact also provides the opportunity for in-home energy use management education. See Section 7 of the [Program Manual](#) for further details.
- The Participating Contractor shall provide Program participants with a finalized Comprehensive Home Energy Assessment report within 14 calendar days of site visit. The report shall be generated from Program-approved software and include a detailed work scope proposal that identifies measures and pricing for improving the energy efficiency, comfort and safety of the home. The report shall include all energy efficiency, comfort, health and safety opportunities that exist in the home regardless of type of service(s) the Participating Contractor offers (i.e., a Participating Contractor with heating certification needs to identify applicable envelope issues in the report) while adhering to the policies and procedures.
- G. To proceed with a Comprehensive Home Energy Assessment:
- a. **In Owner-Occupied households:** The Participating Contractor must attest to the review of documentation that proves home ownership (deed, mortgage book, tax bill, etc.)
  - b. **In Rental properties:** The Participating Contractor must ensure that the building owner signs a Rental Property Energy Efficiency Services Agreement, found in Section 3 of the [Program Manual](#) prior to completing any invasive work and attest to the review of documentation that proves home ownership (deed, mortgage book, tax bill, etc.) Otherwise, measures are limited to non-invasive direct install/electric reduction measures and tenant owned appliances.
- H. The Participating Contractor must evaluate the home for the opportunity to provide Direct Install measures in accordance with Section 5.14 of the [Program Manual](#).
- I. Section 5.18 of the [Program Manual](#) includes assessment related information regarding appliances, CO/smoke detectors, hot water heater adjustments, air-sealing/insulation, and lighting measures.
- J. For all projects, households are provided with documentation on what measures are approved for incentives by NYSERDA and what if any customer contribution is required. Households can deny any measure from being installed; however, if a household denies a measure required for health and safety requirements, they must be informed that the project cannot proceed if this measure is denied.
- K. Work performed must comply with BPI health and safety standards.
- L. The Participating Contractor must take digital photos to document pre-existing conditions as follows:
- i. All exterior sides of dwelling
  - ii. Refrigerator
  - iii. Freezer (if present)
  - iv. HVAC (Heating and Cooling Systems, Water Heater)
  - v. Pre-existing attic insulation levels



- vi. Other targeted measure(s) for replacement
- vii. Exception requests

**Comprehensive Home Energy Assessments must also consist of the following as appropriate:**

- A. Completion of appropriate signoffs and permissions.
  - i. If a Tier 1 household owns an appliance that is being considered for replacement through EmPower, the Participating Contractor must obtain a signed Appliance Exchange Agreement completed with all required information, including documentation of available spacing for the new appliance.
  - ii. For additional information on Tier 1 incentives for renters, please see section 5.19 of the [Program Manual](#).
- B. Energy education, with a goal of identifying energy-saving actions which the household will commit to completing. (See Section 7 of the [Program Manual](#) for further details).
- C. The installation of direct install measures.
- D. Test of the ambient air for CO/combustible gas if a combustion appliance is present or if the building has an attached garage.
- E. For Tier 1 households, in addition to direct install measures, the following electric reduction measures must be evaluated through the use of an approved audit tool:
  - i. Replacement of refrigerators or freezers
  - ii. Opportunity to reduce or eliminate electric space heater use by enhancing or repairing the main heating system's distribution system, air sealing or insulating.
  - iii. A motion sensor light or timer for a high-wattage outdoor light that is currently left on all night.
  - iv. Repairs to well pump systems that cycle continuously due to a leak in the system
  - v. Heat tape that runs continuously.
  - vi. Leaking hot water pipes or faucets.
  - vii. Occasionally, a Participating Contractor may encounter a home that has been converted from a two family to a one family, but still retains two meters and two accounts. This means that the household is paying two basic service charges instead of one, and probably a higher overall cost per kWh than if the whole house was on one meter. In these situations, Contractor should explore the option of switching the house to one set of meters.
  - viii. Provide advanced power strips for TVs or other appliances to prevent continuous run times.
- F. Any measures/items not on the eligible measures list must be reviewed and approved by program implementation staff prior to installation

**Comprehensive Home Energy Assessments must conform to BPI Standards 1100 and 1200 and consist of all of the above, as well as the following:**

- A. In the event that multiple units exist in the dwelling, and access is available, Participating Contractor must test all units if possible. Notification to the landlord prior to audit can help in obtaining access.
  - i. If the additional unit cannot be tested, Participating Contractor must decide whether to go forward with measures that impact air movement in the dwelling. Contractor should consult with account manager and make notes regarding situation in the NY HP Portal (Uplight).

## Services to 1-4 Unit Rental Properties

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

### **Unit Eligibility**

For Tier 1 and Tier 3 eligible households in 1-4 family homes, if 50% or more of the units are eligible for a specific Tier, then all the units will be considered eligible for that Tier. A Combined Residential Application must be completed for each unit receiving in-unit service, inclusive of Direct Install and comprehensive measures.

When possible, applications for all units should be submitted to the program at the same time with a note stating that this is a multi-unit project.

### **Direct Install and Comprehensive Measures**

For Tier 1 and Tier 3 eligible households, Participating Contractors must evaluate and install select measures, where appropriate, during an energy audit at no cost to the household. For additional information, please refer to Section 5.14 of the [Program Manual](#). Each unit approved for service through the Program will be eligible to receive no-cost Direct Install measures and contractors can claim a separate audit fee.

For comprehensive measures and select Direct Install measures, a Rental Property Energy Efficiency Services Agreement, found in Section 3 of the [Program Manual](#), must be completed by the landlord/building owner and submitted to the program.

Direct Install measures that do not require landlord/building owner approval are as follows:

- Smoke Detector
- Pipe Wrap
- LEDs
- Energy Education
- TRM Tier 1 – Advanced Power Strip
- TRM Tier 2 – Advanced Power Strip – *AV Use Only*
- CO Detector
- Combination CO/Smoke Detector

For additional direct install measures requiring landlord/building owner approval, please see Section 5.14 of the [Program Manual](#).

All measure approvals are subject to program policy, cost, and energy savings requirements. Please see Section 5.15 Eligible Measures and Accessories and Section 5.18 Measures and Installation Criteria of the [Program Manual](#) for additional information.

## Rental Unit Funding Caps

### Tier 1 Eligible Households

- For single-family rental properties, the project funding cap is \$10,000 per project. Heating system replacement measure incentives are capped at \$4,000.
- For 2-4 family rental units, project funding caps are based upon \$10,000 for the initial unit and \$5,000 for each additional unit. Heating system replacement measure incentives are capped at \$8,000, regardless of the number of units.
- For No-Heat project caps, please see Section 5.9 of the [Program Manual](#).
- The building owner is directly responsible for costs exceeding any NYSERDA or externally funded incentives/grants and may be eligible for [financing](#) to pay for the balance of the work.

### Tier 3 Eligible Households

- For single-family rental properties, the project funding cap is \$5,000 per project. Heating system replacement measure incentives are capped at \$2,000 per project.
- For 2-4 family rental units, project funding caps are based upon \$5,000 for the initial unit and \$2,500 for each additional unit. Heating system replacement measure incentives are capped at \$4,000, regardless of the number of units.
- For No-Heat project caps, please see Section 5.9 of the [Program Manual](#).
- The landlord/building owner is directly responsible for costs exceeding any NYSERDA or externally funded incentives/grants and may be eligible for [financing](#) to pay for the balance of the work.

NYSERDA, at its discretion, may cap the total Tier 1/Tier 3 incentives a landlord/building owner receives on an annual basis.

### Landlord/Building owner Contribution-Tier 1 Projects Only

In addition to providing a completed Rental Property Energy Efficiency Services Agreement, in instances where additional measures may be recommended or where the cost of one or more measures causes the project to exceed Tier 1 incentive caps, the landlord/building owner will be responsible for all costs over the incentive amounts.

### Tier 1 and Weatherization Assistance Program (WAP) Coordinated units:

If the household is being served in coordination with WAP, the participating Agency shall follow WAP policies and procedures regarding landlord/building owner authorization, negotiations, and measure installation and or WAP workscope. The Agency must provide the NYSERDA Program Implementer a copy of the WAP approval letter for the project and, if available, a copy of the WAP workscope.

### Procedures

Unless provided by the Participating Contractor, the program implementer will send a Rental Property Energy Efficiency Services Agreement and cover letter to the landlord/building owner. This

agreement allows for a complete energy audit, including heating system inspection and installation of energy efficient measures at no cost to the landlord.

- If such agreements are signed and returned by the landlord/building owner with appropriate documentation, the program implementer will refer the household to a Participating Contractor for an energy audit.
- Upon completion of the audit, the Participating Contractor will propose a workscope to the program implementer.
  1. For Tier 1 Project only, if appliance meets NYSERDA replacement criteria and services are limited to replacement of a landlord-owned refrigerator, the program implementer will refer the project to a vendor who will arrange delivery.
  2. If comprehensive home performance services are considered, the program implementer will evaluate proposed measure and authorize a workscope.
- If the Rental Property Energy Efficiency Services Agreement is not returned within 60 days, the program implementer may assign the project for a non-invasive Direct Install audit where services outlined above may be performed.
- The Participating Contractor is required to notify the landlord/building owner of their portion of the approved project cost.
- The Participating Contractor is responsible to invoice and collect payment of any partial landlord/building owner investment.

### Services to 1-4 Unit Rental Properties

Unit Eligibility	Less than 50% <i>e.g., 1 of 3, 1 of 4</i>		
Income Qualification	Tier 1	Tier 3	HEAP/OTDA
Submission of Combined Residential Application Needed for Units <i>Landlord (LL) occupied properties still require 50% rule to be met for additional incentives.</i>	Separate Application required for <b>each qualified unit being served</b> through the Program (and signed by the customer).		ARPA/OTDA funding may only be used on units for those that qualify for that funding.
Direct Install (DI) Eligibility based on Unit Income <i>Separate applications &amp; projects are required for any unit receiving DI measures</i>	Tier 1: Yes Tier 3: Yes Market Rate: No		Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No
Program Incentives <sup>2</sup> & Caps	Single Family: \$10k 2-4 Unit: \$10k 1st unit, \$5k/additional unit Heating Appliances: Eligible and capped (1 Unit - \$4k, 2-4 - \$8k)	Single Family: \$5k 2-4 Unit: \$5k 1st unit, \$2,500k/additional unit Heating Appliances: Eligible and capped (1 Unit - \$2k, 2-4 - \$4k)	ARPA/OTDA <sup>1</sup> units: \$20k per eligible unit All other units: \$5k/additional unit
Landlord Contribution	100% over cap		

<p><b>Unit Eligibility</b></p>	<p><b>50% or more</b> e.g., 1 of 2, 2/3 of 3, 2/3/4 of 4 If a 3 or 4 unit building has 1 unit that qualifies for Tier 1 AND Tier 3, the whole building would qualify for Tier 3.</p>		
<p><b>Income Qualification</b></p>	<p><b>Tier 1</b></p>	<p><b>Tier 3</b></p>	<p><b>HEAP/OTDA</b></p>
<p><b>Submission of Combined Residential Application Needed for Units Landlord (LL) occupied properties still require 50% rule to be met for additional incentives.</b></p>	<p>Separate Applications required for <b>all units in building</b> (and signed by the customer).</p> <p><i>Each Application will have an Audit/DI project created in Uplight. One of the projects (in an eligible LL or tenant's name) will also include all of the building's measures.</i></p> <p><i>Contractors need to indicate on Application (step 2 of Wizard) which applications are connected so that proper income verification can be completed for that building.</i></p>		<p>ARPA/OTDA funding may only be used on units for those that qualify for that funding.</p>
<p><b>Direct Install (DI) Eligibility based on Unit Income</b> Separate applications &amp; projects are required for any unit receiving DI measures</p>	<p><b>Tier 1:</b> Yes <b>Tier 3:</b> Yes <b>Market Rate:</b> Yes</p>		<p><b>Tier 1:</b> Yes <b>Tier 3:</b> Yes (Non-HEAP/OTDA Funds) <b>Market Rate:</b> No</p>
<p><b>Program Incentives<sup>2</sup> &amp; Caps</b></p>	<p><b>Single Family:</b> \$10k <b>2-4 Unit:</b> \$10k 1st unit, \$5k/additional unit <b>Heating Appliances:</b> Eligible and capped (1 Unit - \$4k, 2-4 - \$8k)</p>	<p><b>Single Family:</b> \$5k <b>2-4 Unit:</b> \$5k 1st unit, \$2,500k/additional unit <b>Heating Appliances:</b> Eligible and capped (1 Unit - \$2k, 2-4 - \$4k)</p>	<p><b>ARPA/OTDA<sup>1</sup> units:</b> \$20k per eligible unit <b>All other units:</b> \$5k/additional unit</p>
<p><b>Landlord Contribution</b></p>	<p>100% over cap</p>		

**1. ARPA/OTDA funding may only be used for measures directly benefitting the qualified unit.**

**2. In No Heat situations, rental properties must be owner occupied and income qualified to be eligible for additional incentives as indicated in Section 5.9 No Heat Guidelines.**



## Project Completion and Invoicing

### **Assisted Home Performance with ENERGY STAR® (AHP)**

Unless alternative agreements are reached with the Program Implementer, AHP jobs must be completed within 120 days of Program Workscope Approval. After 120 days, approved Projects automatically roll back to Workscope HPXML stage in the NY HP Portal and require resubmission for approval.

#### **Project Test-out and Sign-off**

Upon completion of a project, the Participating Contractor must:

- A. Review signed contract to ensure that all contracted work was completed. If any work was not completed, or additional work was performed outside the scope on the original contract, a Change Order or revised contract must be submitted. This requires rolling the project back to Workscope HPXML stage for resubmission and approval.
- B. Ensure that the EmPCalc includes the most current contracted measures. Update air leakage test-out CFM50 number in the Air Sealing measure (if applicable).
- C. Post-inspect all subcontracted work to ensure that work was completed to the program standards.
- D. Complete all test-out procedures as required by BPI.
- E. Complete a [Certificate of Completion Post-Installation Health and Safety Test Results](#) form (if using EmPCalc version 8.1 or earlier) and/or a Post Install Measure Report (if using EmPCalc version 8.2 or later). This form must include results of test-out procedures and must have both pages signed by the applicant, or other adult member of the household, and contractor.

Additional required forms, if applicable:

- 1. AHRI Certificate(s) - <https://www.ahridirectory.org>: If heating or cooling system, or domestic hot water heater, were installed, and AHRI certificate has not been previously submitted:
- 2. [Heat Pump Installation Acknowledgment form](#): If a Heat Pump was installed

If quality issues are identified by the Program Implementer or the Quality Assurance Contractor, the Participating Contractor must make all necessary repairs.

#### **Project Completion Submission**

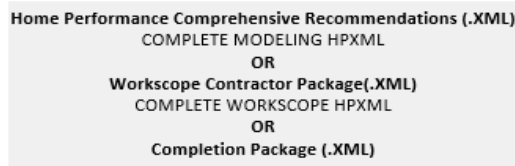
Once all the above has been completed and confirmed, the Participating Contractor must:

- A. In EmPCalc, on the Project Information tab, change the Stage in Workflow to Final Project

Program Information	
Project ID	123456
Tier	Tier 3: 60-80% Area Median Income
Pilot	
Stage in Workflow	Final Project



B. In EmPCalc, on the Summary tab, click on the .XML export button to export the completion HPXML file:



- C. In the HP Portal, complete the Final Project HPXML stage by uploading the completion HPXML file.
- D. In the HP Portal, complete the Final Project Documents stage by uploading the required completion documents described in the “Project test-out and sign-off” section above: signed contract, Change Order (if applicable), Certificate of Completion Post-Installation Health and Safety Test Results form and/or Post Install Measure report, AHRI Certificate (if applicable), Heat Pump Installation Acknowledgement form (if applicable).

### **Invoicing Requirements**

Invoicing and payments of incentives for completed AHP projects are completed on a bi-weekly basis by CLEAResult Shared Services.

The table at the end of this document, Acceptable Completion Forms based on EmPCalc, can be used to ensure the appropriate completion forms are being completed.

### **EmPower New York (EmPower)**

Unless alternative agreements are reached with the Program Implementer, Home Performance projects must be completed within 120 days of Participating Contractor referral acceptance and Audit/Direct Install only projects must be completed within 60 days of Participating Contractor referral acceptance.

The Participating Contractor must invoice within 30 calendar days of completion of all work by the contractor on the project.

### **Project Test-out and Sign-off**

Upon completion of a project, the Participating Contractor must:

- A. Review and correct all necessary EmPower forms. The Participating Contractor must make sure forms are complete and legible. Please note that the participant and the Participating Contractor signatures must be present on documents as required. If the participant of record is not at home to sign documents, the documents must be signed by another appropriate adult in the home, in THEIR OWN name, with a note of the relationship. For example, if the bills are in the name of Frank Smith, and his wife Emily signs, she should sign as follows: “Emily Smith (wife of Frank Smith)”. The use of unauthorized representations of a participant’s signature shall be cause for withholding of Participating Contractor invoice payments and/or termination of the Participating Contractor from the program.
- B. Remove all tools, materials and debris from the building and grounds daily and upon the completion of work. The work site will be left in its original or better condition at the completion of the work.





- C. Post-inspect all subcontracted work to ensure that work was completed to the program standards.
- D. If the Participating Contractor is proposing that further work be completed in the home by other contractors, the Participating Contractor must ensure that Program Implementer is provided with all appropriate information. It is especially crucial that the Appliance Exchange Agreement includes all relevant household data, and that all writing is legible--this form may be sent directly to the appliance vendor and used as the basis for their orders. If the household is in a mobile home park, it is important to note the name of the mobile home park as well.
- E. If Home Performance measures have been installed, complete all test-out procedures as required by BPI.
- F. Complete a Post Install Measure Report with CAZ Testing or Certificate of Completion - Post-Installation Health and Safety Test Results. This form must include results of test-out procedures completed on all jobs, action items resulting from the energy education portion of the energy assessment and must be signed by the applicant or other adult member of the household. Please note that CAZ testing is required to be performed on all Audit/Direct Install jobs, unless the units requiring testing are not accessible. In those instances, notes must be included with the project submission.
- G. Provide the household with the Participating Contractor's contact information. If quality issues are identified by the Program Implementer or the Quality Assurance Contractor, the Participating Contractor must make all necessary repairs.

### **Invoicing Requirements**

Invoices may be submitted upon completion of all work performed by the Participating Contractor and any subcontractors hired by the Participating Contractor to perform work in the dwelling. Invoices for partially completed projects may only be submitted upon prior approval of the Program Implementer.

Upon submission of invoice at Final Project Submission, the Participating Contractor must provide:

- A. Completed EmPower forms as follows (See CRM Section 8):
  - a. Audit Only and Audit/DI Only Projects
    - i. EmPCalc
    - ii. Signed Appliance Exchange Agreement
    - iii. Certificate of Completion: Audit and Direct Install Form – signed by both the applicant and Participating Contractor. This form must include all testing requirements or notes as to why testing was not possible.
  - b. Home Performance Projects
    - i. EmPCalc
    - ii. Signed Appliance Exchange Agreement
    - iii. Pre-Install Measure Report with signatures
    - iv. Post Install Measure Report which includes signatures from the customer and Participating Contractor and all testing requirements.
      - 1. The following will also be accepted:
        - a. Post Install Measure Report without CAZ Testing AND Certificate of Completion with Post-Installation Health and Safety Test Results (page 1)
        - b. OR Certificate of Completion with Post-Installation Health and Safety Test Results (page 1 & 2)
    - v. Photos of Installed Measures



- vi. Contract, if applicable
- vii. Subcontract, if applicable,
- viii. Heat Pump Informational Form, if applicable
- ix. NEC Calculation Worksheet, if applicable
- x. Field Change Order Form, if applicable

- B. WAP and Landlord investment amounts, or other leveraged funding, if applicable
- C. Copies of subcontractor invoices, as requested by Program Implementer

**Acceptable Completion Forms based on EmPCalc**

Completion Forms	EmPCalc v6.x		EmPCalc 8.0-8.1		EmPCalc 8.2+	
	Audit/DI Only	Home Performance	Audit/DI Only	Home Performance	Audit/DI Only	Home Performance
1 - Certificate of Completion - Post-Installation Health and Safety Test Results	Required (p1)	Required (p1&2)	Required (p1)	Will accept (p1&2)	Will accept (p1)	Will accept (p1&2)
2 - Certificate of Completion - Audit & Direct Install	Will accept		Will accept		Required	
3 - Pre-Install Measure Report - Proposed Project		Optional		Required		Required
4a - Post-Install Measure Report - Completed Project		Will accept with p1 of Form #1		Required with p1 of Form #1		Will accept with p1 of Form #1
4b - Post-Install Measure Report - Completed Project (with CAZ Testing)		Will accept		Will accept		Required
<b>ACCEPTABLE FORMS</b>	<b>Need 1 or 2</b>	<b>Need 1 or 4a or 4b</b>	<b>Need 1 or 2</b>	<b>Need 3 AND (4a or 4b or 1)</b>	<b>Need 2 or 1</b>	<b>Need 3 AND (4b or 4a or 1)</b>

## Assisted Home Performance Operational Procedures Overview Guide to Paperwork and Procedures

Event	Description	Documentation	Submit to:
<p><b>A.</b> Customer Intake and Application</p>	<p>The <a href="#">Combined Residential Application</a> allows residents to apply for energy efficiency incentives through either Assisted Home Performance or EmPower New York. These programs are available for income-eligible owners and renters of 1-to-4 family homes and provide no-cost energy audits and incentives toward making your home more comfortable and energy efficient.</p>	<p>Setting up an account and applying online is the fastest way to apply for a no-cost audit and incentives. Once you set up an account you can save your in-progress application, submit your application and supporting documents for review, and check on your application status.</p> <p>The program will no longer except audit only applications initiated in Uplight. A customer must use the Combined Application to qualify for both incentives and an audit.</p>	<p>Customers can set up their accounts online and follow the on-screen instructions to apply.</p> <p>Or if customer's prefer paper applications, they can download a printable application and mail the application to 2 Wall Street, Albany NY 12205</p>
<p><b>B.</b> Comprehensive Energy Assessment Report/develop eligible workscope</p>	<p>Follow Comprehensive Energy Assessment guidelines.</p>	<p>Enter Data into approved modeling software and print out Comprehensive Energy Assessment Report.</p>	<p><b>CLEAR</b>result</p> <p>Customer's utility bills must be submitted, or if unobtainable, the Energy Usage History Waiver Form at time of work scope proposal.</p>

Event	Description	Documentation	Submit to:
<b>C. Complete Sale</b>	Negotiate workscope and prices for eligible measures.	Create a package in approved modeling software that includes the measures and prices that have been negotiated.	<b>CLEAResult</b> Upload workscope package (signed contract optional to upload at this time) to NY HP Portal and follow instructions as detailed in User Guide NY Home Performance Portal.  If there are issues with the job submission, the project is rolled back in the Portal workflow.
	Customer to sign Certificate of Completion (CoC) after approval but before work begins.	Signed contract with customer and contractor signatures. Signed CoC Report with customer and contractor signatures.	
<b>D. Workscope changes</b>	Negotiate change in workscope with customer.	Create amended package in the approved modeling software that includes the changes in measures and prices.	<b>CLEAResult</b> Upload applicable documents including work scope contract and if applicable Change Order Form ( <a href="#">Program Manual</a> Section 8) to NY HP Portal and follow instructions as detailed in User Guide NY Home Performance Portal.  <b>CLEAResult</b> Upload revised package to NY HP Portal or make appropriate changes in modeling software and follow instructions as detailed in the “Change Orders” section in User Guide NY Home Performance Portal. CLEAResult will issue a new approval.
		Change Order Form with customer and contractor signature. Refer to <a href="#">Program Manual</a> Section 8.	
<b>E. Complete Work</b>	Complete work satisfactorily and perform necessary tests.	Update completion package with test out information.	<b>CLEAResult</b> Upload the signed CoC, signed contract, Post Installation Health & Safety Test Results, and completion package to the NY HP Portal and follow instructions as detailed in the “Final Project Submission” section of the User Guide NY Home Performance Portal.  CLEAResult approves Completion or contractor is rolled back in Portal workflow if there are issues with completion.  CLEAResult also approves the project level contractor incentives and submits an invoice to NYSERDA for disbursement of funds to the contractor.
		Signed contract with customer and contractor signatures.	
		Signed CoC with customer and contractor signatures.	
		If applicable, update modeling tool with test out information. Flag improvements as ‘installed’.	



## **Home Performance with ENERGY STAR®** **State Historic Preservation Requirements**

As a result of an agreement between NYSEERDA and the US Department of Energy, effective September 15, 2011, Home Performance with ENERGY STAR (HPwES) projects has screened for compliance with the National Historic Preservation Act. In general, most HPwES projects will not be impacted; however, projects which include window and door measures, on residences greater than 50 years old, where the work will be visible from a public right of way, will require review from the New York State Historic Preservation Office (SHPO) prior to project approval.

Upon submission of a project to CLEAResult for approval, Contractors will be required to answer three screening questions related to the project:

- *Is the building greater than 50 years old?*
- *Will original windows, replacement windows older than 45 years old or doors be replaced as part of the scope of work?*
- *Are the windows or doors to be replaced visible from a public right of way?*

If a Contractor answers “yes” to all three questions, a Project Cover Form must be completed and submitted for the project (see section 8). This form can be submitted to CLEAResult separately, ahead of time, or up-loaded to the Project Portal during the Contract Submission stage. CLEAResult will forward the Project Cover Form to NYSEERDA for review prior to submission to SHPO. All projects that include windows or doors will be flagged by CLEAResult and a hold will be placed on the project until either a negative pre-screening response is received by CLEAResult or a SHPO letter of “no impact” is received. There will be no “auto-approve” option for projects requiring SHPO review. Following review and acceptance of the project work scope by SHPO, NYSEERDA will forward CLEAResult a copy of the SHPO “no impact” letter, releasing the project for work to commence. In the event the project work scope is denied, the contractor will need to revise the work scope in accordance with SHPO requirements.

While window and door replacements are the measures most likely to trigger a SHPO review, all contractors should review NYSEERDA’s list of undertakings, which are activities which have been determined to be exempt from SHPO review. NYSEERDA’s list of exempt undertakings includes any activity referenced in either Appendix A or Appendix B from NYSEERDA’s Programmatic Agreement with the US Department of Energy. If a proposed work scope on a given HPwES project cannot be performed in accordance with NYSEERDA’s list of exempt undertakings, a Project Cover Form should be completed and submitted to the Program.

### **Exemptions from State Historic Preservation Office (SHPO) Review**

NYSEERDA’s list of undertakings which are consider to be exempt from SHPO review include any activity referenced in either Appendix A or Appendix B below. If a proposed work scope on a given HPwES project cannot be performed in accordance with NYSEERDA’s list of exempt undertakings, a Project Cover Form should be completed and submitted to NYSEERDA.



## APPENDIX A – WAP UNDERTAKINGS EXEMPT FROM SECTION 106 REVIEW

All undertakings will be done in accordance with applicable local building codes or the International Building Code, where applicable. In accordance with 36 CFR 800.3(a)(1), the following undertakings have been determined to have no potential to cause effects on historic properties:

### A. Exterior Work

1. Air sealing of the building shell, including caulking, weather-stripping, and other air infiltration control measures on windows and doors, and installing thresholds in a manner that does not harm or obscure historic windows or trim.
2. Thermal insulation (excluding foam insulation), including but not limited to cellulose and non-toxic fiberglass foil wrapped must fill cavity in walls, floors, ceilings, attics, and foundations (excluding exposed masonry walls) in a manner that does not harm or damage historic fabric and ensures free air movement if the space allows for ventilation.
3. Blown in wall insulation where no holes are drilled through exterior siding, or where holes must be filled with wooden plugs, sanded smooth, and primed and painted to match surrounding siding finish.
4. Removable film on windows (if the film is transparent), solar screens applied in a manner that does not harm or obscure historic windows or trim.
5. Reflective roof coating applied where similar products have previously been applied.
6. Storm windows or doors, and wood screen doors in a manner that does not harm or obscure historic windows or trim.
7. In-kind replacement or repair of primary windows, doors and door frames that closely resemble existing substrate and framing.
8. Repair of minor roof and wall leaks prior to insulating attics or walls, provided repairs closely resemble existing surface composite.
9. Replacement of non-original windows installed within the past 45 years.

### B. Interior Work

**Special Note:** Undertakings to interior spaces where the work will not be visible from the public right of way; no structural alterations are made; no demolition of walls, ceilings or floors occurs; no drop ceilings are added; or no walls are leveled with furring or moved, should be automatically excluded from **SHPO** review. This work includes:

#### 1. Energy efficiency work within the building shell:

- a. Thermal insulation (excluding foam insulation), including but not limited to cellulose and non-toxic fiberglass foil wrapped must fill cavity in walls, floors, ceilings, attics, and foundations (excluding exposed masonry walls) in a manner that does not harm or damage historic fabric and ensures free air movement if the space allows for ventilation.
- b. Blown in wall insulation where no decorative plaster is damaged.
- c. Plumbing work, including installation of water heaters where existing venting is used.
- d. Electrical work that does not directly impact historic fabric, including improving lamp efficiency.

- e. Sealing air leaks using weather stripping, door sweeps, and caulk and sealing major air leaks associated with bypasses, ducts, air conditioning units, etc.
  - f. Repair or replace water heaters.
  - g. Adding adjustable speed drives such as fans on air handling units, cooling tower fans, and pumps.
  - h. Install insulation on water heater tanks and water heating pipes.
  - i. Install solar water heating systems, provided the structure is not visible from the public right of way. (See Solar Installation Note)
  - j. Install waste heat recovery devices, including desuperheater water heaters, condensing heat exchangers, heat pump and water heating heat recovery systems, and other energy recovery equipment.
  - k. Repair or replace electric motors and motor controls like variable speed drives.
  - l. Incorporate other lighting technologies such as dimmable ballasts, day lighting controls, and occupant controlled dimming.
- 2. Work on heating and cooling systems:**
- a. Clean, tune, repair or replace heating systems, including furnaces, boilers, heat pumps, vented space heaters, and wood stoves using existing flues and/or exhaust systems and air intakes.
  - b. Clean, tune repair or replace cooling systems, including central air conditioners, window air conditioners, heat pumps, and evaporative coolers using existing air intakes and exhaust systems.
  - c. Install insulation on ducts and heating pipes.
  - d. Conduct other efficiency improvements on heating and cooling systems, including replacing standing pilot lights with electronic ignition devices and installing vent dampers.
  - e. Modify duct and pipe systems so heating and cooling systems operate efficiently and effectively, including adding return ducts, replace diffusers and registers, replace air filters, install thermostatic radiator controls on steam and hot water heating systems.
  - f. Install programmable thermostats, outdoor reset controls, UL listed energy management systems or building automation systems and other HVAC control systems.
- 3. Work on heating and cooling systems:**
- a. Convert incandescent lighting to fluorescent where historic fixtures will not be adversely affected.
  - b. Add reflectors, LED exist signs, efficient HID fixtures, and occupancy (motion) sensors.
  - c. Replace refrigerators and other appliances.
- 4. Work on heating and cooling systems:**
- a. Installing fire, smoke or carbon dioxide detectors/alarms.
  - b. Repair or replace vent systems on fossil-fuel-fired heating systems and water heaters to ensure that combustion gasses draft safely to outside using existing flues and/or exhaust systems and air intakes.
  - c. Install mechanical ventilation, in a manner not visible from the public right of way, to ensure adequate indoor air quality if house is air-sealed to building tightness limit.



## APPENDIX B - SEP AND EECBG UNDERTAKINGS EXEMPT FROM SECTION 106 REVIEW

### A. Category 1 – No Consultation required

In addition to the undertakings provided in *Exhibit A (WAP Undertakings exempt from Section 106 Review)*, DOE and the SHPO have concluded that the following undertakings do not have the potential to cause effects on historic properties per 36 CFR § 800.3(a)(1):

#### 1. General efficiency measures not affecting the exterior of the building:

- a. Energy audits and feasibility studies.
- b. Weatherization of mobile homes and trailers.
- c. Caulking and weather-stripping around doors and windows in a manner that does not harm or obscure historic windows or trim.
- d. Water conservation measures -like low flow faucets, toilets, shower heads, urinals - and distribution device controls.
- e. Repairing or replacing in kind existing driveways, parking areas, and walkways with materials of similar appearance.
- f. Excavating to gain access to existing underground utilities to repair or replace them, provided that the work is performed consistent with previous conditions.
- g. Ventilating crawl spaces.
- h. Replacement of existing HVAC equipment including pumps, motors, boilers, chillers, cooling towers, air handling units, package units, condensers, compressors, heat exchangers that do not require a change to existing ducting, plumbing, electrical, controls or a new location, or if ducting, plumbing, electrical and controls are on the rear of the structure or not visible from any public right of way.
- i. Adding or replacing existing building controls systems including HVAC control systems and the replacement of building-wide pneumatic controls with digital controls, thermostats, dampers, and other individual sensors like smoke detectors and carbon monoxide detectors (wired or non-wired).
- j. New installation of non-hard wired devices including photo-controls, occupancy sensors, carbon dioxide, thermostats, humidity, light meters and other building control sensors, provided the work conforms with applicable state and local permitting requirements and does not adversely impact historic interior finishes.
- k. Adding variable speed drive motors.
- l. Insulation of water heater tanks and pipes.
- m. Furnace or hot water tank replacement that does not require a visible new supply or venting.

#### 2. Insulation measures not affecting the exterior of the building:

- a. Thermal insulation installation in walls, floors and ceilings (excluding spray foam insulation).
- b. Duct sealing, insulation, repair or replacement in unoccupied areas.
- c. Attic insulation with proper ventilation; if under an effective R8 - add additional R-19 or R-30 up to R-38 or R-49 as applicable. (fiberglass bat only)
- d. Band joist insulation - R-II to R19 as applicable.
- e. Water heater tank and pipe insulation.



**3. Electric base load measures not affecting the exterior of the building:**

- a. Appliance replacement (upgrade to ENERGY STAR appliances)
- b. Compact fluorescent light bulbs
- c. Energy efficient light fixtures, including ballasts (Replacement)
- d. LED light fixtures and exit signs (Replacement)
- e. Upgrade exterior lighting (replacement with metal halide bulbs, LEDs, or others) along with ballasts, sensors and energy storage devices not visible from any public right of way.

**B. Category 2 - No Consultation Required if SOI Standards are Adhered to and Verified by Qualified Staff, if Applicable****1. Efficiency and repair measures:**

- a. Painting over previously painted exterior surfaces, provided destructive surface preparation treatments are not used (such as water-blasting, sandblasting and chemical removal).
- b. Installation or replacement of downspout extensions provided that the color of the extensions is historically appropriate for the period and style of the property.
- c. Repairing or upgrading electrical or plumbing systems and installing mechanical equipment, in a manner that does not permanently change the appearance of the interior or exterior of the building.
- d. Installation of new HVAC equipment (such as pumps, motors, boilers, chillers, cooling towers, air handling units, package units, condensers, compressors, or heat exchangers) in a manner that does not permanently change the appearance of the building.
- e. Integrated shingle-style or thin film solar systems on the rear roof of the structure, behind the parapet or not visible from the public right of way. (See Solar Installation Note)
- f. Solar systems (including photovoltaic and solar thermal) not visible from the public right of way and if ground-mounted can be installed without ground disturbance (See VI.D) and if roof-mounted will not require new building reinforcement.
- g. Wind system additions to existing wind power facilities that will not require ground disturbance and if building mounted will not require building reinforcement.
- h. Lead-based paint abatement in accordance with the Standards and Preservation Brief #37.
- i. Building cleaning in accordance with the SOI Standards and NPS Preservation Brief s Numbers 1, 6 and 10.
- j. Repairing masonry, including re-pointing and rebuilding chimneys in accordance with the SOI Standards and NPS Preservation Brief Number 2.
- k. New lighting controls including photo-sensors and shading elements if not visible from the public right of way.
- l. New metering devices in a manner that does not permanently change the appearance of the interior or exterior of the building, or if the addition is on the exterior of the structure and is not visible from the public right of way.
- m. New water efficient fixtures and fittings in a manner that does not permanently change the appearance of the interior or exterior of the building.

**Solar Installation Note:**

1. Buildings less than 50 years old located within a National Register Listed/National Register eligible or Locally Designated Historic District where the application is confined to roof elevations other than the primary façade meets the requirements of Section B – Category 2.
2. Buildings more than 50 years old where the Recipient, in conjunction with Section I.D. and VI.B. of this agreement, has determined that the building is not eligible for inclusion in the National Register of Historic Places meets the requirements of Section B – Category 2.
3. Placement of solar arrays on flat roof with parapets meets the requirements of Section B – Category 2.

**2. Installation or repair of roofing, siding, and ventilation:**

- a. White Roofs, Cool Roofs, Green Roofs, Sod or Grass Roofs not visible from the public right-of-way.
- b. Rainwater catches and/or gray water systems not viewable from the public right of way.
- c. Repair or replacement of existing exterior siding provided that new siding closely resembles the existing siding in dimension, profile and texture.
- d. Flat or shallow pitch roof replacement (shallow pitch is defined as a pitch with a rise-to-run ratio equal to or less than 3" to 12") with no part of the surface of the roof visible from the ground.
- e. Roof repair with materials that closely resemble the historic materials.
- f. Roof replacement where the original roofing material had previously been replaced. New roofing material will be chosen to complement the historic building and should not alter or change the roof line character defining features of the building.
- g. Installing vents (such as continuous ridge vents covered with ridge shingles or boards, roof vents, bath and kitchen vents, soffit and frieze board vents or combustion appliance flues) if not located on a primary roof elevation or not visible from the public right-of-way.
- h. Installing foundation vents, if painted or finished to match the existing foundation material.

**3. Windows and doors:**

- a. Installing storm windows, storm doors or wood-screen doors in a manner that does not harm or obscure historic windows, doors or trim.
- b. Installing insulated exterior replacement doors where the door openings are not altered and are not visible from the public right-of-way.
- c. Routine maintenance of existing windows, including but not limited to painting, glazing treatments (including in-kind glass replacement), weather-stripping or replacing glazing putty that does not change the appearance of the interior or exterior of the building.

## **Weatherization Agency Participation in EmPower New York**

EmPower/Tier 1 eligible households may be served either in coordination with the Weatherization Assistance Program (WAP) or on a fee-for-service basis. A coordinated EmPower/WAP application is available in Section 3 of the [Program Manual](#) for customers who wish to apply for assistance from both WAP and EmPower NY.

- A. Units Coordinated with WAP:
  - a. Work performed on coordinated units must conform to WAP policies and procedures.
  - b. Agencies must follow WAP procedures for the audit. In addition, Agencies must complete EmPower energy education procedures as outlined in Section 7 of the [Program Manual](#), and may install Direct Install Measures per Section 5.14 of the [Program Manual](#). Direct Install measures are allowed under EmPower without prior Program approval.
  - c. If any appliances are tenant-owned, agency must secure a signed EmPower Appliance Exchange Application found in Section 8 of the [Program Manual](#), unless covered by a WAP agreement.
  - d. EmPower will fund cost-effective Direct Install/Electric Reduction measures, such as refrigerator or freezer replacements, LEDs, and comprehensive measures, such as attic and wall insulation, and air sealing measures.
  - e. Audit fees may only be charged if EmPower funding is applied to energy efficiency measures.
  - f. On projects where NYSERDA and WAP funds are being utilized, Participating Contractors are encouraged to maximize the use of funds to provide a whole house comprehensive project. When submitting projects, Participating Contractors should provide a note on what measures are being addressed with WAP funding.
  
- B. Fee-for-service units must be completed according to procedures outlined in this manual. Upon completion of work, NYSERDA reimburses the Agency according to the terms of their current agreement.



## In Home - Energy

The Combined Residential Application determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

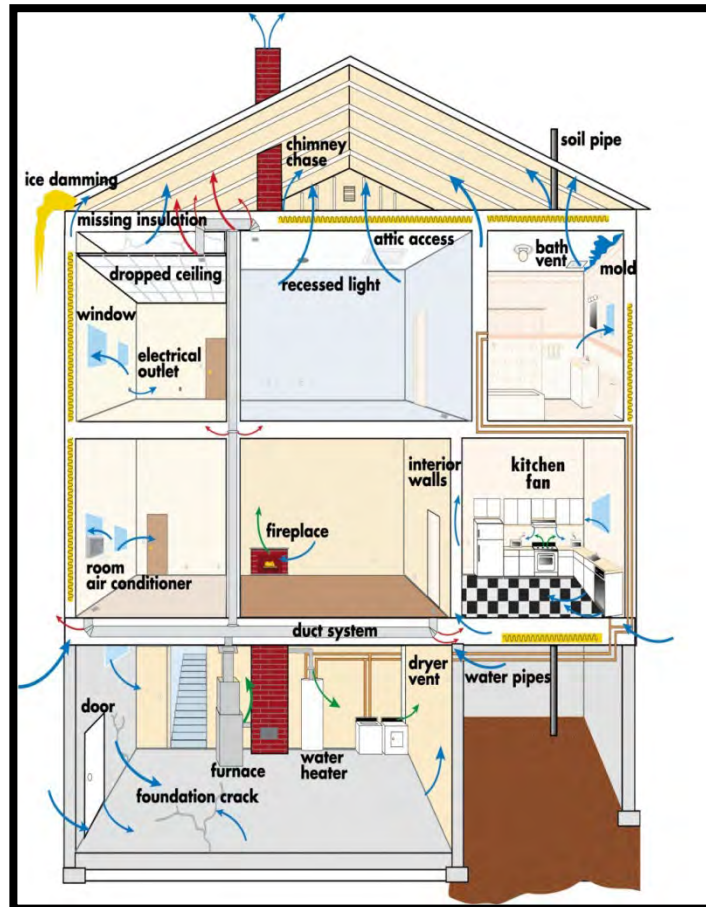
### **Criteria**

- A. For Tier 1 households, in-home energy education is mandatory for all Comprehensive Home Energy Assessments unless household member is unwilling or unable to participate.
- B. While In-home energy education is not required for Comprehensive Home Energy Assessments in Tier 3 households, it is an added value to the customer and is strongly encouraged. In-home energy education is included as part of the no-cost Direct Install Measures. Please see Section 5.14 of the [Program Manual](#) for additional information.

### **Procedures**

Prior to the visit, Participating Contractor must review household information and households' energy usage data, if provided, to determine the household's greatest reduction opportunities.

- A. During the Comprehensive Home Energy Assessment, Participating Contractor must work with the appropriate household member to identify three to five energy saving actions which the household member would be willing to undertake. At the end of the Comprehensive Home Energy Assessment, Participating Contractor must work with the household to implement an "Action Plan". Unless the household member is incapable, this action plan must be filled out by the household member, not the Contractor.
- B. The Action Items must be listed on the Certificate of Completion, found in Section 8 of the [Program Manual](#), which must be left with the household, and a copy must be submitted to the Program Implementer by the Participating Contractor.
- C. It is important that Participating Contractor keep on hand contact information for relevant organization that may be able to offer further assistance in their area, such as the Weatherization Assistance Program, Utility Collections Departments, Offices for the Aging, etc., and provide them to households when needed.
- D. Further details regarding the in-home energy education procedures may be found in the "In-Home Education Guide" located in Section 7 of the [Program Manual](#).



# **In-Home Energy Education Guide**

Updated August 2022

**New York State Energy Research and Development  
Authority**

# In-Home Energy Education Guide

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**NOTE:** Putting colorful reference tabs or dividers between sections of this binder will be helpful for quick reference to each section. Although this guide is meant to be read in its entirety, reference to certain sections before the audit and throughout the audit will help immensely. Large, bold headings are above each section, which starts at the top of the pages listed above are meant to help in finding each section more easily.

# I. INTRODUCTION

This guide was developed as an energy education guide for energy auditors. It includes:

- A step-by-step guide through the energy education process
- Tips on education techniques
- Energy-saving strategies

**The mission is to help families with high energy burdens manage their energy use and costs through energy efficiency education and services.**

## **The goal of In-Home Education:**

Assist the household in identifying 4 concrete actions that will reduce their energy use.

*Success is based on the actions that the household takes as a result of your interaction, NOT on the amount of information you provide.* So it's important that the education process be specific to each home--you will not do everything in this guide every time. As you become familiar with the concepts, you will learn to tailor the process to the household's needs and as you see fit. In doing so, you will increase the effectiveness of NYSERDA's work by helping households make better choices in the ways that they use energy.

This guide **does not** provide extensive technical training on Electric Reduction or Home Performance measures. Further information may be found in the Program Manual, the Building Performance Institute website, and other reliable sources.

Please consult with program staff for further assistance.

## II. METHODOLOGY FOR IN-HOME EDUCATION

Before you begin this process, consider 6 important strategies for making this process more effective:

### 1. **Develop your expertise**

Be knowledgeable about energy efficiency strategies, savings and issues. The better you prepare, the more effective you become at energy efficiency education—and your ideas will encourage the household members to trust you.

If you don't know an answer, don't pretend that you do—just promise that you will find out and get back to them.

Bear in mind that health and safety come first in NYSERDA recommendations.

### 2. **“Partner” with the household**

Remember that the overall goal is to work with the household members to find ways to make energy more affordable. “Partner” with them in this process. If the household feels at ease and is involved in the problem-solving process, they are more likely to follow through.

Your own friendly, respectful attitude will help immensely. Remember that while you may have a greater understanding of the technical aspects of energy efficiency, the household has a greater understanding of their home. Partner with them in solving problems. If you disagree, explore the question in a mutually respectful way.

Hone your communication skills. Avoid using technical terminology that tends to keep households at a distance or communicates “superiority”. Use straightforward language. Review the technical terms that you typically use (such as “infiltration” or “50 pascals”) and substitute simpler terms that are listener-friendly and easier to understand. If you find yourself stumbling over your words, write a script for the concept that you are explaining, and practice it until the words come naturally.

### 3. **Tailor the Inspection to the needs of the household**

Conversations with the household can provide a great deal of useful information about their habits and needs. Review the household



information available on program database before you enter the home, so that you begin with some understanding of the situation.

Listen for their concerns. Think from their perspective, not yours. Be sure to ask them appropriate questions before you provide an answer. Always listen for cues that something is on their mind that they want to talk about. Don't waste time advocating for actions that the household clearly is not going to follow through on.

One key strategy is to ask "open-ended" questions. Open-ended questions are those that require more than a yes-or-no answer. For example, instead of asking, "Is your house comfortable in the winter?" you might ask, "Tell me about how comfortable the rooms are in your house." Open-ended questions lead to a discussion and signal interest in the household.

#### **4. Give the household choices, not obligations**

Rather than presenting the "right or wrong" ways of using energy, give the household alternatives that have real life consequences, such as money saved or increase comfort. This way the household can make informed choices that better suit their needs.

For example, instead of asking the household member, "would you like me to install this LED", you might present the choice as follows: "If you continue to use your old inefficient light bulb, you will pay about \$100 for 10,000 hours of use, and probably buy 9 more light bulbs. If we install this high efficiency light bulb, it will last about 10,000 hours, and you will save about \$75 over the life of the LED, which you can use to help in paying other bills, or to buy things for the kids."

#### **5. Identify incentives**

People need incentives to change behavior. Two principle incentives for change in energy usage behaviors are 1) helping the family feel more comfortable in the home and 2) lowering costs.

Dollar savings provide stronger motivation than kilowatt or therm savings. Estimate a dollar savings whenever possible. Use the energy usage information provided to you, utility bills and your instrumented audit tools to help your accuracy.

## 6. Provide reinforcement for decisions made by the household

If you find that the household is already taking some positive steps, applaud these actions. “I’m glad to hear that you turn down your thermostat at night—that really does help keep your bills down!”

Encourage them to believe that they really can follow through on their actions. “All you have to do is switch your washing machine to cold water and you will save on your bill.”

Avoid using the word “should” --it only produces guilty feelings. **Think mutual support.** Don’t play “gotcha” with the household; it makes you both look bad.

### III. THE ACTION PLAN

As stated in the introduction, the purpose of the education process is to help households reduce energy use to a more affordable level. The “Action Plan” is a key to this process. It keeps the focus on concrete “do-able” actions, which will result in usage. It provides a written document that encourages commitment, and it is a simple list.

The homeowner should be strongly encouraged by their contractor to write down 4 energy saving actions in Action Plan, which is included in the Certificate of Completion. An example Certificate of Completion can be seen on the following page.

After each section of this guide, you will note lists of “Household energy actions” related to that section. Those household energy actions are great suggestions to the household members of what could be included in their action plan, depending what issues they have in their home. A compiled list of these energy actions will be included at the end of the guide.



**Certificate of Completion**  
Post-Installation Health and Safety Test Results

EmPower New York    
  Home Performance with ENERGY STAR®    
  Coordinated AHP/EmPower New York

Customer Name: \_\_\_\_\_ Contractor Name: \_\_\_\_\_  
 EmPower ID #: \_\_\_\_\_ Office Location (if applicable): \_\_\_\_\_  
 Home Performance ID #: \_\_\_\_\_  
 Technician Name: \_\_\_\_\_ BPI ID #: \_\_\_\_\_

WAP Coordination:    
  WAP work complete    
  WAP work in-progress    
  WAP will be completed within 12 months

**A. Customer Education: Energy Savings Action Plan:**  
 To reduce my monthly energy costs, I will take the following actions:

**EmPower ONLY**

**Action 1:** \_\_\_\_\_

**Action 2:** \_\_\_\_\_

**Action 3:** \_\_\_\_\_

**Action 4:** \_\_\_\_\_

If household opts out of Energy Education, have household initial here: \_\_\_\_\_

**B. CUSTOMER STATEMENT AND SIGNATURE**

I, \_\_\_\_\_, attest that my home was left in good condition. I will make my best effort to complete the energy saving actions that I have listed above.

Customer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**C. CAZ TESTING** Test Out Date: \_\_\_\_\_

MVG: \_\_\_\_\_ CFM50     Building Leakage \_\_\_\_\_ CFM50     Fan Ring:  Open     A     B     C

Inside Temp: \_\_\_\_\_ F     Outside Temp: \_\_\_\_\_ F     House Pressure: \_\_\_\_\_ Pa     Fan Pressure: \_\_\_\_\_ Pa

CAZ Test Venting Condition. Select the row that best describes the venting condition in the home and fill in the CAZ Worst Case Depressurization test result in that row.	BPI Limit (PA)	CAZ Worst Case Depressurization (Net)	
		CAZ #1	CAZ #2
Orphan natural draft water heater (including outside chimneys).	-2		
Natural draft boiler or furnace commonly vented with water heater.	-3		
Natural draft boiler or furnace w/ vent damper commonly vented with water heater; Induced draft boiler or furnace commonly vented with water heater; Individual natural draft boiler or furnace.	-5		
Power vented or induced draft boiler or furnace alone.	-15		
Exhaust to chimney-top draft inducer; High static pressure flame retention head oil burner; direct vented appliances; or Sealed combustion appliances.	-50		

CAZ #1 Worst \_\_\_\_\_ -Base \_\_\_\_\_ =Net \_\_\_\_\_ Pa     CAZ #2 Worst \_\_\_\_\_ -Base \_\_\_\_\_ =Net \_\_\_\_\_ Pa

Appliance Type	Draft (during test):		Spillage (during test):		CO Ambient (max.) in living space:	
	Pascals (Pa)	PPM	(Worst Case)	(Natural)	(Worst Case)	(Natural)
Heating System 1	<input type="text"/> Pa	<input type="checkbox"/> Pass/Fail <input type="checkbox"/>	<input type="checkbox"/> Pass/Fail <input type="checkbox"/>	<input type="text"/> PPM	<input type="text"/> PPM	<input type="text"/> PPM
Heating System 2	<input type="text"/> Pa	<input type="checkbox"/> Pass/Fail <input type="checkbox"/>	<input type="checkbox"/> Pass/Fail <input type="checkbox"/>	<input type="text"/> PPM	<input type="text"/> PPM	<input type="text"/> PPM
Water Heater 1	<input type="text"/> Pa	<input type="checkbox"/> Pass/Fail <input type="checkbox"/>	<input type="checkbox"/> Pass/Fail <input type="checkbox"/>	<input type="text"/> PPM	<input type="text"/> PPM	<input type="text"/> PPM
Water Heater 2	<input type="text"/> Pa	<input type="checkbox"/> Pass/Fail <input type="checkbox"/>	<input type="checkbox"/> Pass/Fail <input type="checkbox"/>	<input type="text"/> PPM	<input type="text"/> PPM	<input type="text"/> PPM
Oven	<input type="checkbox"/> Electric	<input type="checkbox"/> Gas w/ no vent	<input type="checkbox"/> Gas w/vent	<input type="text"/> PPM	<input type="text"/> PPM	<input type="text"/> PPM

Contractor: I, \_\_\_\_\_, attest that all measures completed by my company for EmPower New York adhere to current standards defined by the Building Performance Institute (BPI) and the current EmPower New York Program Guidelines. I further attest that, for all Home Performance designated projects, I have conducted the appropriate Combustion Appliance Zone (CAZ) testing and left the home in a safe condition as per BPI Standards.

Technician Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## IV. PREPARING FOR THE VISIT

### 1. REVIEW HOUSEHOLD DATA BEFORE THE AUDIT

Prior to your visit to the home become familiar with available household information. Be sure to read any notes provided by the household, or referral sources.

Whenever possible, obtain energy usage information prior to the visit. If the data is not available beforehand, request that the household provide this information at the time of the audit. Study the patterns of energy use: does the electric use peak in the summer time? Is the natural gas use unusually high in the winter? Describe baseload, factors like an refrigerators/freezers, electric dryer or water heater that is a constant energy burden and those additional items like aquariums or hot tubs that drive up usage. Learning to read the patterns in the monthly usage can greatly enhance the decision-making process. Consult program staff if you need further training on this strategy.

If the household members are tenants, determine whether a landlord agreement is in place. Certain measures, such as LEDs, may be installed without landlord permission; others require it. Refer to program guidelines for details, or consult program staff.

### 3. CONTACT THE HOUSEHOLD TO ARRANGE A VISIT.

During the phone call:

- ❖ Confirm that at least one primary adult household member will be available, but encourage others to participate as well.
- ❖ Emphasize that the visit will be fun and interesting.
- ❖ Review the address and check for directions.
- ❖ Ask them to think about questions or issues that they may have, and write down any issues that they mention. Assure them that you will spend time answering their questions during the visit.
- ❖ Be sure to tell the household about how long the visit will take and emphasize that you will need their attention for the whole time.
- ❖ Be sure that they know the visit will include a tour of the home.
- ❖ Emphasize that there is **no cost to them** for the service. Keep in mind that many sales people make calls like yours; so don't be surprised if they are suspicious.
- ❖ Find out if they have a halogen or incandescent torchiere. If so, and if you carry an inventory, you can bring it along for replacement.
- ❖ Invite the household member to provide you with the refrigerator make and model numbers during the phone call. If it is provided, you may be

- able to evaluate replacement before the visit. However, if it is difficult for the household to find or read these numbers, hold off until the visit.
- ❖ Reassure them that you will be bringing along identification, and suggest that they ask to see this identification when you arrive.

If the audit was scheduled more than a couple of days in advance, be sure to call the household the night before to confirm the arrangements.

## V. GET STARTED IN THE HOME

Carry appropriate referral and emergency numbers with you. Taping them to your clipboard is a great idea. **Be sure that you and the household member are clear as to which of you is going to make the referral.**

The first few minutes of the audit are crucial to setting the tone and establishing trust. Begin the visit by:

1. Display identification at the door, whether the household member asks for it or not.
2. Introduce yourself to all household members you encounter, and help the household member to be comfortable with your visit. The goal should be to begin to build trust, to create buy-in for the program and to establish a dialogue.
3. If refrigerator or freezer metering is to take place, ask if you can install the meter right away, and then do so.
4. Put a thermometer into the freezer and refrigerator compartments. They should stay in at least 10-15 minutes.
5. If there are distractions, such as a blaring TV, don't fight them. Ask politely that the TV be turned off while you are there.
6. Ask the household if you can sit with them for a few minutes and discuss the program.

## VI. THE INITIAL DISCUSSION

1. Give full focus to the household member.
2. Explain that the goal is “to help you to manage your energy use and costs.”
3. Describe the process that will occur during the visit, and the estimated time that it will take.
4. Reassure the household member that there will be no cost for the program (including the measures that you may install during the audit).
5. Initiate a discussion about the home by **asking what actions the household is already taking**. Reinforce their actions or clarify misconceptions.

Questioning can be an uncomfortable process! You may find it less threatening if you begin with small talk, and then some questions that the household can easily answer. Then, move on to “open-ended” questions that call for elaboration rather than just yes-or-no answers.

For this initial discussion, you may keep the questions general; but if the household brings up a specific concern, explore this in more detail. In some cases, you may want to get up and go to the location of the concern to continue the conversation.

**The Teachable Moment:** One helpful education strategy is to focus on a household’s concern immediately: if some issue is on their mind, you may want to stop what you are doing and focus on the issue raised. If the household member says that they are worried about a leak in the bathroom, for example, you might want to stop the interview and go right to the bathroom, take a look and begin to discuss solutions. By doing so, you signal interest in the household’s concerns and may remove a distraction from their mind during your further conversations.

6. If the household has questions about their energy bill, ask them to take out their most recent bill. Identify key features for them such as account number, usage dates, consumption and cost amount, and where to call with questions. Share with the household the results of your analysis of their usage.



**A metaphor for purchasing energy:** Buying energy is like buying groceries from a supermarket where the goods have no price stickers, and the bill comes at the end of the month. By using energy saving estimates you will be helping the household to put price tags on all of the goods.

7. Explain the concept of the Action Plan: that, in addition to the energy measures provided through the program, you are asking them to participate in finding actions that they can take to reduce their energy use. Invite the household member to participate in the walk-through.
8. Provide a clipboard, blank paper and a pen, and invite them to write down ideas. The clipboard provides the household member with a tool for writing down possible actions without committing to them. It also helps them to feel competent and involved. As you tour the home, invite them to note actions in each area that may be good choices for them.

**NOTE:** Be sure to look for clues that the household member may not be literate. If you suspect this to be the case, do not press the issue, and read information to them as appropriate.

9. If the household member is the homeowner, validate ownership by reviewing the appropriate documents. Be sure to have an Owner Agreement form signed.
10. During the discussion, household members may express frustration with their utility bill. Some families may express the belief that their high energy bills are due to faulty wiring or repairs completed on or near their home. In reality, high bills are very rarely due to such causes. If such concerns arise, it can be helpful to review the household's energy use patterns with them: show them the breakdown of their energy use patterns that you've complete prior to the visit. If the need arises, list the appliances in use in their home, and estimate the use of each, using the Energy Wheel or other tools. In many cases you will find that you can account for the usage through these techniques.

**UTILITY RESPONSIBILITY:** People sometimes feel that their utility has been unfair to them because the utility didn't come into the home and solve a problem. "They just looked at the meter and said that there was nothing that they could do!"

Most utility responsibilities really do stop at the meter. Some utilities are not allowed by law to become involved in electrical repairs in the home as it puts them in competition with private contractors. There are liability issues as well. Be careful to represent the utility responsibilities correctly. Consult with your local utility for further information.

## VII. THERMOSTAT INSPECTION

1. In New York State, the highest energy use is typically for home heating. The thermostat is an important place to begin the energy education.
2. Identify for the household the part of the bill that is related to space heating. Breaking out the heating costs beforehand helps move the process along. If accurate usage is not available, work with the household to create a reasonable estimate.
3. Identify current temperatures and setbacks, and note these on the audit form.

### **For Homes with Furnaces and Boilers**

Many people still believe that it is best to keep the thermostat at the same temperature all the time. This is incorrect. It takes less money to warm up a house in the morning than it is to keep it at a higher temperature setting all night long.

### **For Homes with Heat Pumps**

Heat pumps work best when you keep your thermostat at a constant temperature all the time — overnight, when you're out for the day or even away for a day or two. Unlike furnaces and boilers, adjusting your thermostat for short-term situations is not recommended and may lead to higher energy bills.

4. Explore potential additional savings with day or night setbacks.

As a general rule, a household will save about 3% of their heating bill for every degree lower the thermostat is set for 24 hours, and 1% for every degree lower the thermostat is set for 8 hours. Using this data, propose setbacks and estimate savings:

- ❖ If the household is keeping the home at a temperature greater than 68 degrees, propose an overall lower setting. Estimate the savings (number of degrees above 68 times 3%)
- ❖ If the household is out of the house all day, propose a daytime setback (number of degrees below the new overall setting times 1%).
- ❖ If the household keeps the temperature higher at night, propose a nighttime setback (number of degrees below the new overall setting times 1%).

Using the household's current energy bills and unit fuel costs, estimate the savings for these changes. Record this data on the audit form, and share it with the household.

Caution: Seniors often require higher temperatures. Be careful to take health concerns into consideration before recommending setbacks.

5. Proceed to the thermostat and check its functionality:
  - a. Put a thermometer on the wall to double check temperature.
  - b. Check the location. It should be:
    - On an inside wall
    - Not near a heat source such as a register, hot light or kitchen appliance
    - Away from the sun.
6. Ask the household if they have any problems with the thermostat. Make notes and investigate as appropriate.
7. Consider installing a programmable thermostat. Review the functions of the thermostat. **DO NOT INSTALL A PROGRAMMABLE THERMOSTAT UNLESS: (1) YOU HAVE TAUGHT THE FAMILY HOW TO USE IT (2) THE FAMILY IS CLEARLY COMFORTABLE WITH THE CONTROLS AND (3) THE FAMILY INTENDS TO USE THE SETBACK FUNCTIONS.** If you plan to install the thermostat at a later date, bring a practice model and make sure that the household is comfortable using it before you commit to installing it. Here's one way to put to approach the subject:

“Are you comfortable using your cell phone to create a contact and make a call or text?”

CAUTION: If the household has a HEAT PUMP heating system, a special programmable thermostat is required. Some older heating systems operate on a “mili-volt” system that also requires a special thermostat. Consult with your technical staff if these issues arise.

If thermostat setbacks, replacements, repairs or relocations are potential measures, either put them down as program actions, or invite the household member to write them down as household energy actions.

**Household actions related to the thermostat:**

- ✓ **Set the thermostat no higher than 68 degrees** when home and awake.
- ✓ **Turn down the thermostat at night** while sleeping. Put extra blankets on the bed if needed.
- ✓ **Turn down the thermostat when out of the house** for more than 4 hours.
- ✓ **Install a programmable setback thermostat.**
- ✓ **Wear comfortable layers of clothes instead of turning up the thermostat.**
- ✓ **Add rugs to areas with cold floors** in order to increase comfort without turning up the thermostat.
- ✓ **Apply for Weatherization** if household is determined to be low-income, or other helpful programs, if not already participating. Reassure the household that there is not a cost to them.

## VIII. HOT WATER TEST/ USAGE

### 1. Hot water temperature testing

Before going to the basement, suggest a hot water temperature test. If the household decides to lower the temperature, it can be done while in the basement.

- A. Invite the household member to the kitchen sink. Explain that hot water heating is often the second biggest energy user in New York State. If the hot water temperature is higher, lowering the hot water temperature to around 120 degrees can save money.

**CAUTION: Hot water set at 140 or 160 degrees is not only wasteful, but can also cause serious burns to young children.**

- B. Use an accurate thermometer (NOT a temperature card) with a range from at least 32 degrees to 180 degrees.
- C. Have a household member put a cup or glass under the kitchen faucet. Run the water long enough for the water to become hot, and then, with the water running, put the thermometer in the glass. Note the temperature when it stabilizes.
- D. Now ask the household member to adjust the water to the temperature at which they use hot water for bathing. If the household member says that they like a “really hot shower” invite them to demonstrate by setting the temperature at the faucet. Now do the same test and note the difference.
  - You will often find that “a really hot shower” is about 108 degrees! Even if the temperature is set at 120 degrees, there is cold water mixed in. You may point out to the household that if they never run out of hot water and never use the hot unmixed, this is a clue that they can save money by turning it down. This is a good time to discuss the benefits of a water and energy saving showerhead.

### 2. Usage testing and measures

Examine hot water usage with the following tests and inspections. You may use household bill analysis or estimates to underscore the cost of a household's hot water use. As you complete the following audit tasks, include the household member in the evaluation.

- **Test the flow rate of the shower, using a one-gallon milk jug.** Consult the program guidelines for guidance. Install a high-efficiency shower head if usage is greater than 3 gallons per minute, and the household is amenable to the installation.
- **Check faucets for leaks.** Hot water leak repairs may be an acceptable program measure. Use a “drip cup” to estimate losses from hot water leaks and document leak rate on audit paperwork.

**Household energy actions related to water use:**

- ✓ **Set water temperature to approximately 120 degrees.**
- ✓ **Take shorter showers.** If the kids are the culprits here, rewards for shorter showers can have an impact!
- ✓ **Rinse dishes in cold water in a pan, not under running water.**
- ✓ **Repair leaky hot water faucets (if not a program measure).** Repair to cold faucets can also help by reducing a household's water bills.
- ✓ **Install high efficiency showerheads (if not program measures.)**
- ✓ **Insulate 3 feet of input (“cold”) pipe leading into hot water heater, and 6 feet of output (“hot”) pipe (if not a program measure).** Heat in the tank sometime siphons out of the tank into the input pipe as well as the cold pipe.

## IX. BASEMENT INSPECTION

1. Continue the house tour with a visit to the basement, beginning with the heating system. If you are conducting a Home Performance audit, now is the time to inspect and test the heating system, examine the distribution system and foundation.

**CAUTION: If you smell or suspect a natural gas leak have the household contact the local utility immediately.** Most utilities have a policy of quick response to reported natural gas leaks. Consult program guidelines for appropriate procedures for your program.

**Households actions related to heating the home, found in the basement:** (In some situations, these actions may be appropriate program measures; in others, the household may choose to undertake them as energy actions.)

- ✓ **Check the furnace filter every month and change as needed.** If the filter is dirty, you may replace it during the audit (if you have brought along the appropriate size). If the household will take responsibility for this action, show them how to replace the filter:
  - **Provide them with the correct size**, and make sure that they write down the filter size for future reference.
  - **Point out the arrow that indicates filter installation direction.**
  - **If the filter goes into a slot, encourage them to cover the slot with metal tape.** If the slot is left open, air is often drawn from the basement rather than through the return ducts.
- ✓ **Close furnace duct to basement.** Most often, unless the basement is a conditioned space, these ducts can be closed. This will improve heating upstairs.
- ✓ **Adjust duct dampers.** If household has expressed a concern about the distribution of heat to the various rooms (some too hot or too cold) in a house with a forced hot-air system, they may be able to adjust the balance by adjusting duct dampers. Not all systems have this feature so don't be surprised if you don't find it. Be sure to show the household member how to operate the dampers, rather than just doing it for them.
- ✓ **Have a clean-and-tune performed on burner.** If they are using oil it should be done every year; with natural gas, every two to four years. If it

hasn't been done in the last few years, it's an important measure to consider.

- ✓ **Seal gaps in ducts.** This is best done with mastic or metal tape, not duct tape. Caution the household member to wipe the dust off before applying the tape or mastic; otherwise it won't stick.
- ✓ **Eliminate electric heaters used to prevent freezing pipes.** If you find that the household is keeping an electric heater turned on in the basement to prevent pipes from freezing, there might be more low-cost options such as sealing foundation holes or broken windows that cause the freezing, or using heat tape.

## 2. Inspecting Water Heater:

- Examine the tank for leaks. If the water heater is leaking, there is likely to be big savings in replacing it.
- If appropriate, wrap the hot water pipes.
- If you are conducting a Home Performance audit, you must test for back drafting.
- Explore the option of switching an electric water heater to natural gas, if appropriate
- If the household is on a time-of-use rate, explore the option of a timer.

### Household actions related to the water heater:

- ✓ **Show the participating household how to turn down the water heater temperature, and have them do so if appropriate.** You could easily do this yourself; however, it is much better for the household member to learn how to do this. It may help some household members overcome a "block" about touching their heating appliances, and if at a later date they find the need to adjust the temperature again, they can do so without having to call you back.

**CAUTION: If the water heater is electric, make sure that the circuit breaker is off before opening the panels on the tank.**

4. You may encounter the following appliances in the basement. Repair to these appliances may be acceptable program measures, if energy savings can be documented. Consult program staff for guidance. If such measures are not accepted by the program, such actions may be appropriate household actions. Repair or replacement of the following appliances is very rare in program measures.



**Sump pump:** If the discharge hose is leaking, the pump may run continuously. In this situation, repairs to the discharge hose may be an acceptable program measure. (Replacement of failed sump pumps, however, is typically not an acceptable program measure.)

**Well pump:** If the pump is running continuously, a repair may lower the electric bill and prolong the life of the pump.

**Dehumidifiers:** These devices are high energy users. While they are sometimes necessary due to moisture problems in the home, their use can be eliminated or reduced by resolving the moisture problems in the home.

**Household energy actions related to these appliances:**

- ✓ **Repair the discharge hose on a sump pump.**
- ✓ **Repair a well pump.**
- ✓ **Explore ways to solve moisture problems** that create the need for dehumidifiers, such as gutter repairs, bathroom vent use or repairs, or plastic over dirt in crawlspaces.

## X. LAUNDRY

If the washer and dryer are in the basement, now is a good time to explore the options here.

1. Depending on energy costs, family size and program rules, replacement of an electric clothes dryer with a natural gas model may be an appropriate measure. If this measure is under consideration, be sure to identify the number of loads of laundry per week, and determine amount of gas line modification required.
2. Check the dryer exhaust duct. Make sure that it vents outside and is not constrained or clogged.

### **Household energy actions related to laundry:**

- ✓ **Wash clothes in cold water:** Cold water cleans clothes well, and saves money. Recommend that a liquid detergent is used.
- ✓ **Run the washer through a second “spin” cycle:** A second spin cycle drives more moisture out of the clothes and reduces dryer run time.
- ✓ **Clean dryer lint filter after each use:** This protects the dryer and reduces run time.
- ✓ **Use a clothes line outside** in warm weather rather than running the dryer.
- ✓ **Clean dryer exhaust vent, replace vent, or vent dryer to the outside:** If a household member is capable, these may be appropriate actions for the household to undertake. If not, they may be completed through the program.
- ✓ **Wash and dry full loads.**
- ✓ **Do multiple loads—one load immediately after another—whenever possible** to take advantage of residual heat in the dryer.

# XI: TOUR OF THE HOME: GENERAL HEATING AND COOLING

Continue your tour of the home upstairs. As you conduct your energy audit, keep an eye out for energy actions related to heating and cooling.

## Household energy actions related to heating:

- ✓ **Remove obstructions, such as furniture or piles of clothes, from heating registers and radiators.** Air flow is important to efficient heating. In mobile homes, the vents are sometimes blocked with debris in the ducts below. Cleaning objects out can make a big difference in the air flow.
- ✓ **Make sure the fireplace damper is closed.**
- ✓ **DO NOT use an oven as a heat source.** As an auditor, look for alternatives—such as distribution repairs—that can eliminate this need.
- ✓ **Close off unused rooms in home.** Be sure do advise household to close heat registers and keep the door shut.
- ✓ **Install switch and outlet gaskets on exterior walls.** However, if the program will be installing wall insulation, this measure will not be necessary.

## Household energy actions related to cooling:

- ✓ **Use fans instead of air conditioners.**
- ✓ **Apply for Weatherization** if the household qualifies as low-income (if not already done) to insulate walls and/or attic. These measures can reduce cooling load as well as heating load!
- ✓ **Close drapes on sunny days in summer.**
- ✓ **Set air conditioning thermostat no lower than 78 degrees in summer.**
- ✓ **Keep windows and doors closed while an air conditioner is running.**

## **XII: TOUR OF THE HOME: ELECTRIC SPACE HEATERS**

Investigate all electric space heater use. Because the heaters are often small in size, households may believe that they are inexpensive to use. In fact, electric space heaters can add significantly to a household energy bill. If you have completed an analysis of the household electric use, you may be able to identify the winter “spike” in usage created by the space heaters; share this information with the household.

In some cases households resort to the use of electric space heaters because they are in debt to their fuel supplier, who may refuse to make a delivery. If you suspect this to be the case, be sure to counsel the household on the high cost of electric heat. Make sure that they are aware of assistance that may be available to them through HEAP and Emergency HEAP.

If the electric space heaters will continue to be used, review safety considerations: are the heaters positioned an appropriate distance from drapes, bedding and other flammable materials? Check the power cords for fraying and splitting.

If program measures such as insulation, air sealing or distribution repairs may have an impact on the electric space heater use, be sure that the high cost of electric space heat is taken into considerations when prioritizing measures. Look for alternatives that may keep an area warm without electric space heat.

### **Household energy actions related to electric space heater use:**

- ✓ **Eliminate electric space heaters.**
- ✓ **Repairs or enhance the main heating system distribution system.**
- ✓ **Add rugs or wear warmer clothes.**

## **XIII. TOUR OF THE HOME: WINDOWS AND DOORS**

### Household energy actions related to windows:

- ✓ **Make sure all windows and storms are closed tightly in the winter.** Check a few while you are there, and show the household how best to close them up.
- ✓ **Repair broken windows.**
- ✓ **Use rope-caulk to seal cracks.** This action is especially useful to renters. Bring some along with you, and demonstrate its use.
- ✓ **Moving furniture away from drafty windows.**
- ✓ **Open south-facing drapes during the day.**
- ✓ **Close all drapes at night to keep the heat in.**
- ✓ **Remove or cover window air conditioners during the heating season.**
- ✓ **Use Plastic over windows in winter:** Plastic is as good as glass in reducing heat loss. Actually, the material doesn't matter here—it is the additional surfaces that create the insulation. Even thin plastic over the inside of the windows is as good as thick glass in saving energy. Plastic on the inside is as effective as on the outside, and lasts longer.

**A note on replacement windows:** Replacement windows often have a longer payback than other common energy efficiency measures. Be sure to guide your clients toward the program measures that are most cost-effective. If a household is in need of new windows, programs such as Assisted Home Performance with ENERGY STAR can provide a comprehensive home assessment to help prioritize the improvements. Financing may be available.

### Household energy actions related to doors:

- ✓ **Door sweeps:** A “draft dodger” at the bottom of the door can be helpful, but a permanent door sweep is more effective.
- ✓ **Door weather-stripping:** Samples of quality material can help.

## XIV. TOUR OF THE HOME: APPLIANCES

As you tour the home, explore appliance use. While you follow program guidelines for energy measures related to appliances, identify the high use appliances in the home, and look for household strategies for energy savings.

### Household energy actions related to appliances:

- ✓ **Turn off the computer when not in use.** There is a common misconception that turning the computer on and off will damage the hard drive or cause data loss. Households also find it convenient to leave a computer running due to the long startup process. However, leaving a computer turned on over long periods of time can be costly—even in sleep mode.
- ✓ **Operate dishwasher only when full, and use the “no-heat” or “air-dry” settings.** Using a dishwasher once a day rather than washing dishes in the sink multiple times can actually save energy. However, many dishwashers have a heater for drying the dishes. This is typically unnecessary; households can save money by letting the dishes air dry.
- ✓ **If the TV is on for background noise, use a radio instead.** Keep in mind too that the new big-screen TV’s use about twice the energy of the older ones!
- ✓ **If the TV is running all night long, install an inexpensive timer to shut it off when everyone is asleep.** (Newer TV’s often have a timer feature for this.)
- ✓ **Use a microwave instead of a stove-top or oven to heat food.**
- ✓ **Keep the heated waterbed mattress covered.** First offer to replace the heated mattress with a conventional one sized to fit the waterbed frame. If the household insists on keeping it, encourage them to keep it covered.
- ✓ **If a swimming pool pump is in use, put it on a timer and run fewer hours.**
- ✓ **When replacing old appliances, choose an ENERGY STAR model.** These use up to 50% less energy than comparable appliances.

- ✓ **Use power strips to turn off all electronics on a computer or home entertainment setup.** Many of these appliances use electricity when plugged in but turned off. A power strip can eliminate this “phantom load”.

Become familiar with the energy costs of appliances. Tools such as the Energy Wheel, energy usage worksheets used in EmPower and other data can be useful to quantify savings. Study this information.

Again, have the household write down energy actions they will consider.

**Presenting Energy Savings:** Putting the savings in terms of one year or 10 year savings can send a stronger message than daily or monthly savings. For example, you can say that on average a waterbed costs **53 cents** a day (at \$0.13 cents a kWh). Or instead you can suggest that ten years of using a waterbed can cost the household **\$1,950**. Invite the household to consider all of the other household needs that they could spend this money on.

## XV. LIGHTING

1. If the household has purchased or received LEDs, but has not installed them, be sure to do so during the audit.
2. When installing LEDs, choose good locations, and be sure to share your reasoning with the household. They may purchase additional bulbs in the future, so it helps to teach them how and where to install them:
  - ❖ Install the LEDs where the lights are most frequently used.
  - ❖ CAUTION: Do not install the LEDs on circuits with dimmer switches, and caution the household not to do so.
  - ❖ If the household members are renters, remind them that the LEDs are for their benefit, and encourage them to take them away to their next apartment.
  - ❖ Some manufacturers have created LEDs that are very small but provide the same luminescence of the larger ones. Keep a supply of these with you for use in small fixtures.

3. **A HELPFUL FORMULA FOR ESTIMATING LIGHTING SAVINGS:** In all lighting change outs it is helpful to provide the household with an estimate of the savings created by the replacement. The formula for doing so goes like this:

(WATTAGE OF OLD BULBS) - (WATTAGE OF NEW BULBS) x  
 10,000 hours (average life of high efficiency bulbs) x  
 .001 (conversion of Watts to KWH) x  
 (current cost per kWh for electricity excluding the Service Charge.)

Since 10,000 (hours) X .001 (conversion to kWh) = 10, this formula can be simplified to:

(Old Wattage) - (New Wattage) x (Utility Factor: utility kWh unit cost times 10)

**A quick way, then, to provide the household with an estimate of savings is to subtract the post-wattage from the pre-wattage and multiply it by the household's Utility Factor.**

Below are Utility Factors developed for New York State. Source of utility kWh costs: NY Public Service Commission, 2010. Numbers based on average of the two periods. Keep in mind that these numbers are subject to change.



Utility Factors (Utility kWh cost times 10):

Central Hudson G&E:	1.4
ConEd:	1.6
NYSEG:	1.0
National Grid:	1.4
O&R:	2.0
RG&E:	1.1

For example: if a 75 Watt bulb is replaced by a 23 Watt bulb in a NYSEG household:

$$(75-23) \times 1.0 = \$52.00 = \text{savings over the life of the bulb.}$$

**Household energy actions related to lighting:**

- ✓ **Turning off lights that are left on.** Some households have been successful in getting their kids to turn off lights left on by a reward system, rather than nagging. “If I go in your room 3 times this month when you are out and the light is off, I will treat you to \_\_\_\_\_.” The household can fill in the blank.
- ✓ **Downsize lighting.** Are there situations where there are more bulbs in use than are needed? Can fewer bulbs provide sufficient light?
- ✓ **Task lighting.** Look for places where a higher wattage overhead light can be replaced by a lower wattage light, such as a desk lamp, closer to the task being done.
- ✓ **Motion sensors for outdoor lighting.** These are inexpensive to buy, but may require an electrician to do the installation.
- ✓ **Install a night light if lights are left on all night.** Install it for them if this is an acceptable program measure. Calculating the savings with the above formula.
- ✓ **Discontinue the use of halogen torchieres. These lights are costly to use and have been known to cause fires.** If your program allows for replacement with fluorescent models, do so for the household.

## XVI. REFRIGERATORS AND FREEZERS

1. If you are metering these appliances, it is important to let the meter run for as long as possible. If so, it makes sense to leave these appliances for last. As you evaluate them, be sure to include the household in the discussion, and communicate clearly regarding the options under consideration:
  - a. Be sure to explain that appliances are replaced in EXCHANGE for the old appliances—the household must be willing to give up the old unit.
  - b. When evaluating these appliances, take note of their location. Are they directly in the path of a heating vent? Is the freezer kept on a hot sun porch? Moving these appliances may increase their efficiency. On the other hand, if a fridge or freezer is kept in an unconditioned area, such as a garage, the energy use is likely to be very low; the unit should not be considered for replacement.
  - c. Be sure to measure the space available and ensure that the proposed model will fit before recommending an installation.
  - d. Discuss the proposed model with the household and make sure that they agree to the size to be installed.

### Household energy actions related to refrigerators and freezers:

- ✓ **Unplugging a second refrigerator or freezer:** This is a simple, no cost option, and should be encouraged prior to offering an exchange. If the household uses the second appliance during a certain time of the year (for example, immediately after Thanksgiving) suggest that they unplug the appliance for part of the year, and use it only when they need it.
- ✓ **Adjust freezer temperatures:** Check the thermometer that you placed in the freezer: if the temperature is set below zero, adjust it upward to 0 degrees Fahrenheit or slightly higher. (The refrigerator setting should be between 35 and 38 degrees.)
- ✓ **Turn off anti-sweat switch:** Some refrigerators have a small heater to reduce humidity on the front surface. In New York State this is often unnecessary. Show the household how to turn this switch off.
- ✓ **Clean dirty coils:** If the cooling coils are dirty, the household may benefit from cleaning them—especially if they have pets that shed hair. Encourage the household to clean them while you are there, and to check and clean them periodically.



**NYSERDA**

- ✓ **Keep freezer full** (plastic milk jugs full of water).

# XVII. ENERGY EDUCATION WRAP UP

1. **Review and Reinforce:** Review with the household member the measures that you together have identified in the home as potential energy savers. Reinforce the concept of focusing on the big savers.
2. **Assure all concerns and questions have been dealt with:** Review the original list of household concerns and questions, and any issues raised during the audit. Make sure that they have all been dealt with, and ask if the household member has any other questions.
3. **Complete the Action Plan:** Invite them to choose 3 to 5 actions from the notes on their clipboard or from suggestions in this guide that will help them reduce energy and write them down in their Action Plan, located on the Certificate of Completion.

NOTE: The household member should write down the actions, not the auditor.

4. **Be supportive:** Be supportive of their choices. Identify and write down the consequences of their actions. Be as specific as you can.
5. **Explain the next steps:** Explain what follow-through actions you will take through your program. Do not promise any measures—work through the audit and consult with program staff as needed first. If you have made any promises to follow-up with information, etc., be sure to do so.
6. **Leave your contact information:** Be sure to leave the household with your contact information and any appropriate referral information.
7. **Say “Thanks!” and pitch environmental value:** Thank the household for their time and support the good work done today by all of you! Now’s also a good time to pitch for the environmental values of what you are doing. For example: “If everyone in the country installs one high-efficiency light bulb it will eliminate the need for one new power plant.”
8. **Don’t forget anything:** Make sure that all of your audit paperwork is completed. Check to make sure that all appliances and breakers are back on and that you have all of your tools and thermometers before you go!
9. **Reflect:** After you leave, spend a few minutes reflecting on the process. What worked? What didn’t work? If there were concepts you had difficulty



understanding make a note to learn more about the issue. Discuss any concerns with program staff—they are there to help.

*Energy education is like other professions: an ongoing active developing skill. Start by building a strong knowledge base and then adding to your abilities and skills as you go along. Always remember to have fun!*

# XVIII. COMPILED LIST OF HOUSEHOLD ENERGY ACTIONS

## Household energy actions related to the thermostat:

- ✓ **Set the thermostat no higher than 68 degrees** when home and awake.
- ✓ **Turn down the thermostat at night** while sleeping. Put extra blankets on the bed if needed.
- ✓ **Turn down the thermostat when out of the house** for more than 4 hours.
- ✓ **Install a programmable setback thermostat.**
- ✓ **Wear comfortable layers of clothes instead of turning up the thermostat.**
- ✓ **Add rugs to areas with cold floors** in order to increase comfort without turning up the thermostat.
- ✓ **Apply for Weatherization** if household is determined to be low-income, or other helpful programs, if not already participating. Reassure the household that there is no cost to them.

## Households energy actions related to water use:

- ✓ **Set water temperature to approximately 120 degrees.**
- ✓ **Take shorter showers.** If the kids are the culprits here, rewards for shorter showers can have an impact!
- ✓ **Rinse dishes in cold water in a pan, not under running water.**
- ✓ **Repair leaky hot water faucets (if not a program measure).** Repair to cold faucets can also help by reducing a household's water bills.
- ✓ **Install high efficiency showerheads (if not program measures.)**
- ✓ **Wrap electric hot water heaters in unconditioned spaces** (if not a program measure).
- ✓ **Insulate 3 feet of input ("cold") pipe leading into hot water heater, and 6 feet of output ("hot") pipe** (if not a program measure). Heat in the

tank sometime siphons out of the tank into the input pipe as well as the cold pipe.

### **Household energy actions related to these appliances:**

- ✓ **Repair the discharge hose on a sump pump.**
- ✓ **Repair a well pump.**
- ✓ **Explore ways to solve moisture problems** that create the need for dehumidifiers, such as gutter repairs, bathroom vent use or repairs, or plastic over dirt in crawlspaces.

### **Household energy actions related to cooling:**

- ✓ **Use fans instead of air conditioners.**
- ✓ **Apply for Weatherization** if the household qualifies as low-income (if not already done) to insulate walls and/or attic. These measures can reduce cooling load as well as heating load!
- ✓ **Close drapes on sunny days in summer.**
- ✓ **Set air conditioning thermostat no lower than 78 degrees in summer.**
- ✓ **Keep windows and doors closed while an air conditioner is running.**

### **Household energy actions related to electric space heater use:**

- ✓ **Eliminate electric space heaters.**
- ✓ **Repairs or enhance the main heating system distribution system.**
- ✓ **Add rugs or wear warmer clothes.**

### **Household energy actions related to windows:**

- ✓ **Make sure all windows and storms are closed tightly in the winter.** Check a few while you are there, and show the household how best to close them up.
- ✓ **Repair broken windows.**
- ✓ **Use rope-caulk to seal cracks.** This action is especially useful to renters. Bring some along with you, and demonstrate its use.

- ✓ **Moving furniture away from drafty windows.**
- ✓ **Open south-facing drapes during the day.**
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- ✓ **Use Plastic over windows in winter:** Plastic is as good as glass in reducing heat loss. Actually, the material doesn't matter here—it is the additional surfaces that create the insulation. Even thin plastic over the inside of the windows is as good as thick glass in saving energy. Plastic on the inside is as effective as on the outside, and lasts longer.

#### **Household energy actions related to doors:**

- ✓ **Door sweeps:** A “draft dodger” at the bottom of the door can be helpful, but a permanent door sweep is more effective.
- ✓ **Door weather-stripping:** Samples of quality material can help.

#### **Household energy actions related to appliances:**

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- ✓ **Use a microwave instead of a stove-top or oven to heat food.**



- ✓ **Keep the heated waterbed mattress covered.** First offer to replace the heated mattress with a conventional one sized to fit the waterbed frame. If the household insists on keeping it, encourage them to keep it covered.
- ✓ **If a swimming pool pump is in use, put it on a timer and run fewer hours.**
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- ✓ **Task lighting.** Look for places where a higher wattage overhead light can be replaced by a lower wattage light, such as a desk lamp, closer to the task being done.
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- ✓ **Discontinue the use of halogen torchieres.** These lights are costly to use and have been known to cause fires. If your program allows for replacement with fluorescent models, do so for the household.

#### **Household energy actions related to refrigerators and freezers:**

- ✓ **Unplugging a second refrigerator or freezer:** This is a simple, no cost option, and should be encouraged prior to offering an exchange. If the household uses the second appliance during a certain time of the year (for example, immediately after Thanksgiving) suggest that they unplug the appliance for part of the year, and use it only when they need it.
- ✓ **Adjust freezer temperatures:** Check the thermometer that you placed in the freezer: if the temperature is set below zero, adjust it upward to 0 degrees Fahrenheit or slightly higher. (The refrigerator setting should be between 35 and 38 degrees.)
- ✓ **Turn off anti-sweat switch:** Some refrigerators have a small heater to reduce humidity on the front surface. In New York State this is often unnecessary. Show the household how to turn this switch off.
- ✓ **Clean dirty coils:** If the cooling coils are dirty, the household may benefit from cleaning them—especially if they have pets that shed hair. Encourage the household to clean them while you are there, and to check and clean them periodically.
- ✓ **Keep freezer full** (plastic milk jugs full of water).

**AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 PROJECT  
NYSERDA ENERGY EFFICIENCY PROJECTS  
REVIEW COVER FORM**

Please complete this form and attach it to the top of any **and all information submitted to this office** for review. Accurate and complete forms will assist this office in the timely processing and response to your request.

**PROJECT NUMBER**      **PR**      (only if a project was previously submitted)

This is a **new** project (If checked, complete **ALL** the following)

**1. Project Address (See Note 1):**

Include street number, street name and/or County, State or Interstate route number if applicable

**3. City/Town/Village:**

List the correct municipality in which the project is being undertaken. If in a NON-INCORPORATED Hamlet/village, provide the name of the town.

**4. County:**

**5. Federal/State Agency Involvement**

This is a NYSERDA sponsored Energy Efficiency Project that is being funded in whole or in part through the *American Recovery and Reinvestment Act of 2009*.

**6. Home Performance Contractor Contact Information**

**Name:**

**Title:**

**Address:**

**Town/City**

**NY Zip:**

**Phone:**

**E-Mail address:**

*Response letters for this project will be returned to the project contact via-e-mail in PDF format when possible.*

**7. Project Type**

This Home Performance project consists of weatherization activities impacting the exterior of a building which is greater than 50 years old. Portions of this project are visible from public-right of way<sup>1</sup> and/or the planned activities are not exempted from those listed in [Appendix A and B](#) from the Programmatic Agreement between the United States Department of Energy and NYSERDA.

**8. Project Information**

**A. Check all that apply:**

- Work involves the replacement of original windows, replacement windows greater than 45 years old or doors.**
- Work involves any activity which is not exempted from those listed in [Appendix A and B](#) of the Programmatic Agreement between the United States Department of Energy and NYSERDA.**

**Describe proposed scope of work:**

**B. Photographs:** Provide 1-2 clear images of the building involved in the project, showing the location of the work and 1-3 views looking out from the project across the street. Provide photographs of the existing windows and the proposed replacements.

**9. Maps:** Provide a map which clearly indicates the location of the project. If a street view map is provided, make sure the home indicated is the actual home the work is being performed on.

**10. FOR NYSERDA USE ONLY**

- Is the building:**  **Individually listed in the National Register of Historic Places**  
 **Individually designated a Local Landmark**  **In a National Register Listed Historic District**  **In a locally Designated Historic District**  
 **NO**

**TEXT NOTES**

**1. Visible from the public right of way:** If the project can be seen in its *entirety* by a person driving, walking or standing on the sidewalk or street.

## **SUBMISSION INSTRUCTIONS**

**Submit using e-mail:** Link completed version of this form, digital maps (or scanned maps), digital photographs and other relevant material and e-mail to: [Steven.Smith@clearsult.com](mailto:Steven.Smith@clearsult.com), enter **SHPO Review** in the SUBJECT line **OR**

Mail a copy of this form, photographs, maps and other relevant project material to:

**Conservation Services Group (CSG)**  
**2 Wall St.**  
**Albany, New York 12205**

**Attn: Steve Smith**

Please be aware that reviews undertaken by the New York State Historic Preservation Office (SHPO) relate only to Historic/ Cultural resources. They do not include potential environmental impacts to New York State Parkland that may be involved in or near your project. Such impacts must be considered as part of the environmental review of the project pursuant to the State Environmental Quality Review Act (New York Environmental Conservation Law Article 8) and its implementing regulations (6 NYCRR Part 617).

If your project involves or is adjacent to New York State parkland please contact the New York State Office of Parks Recreation and Historic Preservation's Environmental Management Bureau (EMB), Agency Building 1, Empire State Plaza, Albany, New York 12238, (518) 474-0409.

To determine the location of New York State parkland please use the GIS program (See **NOTE 1** above).



**Field Change Order (FCO)**

Home Performance with ENERGY STAR® FCO# \_\_\_\_\_

**To Be Completed For Home Performance with ENERGY STAR Contract Changes**

This agreement is made between \_\_\_\_\_ (hereinafter called Home Performance Contractor) and \_\_\_\_\_ (hereinafter called Homeowner), to allow for additions or subtractions to the services specified in the Home Performance Contractor's original estimate, also attached.

The agreed upon changes to scope of work and/or Home Performance Contractor charges are as follows:

**Please specify efficiency level (e.g., AFUE, SEER, R-Value).**

_____	\$	_____
_____	\$	_____
_____	\$	_____
_____	\$	_____
_____	\$	_____
	<b>Difference from Original Estimate:</b>	<b>\$</b> _____

All other terms of the attached estimate are also incorporated into this Field Change Order. In order to be eligible for program incentives, the additional work authorized by this Field Change Order **requires** Home Performance with ENERGY STAR Program approval prior to work being performed. Failure to notify program of change prior to work being performed will result in forfeiture of incentives covering the work authorized herein.

If the work is to be financed through NY Home Performance with ENERGY STAR Financing, the Customer must also complete and sign a revised **Loan Agreement for NY Home Performance with ENERGY STAR Financing**. The revised Loan Agreement will combine the original contract amount, as well as all Change Orders. Until and unless the revised Loan Agreement is executed, Contractor will only receive payment for work that received prior approval. Payment of any additional amount is the responsibility of the Customer.

**IN WITNESS WHEREOF**, the parties have executed this contract as of the date written below.

_____	_____
Homeowner	Home Performance Contractor
_____	_____
Address	Company Name
_____	_____
Date	Date

**Please submit this form through NY HP Portal**



Certificate of Completion - Audit & Direct Install

Section 1. Customer and Contractor Information

Table with 2 columns: Field Name (Customer Name, Customer Building Address, Customer Mailing Address, Project ID, Contractor Name) and empty input field.

WAP Coordination [ ] WAP work complete [ ] WAP work in-progress [ ] WAP will be completed within 12 months

Section 2. Customer Education: Energy Savings Action Plan

Table with 2 columns: Action (Action 1-4) and empty input field for actions to reduce energy costs.

If household opts out of Energy Education, have household initial here: [ ]

Section 3. Energy Saving Direct Install Measures

Table with 8 columns: Measure Name, Installation Status >>, Yes, No, Measure Name, Installation Status >>, Yes, No. Lists measures like LEDs, Power Strips, etc.

Direct Install measures are provided at no cost to eligible customers. Customers receiving electric service through a municipal electric provider may not be eligible for direct install measures. \*For renters, the installation of these measures require landlord permission through the submission of a Rental Property Energy Efficiency Service Agreement.

Section 4. Customer Statement and Signature

I, \_\_\_\_\_ attest that my home was left in good condition. I will make my best effort to complete the energy savings action that I listed above. As part of the comprehensive home energy audit, the contractor installed the energy saving and/or direct install measures listed above unless I declined or there was no opportunity to install the specific measures.

Customer's Name (Print)

SIGNATURE

Date



Section 5. Building Leakage & Combustion Appliance Zone (CAZ) Testing

Blower Door Testing table with fields: Test Out Date, Inside Temperature, Outside Temperature, Worst Case Depressurization, Minimum Ventilation Guideline, Building Leakage, House Pressure, Fan Ring, Fan Pressure.

Combustion Appliance Zone (CAZ) Testing table with columns: Appliance Type, Electric, Spillage (Worst Case), Spillage (Natural), CO (Worst Case), (CO) Natural. Rows include Heating System 1, Heating System 2, Water Heater 1, Water Heater 2, and Oven.

Note testing not completed and reasons why below. Includes checkboxes for No Blower Door Testing and No CAZ Testing.

Contractor: I, \_\_\_\_\_ attest that all measures installed through AHP and/or EmPower adhere to current AHP/EmPower program guidelines. I further attest that, for all AHP/EmPower projects, I have conducted the appropriate Combustion Appliance Zone (CAZ) testing and left the home in a safe condition as per program requirements.

Technician Name (Print)

Technician SIGNATURE

Date





## NY Home Performance with ENERGY STAR®

### Project Incentives and Financing Eligibility Summary Report

Participating in NY Home Performance with ENERGY STAR (HPwES) is an important step to reducing your energy costs and creating a healthier, more comfortable home. This report provides a summary of your approved project, including the incentives you are eligible to receive and your selected financing package. Before signing, please review this entire report, including the terms and conditions.

#### Section 1. Customer and Contractor Information

<b>Customer Name</b>	John Smith	<b>Home Performance Contractor Name</b>	Acme Company
<b>Customer Building Address</b>	1 Main Street, City NY 00000	<b>Customer Mailing Address</b>	1 Main Street, City NY 00000
<b>Project ID</b>	1234567		

#### Section 2. Project Information and Scope of Work

<b>HPwES Project Approval Valid Until</b>	Sept. 12, 2016	<b>Existing Primary Heating Fuel Type</b>	Fuel Oil
<b>Amount of Work Eligible for Incentives</b>	\$10,008.40	<b>Fuel Switch (Yes/No)</b>	No

<b>Energy Efficiency Improvement</b>	<b>Eligible for HPwES Incentives (if applicable)</b>	<b>Loan Eligible (if applicable)</b>
Insulation - Attic - R-Value Unqualified	Yes	No
Insulation - Exterior Wall - R-Value Unqualified	Yes	No
Insulation - Foundation Wall - R-Value Unqualified	Yes	No

**Section 3. Customer Incentives**

<b>Available Customer Incentive</b>	<b>Total Amount</b>
High Efficiency Measure Incentive	N/A
Assisted Home Performance Incentive	\$5,000.00
PSEG Long Island High Efficiency Measure Incentive	N/A
Utility Rebate	N/A
Grant	N/A

**Section 4. Financing Information (If Applicable)**

<b>Loan Type</b>	N/A
<b>Total HPwES Project Amount</b>	\$10,148.40
<b>Amount of Total Incentives</b>	\$5,000.00
<b>Customer Contribution/Out of Pocket Expense</b>	\$5,148.40
<b>Loan Amount*</b>	N/A

\* This loan amount includes the \$150 loan processing fee. The actual loan amount may vary.

<b>Monthly Loan Payment Amount</b>	N/A	<b>Interest Rate (APR)</b>	N/A
<b>Monthly Dollar Savings</b>	N/A	<b>Loan Term (in years)</b>	N/A
<b>Monthly Cash Flow</b>	N/A	<b>Simple Payback Period (in years)</b>	N/A
<b>Savings to Investment Ratio (SIR)</b>	N/A	<b>Average Measure Life of the Project (in years)</b>	N/A

**OBR Charge to Appear on Utility Bill From:** N/A



**Section 5. Certificate of Completion - Read and Sign after Work is Completed**

Note to Customer: Please read the following statements before signing. By signing this document, you are attesting that all work has been completed pursuant to your contract. If any part of the work has not been completed, please indicate below. If you have any questions or concerns about any aspect of the work performed, you should resolve them with your contractor BEFORE signing this form.

All work has been completed, with the exception of the following:

\_\_\_\_\_  
\_\_\_\_\_

Contractor agrees to complete these items and will notify CSG upon their completion. Job will not be credited fully as a completed until the Contractor and Customer sign a new Certificate of Completion that has no pending items.

Contractor Initials: \_\_\_\_\_

**Warranty**

Contractor warrants that the work and the equipment furnished in this installation job comply with the requirements as outlined in the Contractor Participation Agreement with NYSERDA. In the event that any defect in workmanship or equipment is discovered within one (1) year after payment authorization, the Contractor will remedy, repair, correct, or cause to be remedied, repaired, corrected, or replaced at Contractor's expense such defect in equipment or workmanship. The foregoing warranty survives any inspection NYSERDA may elect to make.

**Lien Waiver**

WORK AND EQUIPMENT COVERED BY Home Performance with ENERGY STAR Program FINANCING OR ASSISTED HOME PERFORMANCE SUBSIDY: Contractor hereby waives and releases any and all lien or claim of, or right, to lien, under laws relating to mechanics liens with respect to and on the property referenced above.

WORK AND EQUIPMENT NOT COVERED BY HPwES FINANCING: Said waiver does not apply to any work and equipment furnished in this installation job that is not financed by the HPwES Loan or an Assisted Home Performance Subsidy. Any costs incurred by Customer exceeding the sum of the HPwES Loan and the Assisted Home Performance Subsidy, or financed by any means other than HPwES Financing or an Assisted Home Performance Subsidy, are subject to a mechanics lien or claim under applicable laws relating to mechanics liens with respect to and on the property referenced above.

**Customer Affirmation**

**Customer's Acceptance of Work Scope**

The energy efficiency upgrades to be installed in the property as well as any applicable incentives, loan, and/or subsidy stated on pages 1 and 2 herein have been explained thoroughly by the Contractor, are satisfactory, and are hereby accepted. This report accurately describes the work as agreed to through the contract between me and the Home Performance Contractor. The Home Performance Contractor is authorized to do the work as specified in the contract that has been provided to me by my contractor.

**Program Quality Assurance and Evaluation**

I agree to participate in program quality assurance and evaluation activities. The purposes of these activities are to provide the Program Administrators with an opportunity to ensure that the eligible measures are installed consistent with program standards, to assess energy savings and to evaluate program effectiveness. Program quality assurance and evaluation activities may include on-site visits, questionnaires and interviews.

As a value added service, the NY Home Performance with ENERGY STAR Program offers participants the option of having a post-completion inspection performed on their home. If you are interested in receiving this valuable, FREE service, please call 1-866-NYSERDA to schedule an appointment. Availability depends upon number of requests received.

**Customer Statement**

The undersigned hereby certifies personal ownership of the home specified above, that all materials and equipment included in the construction contract (work order, job order, bid summary, proposal, invoice, etc.) have been furnished and installed by the Contractor, and that the work has been completed pursuant to the contract. In addition, I have not obtained the benefit of and will not receive any cash payment, rebate, cash bonus, sales commission, or anything from the contractor as inducement to enter into the HPwES Agreement or to proceed with work. If there is a HPwES Loan agreement, I also agree to the terms specified in the HPwES Loan Agreement and authorize payment to the above Contractor.

Yes, I have received a copy of the Comprehensive Home Energy Assessment report.

\_\_\_\_\_  
Homeowner's Name (Print)                      SIGNATURE                      Date

\_\_\_\_\_  
Contractor's Business Name (Print)                      SIGNATURE                      Date

# Home Performance with ENERGY STAR<sup>®</sup> Customer Information Form



**NYSERDA**

Participating contractors in the NY Home Performance with ENERGY STAR Program are **independent** home improvement contractors. Participating contractors are required to be a Building Performance Institute GoldStar Contractor. BPI is a national resource for building science technology that sets standards for assessing and improving the energy performance of homes. The contractors who participate in the program are solely responsible to provide warranty of their work for one year. Neither NYSERDA, nor any of its designees, provide warranties on the products or services of participating contractors.

## Section I. Contractor and Utility Account Holder Information

Customer Name

Customer Address:

City  Zip

Contractor Company Name

## Section II. Selected Customer Incentive

- Assisted Home Performance Incentive *(customer must meet income eligibility requirements).*
- Smart Energy Loan, originated by Energy Finance Solutions *(customer must meet all eligibility requirements).*
- On-Bill Recovery Loan, originated by Energy Finance Solutions *(customer must meet all eligibility requirements).*

I acknowledge that funding for the 50% Assisted Home Performance Incentive is limited and available on a first come, first served basis contingent upon funding availability.

Customer Initials

## Section III. Customer Signature

### Financial Incentive/Rebate Payment Coordination

I authorize NYSERDA, or its designee, to release my participant information (name, address, phone number, and installed eligible measure) to my utility(s) to verify program eligibility and to ensure proper payment/accounting of payments or incentives from similarly funded programs. Except in limited circumstances as provided by special agreement with PSEGLI, customers are not eligible to receive financial incentive rebates for the same eligible measure from NYSERDA and an electric or natural gas utility. However, a Green Jobs-Green New York loan may be utilized to finance work after all applicable NYSERDA and Utility incentives have been deducted from the contract cost.

### Utility Information - Enter in electric utility territory & primary heating fuel information below

Electric Utility Territory		Gas Utility Territory	
<input type="checkbox"/> Central Hudson G&E	<input type="checkbox"/> NYSEG	<input type="checkbox"/> Central Hudson G&E	<input type="checkbox"/> National Grid - Upstate
<input type="checkbox"/> Consolidated Edison	<input type="checkbox"/> Orange & Rockland	<input type="checkbox"/> Consolidated Edison	<input type="checkbox"/> NYSEG
<input type="checkbox"/> National Grid	<input type="checkbox"/> Rochester G&E	<input type="checkbox"/> Corning Gas	<input type="checkbox"/> Orange & Rockland
<input type="checkbox"/> PSEGLI		<input type="checkbox"/> National Fuel	<input type="checkbox"/> Rochester G&E
<input type="checkbox"/> Other Electric Utility Name: <input type="text"/>		<input type="checkbox"/> National Grid - LI	<input type="checkbox"/> St. Lawrence Gas
		<input type="checkbox"/> National Grid - NYC	
Electric Account Number: <input type="text"/>		Gas Account Number: <input type="text"/>	
Other Heating Fuel Type: <input type="text"/>	Other Heating Fuel Provider: <input type="text"/>		
	Account Number: <input type="text"/>		

I hereby authorize the energy suppliers named above to release information on my energy usage, including account number(s), to NYSERDA, or its designee, for two years prior to the application date and three years after the installation of an eligible measure. The information will be used for energy savings estimations and evaluation purposes only. Confidentiality will be protected to the full extent of the law.

**I certify that the information contained above is accurate and complete and that I received the 4-page NYSERDA customer information packet titled, "So What's Next?" and have read and understand it.**

Customer Signature:

Date:

**Customer - please return this document to your participating contractor.**

**Contractor - submit through the NY HP Portal.**

June 2015



**Request for Contractor Forms**

<b>Ship to:</b>		
<b>Company Name:</b>		
<b>Address:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip Code:</b>
<b>Phone:</b>	<b>Ext:</b>	<b>Fax:</b>

Fill out the form completely and email it back to EmPower New York at the email address listed above. All orders will be shipped via UPS Ground to the address listed above. Allow 2 weeks for delivery from the date of request.

**PLEASE NOTE: All forms are bundled in SETS of 50.**

**When ordering, please indicate the number of SETS you require.**

DESCRIPTION	Number of Sets Requested (50)
Appliance & Exchange Agreement- <i>Required all projects</i> *Fillable PDF's available on the Partner Portal	
EmPower Standard Application	
WAP/EmPower Application	
Fact Sheet	
Homeowner's Agreement	
House Diagram Form- <i>Required all projects</i>	
Combustion Appliance Form- <i>Required all HPs</i>	
Certificate of Completion- <i>Required all projects</i>	
Clean & Tune Checklist - <i>Required all projects with a C&amp;T</i>	
Weatherization Assistance Program Agencies List	
Energy Cost Worksheet	
Energy Education Packet	
Supplemental Data Form- <i>Required for all non-EmPCalc projects</i>	
Asbestos Form- Optional	
Initial Interview Form - Optional	
Printable from Partner Portal: Data Collection Form- <i>Optional Field Collection Form</i>	

**Notes:**



# EmPower New York Appliance Exchange Agreement

Customer Name: \_\_\_\_\_ Contractor Name: \_\_\_\_\_  
EmPower Project ID: \_\_\_\_\_ Date: \_\_\_\_\_

EXISTING APPLIANCE(S)	APPLIANCE 1		APPLIANCE 2		APPLIANCE 3	
	Refrigerator	Freezer	Refrigerator	Freezer	Refrigerator	Freezer
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Make						
Model						
Age of Unit						
Dimensions	W:	H:	D:	W:	H:	D:
Cu. Ft. Capacity						
Calculated Usage						
Location						
Space Available	W:	H:	D:	W:	H:	D:
Ambient Temp						
Landlord Owns Appliance	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

**INGRESS/EGRESS CONCERNS & NOTES**

Are there stairs to the residence?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	# Flights:	
Is there an elevator?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Dimensions:	W: _____ H: _____
Are there narrow hallways?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Dimensions:	W: _____ H: _____
Are there narrow doorways?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Dimensions:	W: _____ H: _____
Additional Notes:				

**AUDITOR RECOMMENDATIONS FOR APPLIANCES OWNED BY THE EMPOWER PARTICIPANT**

Final determination is made by the EmPower NY Program and may differ from Auditor's recommendations below.

Customer initials are required next to all auditor recommendations below:

	No replacement recommended.	Reason:
	Exchange appliance #(s): 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> with a brand-new white ENERGY STAR® appliance the same size.	
	Exchange two smaller appliances (appliance #s): _____, _____ for one larger ENERGY STAR® appliance. (2 for 1)	
	Recommended Replacement Size:	Hinge Side Desired: LEFT <input type="checkbox"/> RIGHT <input type="checkbox"/>
	Appliance owner agrees to downsize their appliance to a Cu. Ft. Capacity of: _____	
	Appliance owner declines appliance replacement.	

**Customer:** I am the owner of appliance #(s): 1  2  3  listed above. I hereby request that the New York State Energy Research and Development Authority (NYSERDA) proceed with the recommendation(s) that I initialed above. I understand that a final decision to replace an appliance will be made based on the potential to save energy based on the energy usage of my current appliance(s), availability of funding, and my eligibility for the program. I understand that the replacement size is based on the appliance(s) currently in use and the space available. I understand that no new appliance(s) will be provided unless I relinquish the old one(s). I understand that the manufacturer and vendor will provide appropriate warranties on the new appliances. I understand that the participating vendors in the EmPower New York program are independent contractors and if any issues arise regarding the services provided, I will contact the manufacturer or participating vendor, and not NYSERDA.



**Customer Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Contractor Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_



**NYSERDA**

# EmPower New York House Diagram Worksheet

Customer Name: \_\_\_\_\_

Contractor Name: \_\_\_\_\_

EmPower ID #:   D0  

Date: \_\_\_\_\_

House Diagram - **REQUIRED** for all **Home Performance** projects.

**Indicate locations of pre-insulated wall areas AND identify attic areas to be insulated.**

**REQUIRED**

### CAZ Zone Locations - **Optional**

**OPTIONAL**

### Zonal Pressure Diagnostics - **Optional**

Zone					
Pressure Difference (No Hole)	H/Z Z/O	H/Z Z/O	H/Z Z/O	H/Z Z/O	H/Z Z/O
Hole Added					
New CFM					
Pressure Difference					
CFM Difference					
Multiplier From Chart					
Maximum Reduction					
Post Pressure Difference					

# EmPower New York – Initial Interview Form

Applicant Name: \_\_\_\_\_  
Technician Name  
& Company \_\_\_\_\_

Date: \_\_\_\_\_  
EmPower ID: \_\_\_\_\_

## Question & Answer Session – To be filled out with participation of the applicant

What fuel do you use for your cook stove and oven?

Have you ever used your cook stove or oven for heat during the winter?

Yes  No

Does ice buildup in your attic or on your roof?

Yes  No  Unsure

Does your roof leak?

Yes  No  Unsure

How many people in your home are smokers?

How many pets live here?

Do your any of your pipes freeze during the winter months?

Yes  No  Unsure

Are there any moisture issues in the home (such as condensation) including in your basement? Please explain.

List any areas where you are concerned about the presence of or have previously treated mold or mildew:

## Health & Safety Concerns

Are there members of your household with any medical condition(s) that may be affected by common weatherization materials, such as insulation?

Contractors can provide further information regarding the materials to be used upon your request.

## Other Concerns Noted by Contractor

Unvented combustion space heater

Yes  No

Peeling, cracked, or chipped paint in pre-1978 homes

Yes  No

Potential electrical concerns (i.e. knob and tube wiring, sparks, etc.)

Yes  No

Excessive debris or clutter

Yes  No

Other (describe below)

Yes  No

**Please provide details for any "yes" answers or other observations that are relevant to the work to be performed:**

I, \_\_\_\_\_ have participated in the Question & Answer Session of this form and confirm that the  
(applicant name)

answers reported above are reflective of what was discussed with the contractor. I understand that in some instances, health or safety concerns may impact the availability of some measures and EmPower may deny or delay the measures where concerns exist. The technician has explained to me the proposed measures and I agree to allow these measures to be provided at no cost to me, if approved, through EmPower New York.

Applicant Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Contractor Signature: \_\_\_\_\_

Date: \_\_\_\_\_





**NYSERDA**

# EmPower New York Combustion Appliance Form

Customer Name: \_\_\_\_\_ Contractor Name: \_\_\_\_\_

EmPower ID #: D0 Date: \_\_\_\_\_

Heat Load Calculation

Yearly Usage  - Estimated Baseload/Year  = Heating Load/ Year

Existing Appliances:		Primary System		Secondary System	
<b>HEATING SYSTEMS</b>	Safe to Operate?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Make				
	Model				
	Location				
	Age of Unit (Years)	<input type="checkbox"/> Estimated		<input type="checkbox"/> Estimated	
	System Type				
	Fuel Type				
	BTU In/Out	In _____	Out _____	In _____	Out _____
	Outside Temperature				
	BPI CAZ Limit				
	Depressurization (Net) CAZ Measured				
	Draft/Spillage (Pascals)	_____ Pa <input type="checkbox"/> Pass <input type="checkbox"/> Fail		_____ Pa <input type="checkbox"/> Pass <input type="checkbox"/> Fail	
	Carbon Monoxide (Flue)				
	Measured Efficiency				
	Net Stack Temperature				
	CO <sub>2</sub>				
	Smoke Test (Oil)				
	Controls Functioning Properly?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
System Venting Correctly?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Distribution Functioning Properly?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Filter Cover Present (Forced Air ONLY)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

<b>Hot Water</b>	System Type				
	Draft/Spillage	_____ Pa <input type="checkbox"/> Pass <input type="checkbox"/> Fail		_____ Pa <input type="checkbox"/> Pass <input type="checkbox"/> Fail	
	Carbon Monoxide (flue)				
	Currently Orphaned?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Gas Oven: Carbon Monoxide \_\_\_\_\_

Additional Diagonostic Notes:

<b>Proposed Minor Repair Costs</b>	Programmable Thermostat(s)	\$
	CO and/or Smoke Detectors (Not Pre-existing)	\$
	Reconnect/Replace Ductwork	\$
	Ductwork Air-Sealed	\$
	Filter Cover Installed	\$
	Filter Replaced, Filter Size	\$
	Gas Leak Repairs	\$
	Clean & Tune (as per EmPower Clean and Tune Checklist)	\$
<b>Minor Repair Subtotal:</b>		\$

Customer Name: \_\_\_\_\_

EmPower ID #: D0

**Proposed Appliance(s):**

**Primary System**

**Secondary System**

<b>Proposed Heating System Replacement</b>	Make		
	Model		
	System Type		
	Efficiency Rating		
	Fuel Type	_____ Conversion? <input type="checkbox"/> Yes <input type="checkbox"/> No	_____ Conversion? <input type="checkbox"/> Yes <input type="checkbox"/> No
	BTU In/Out	In _____ Out _____	In _____ Out _____
	Will water heater be orphaned by heating upgrade?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Manufacturer's Warranty (Describe)		
	Contractor Warranty (Describe)		
	Equipment and parts in stock?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Proposed Start Date: _____

**Minor Repair Subtotal (from page 1) \$** \_\_\_\_\_

<b>PROPOSED WORKSCOPE AND COSTS</b>	<b>Heating System Repairs</b>	Fuel Supply, Tank Leak(s), and repairs (Describe)	\$
		Flue Pipe & Chimney Repairs (Describe)	\$
		Parts (List)	\$
		Other (Describe)	\$
		<b>Heating System Repair Subtotal:</b>	
	<b>Heating System Replacement</b>	Replacement Heating System(s)	\$
		Heating System Base	\$
		Parts (List)	\$
		Parts (List)	\$
		Parts (List)	\$
		Other (Describe)	\$
	<b>Heating System Replacement Subtotal:</b>		\$
	Building Permits		\$
	Labor Cost		\$
	<b>Labor &amp; Permit Subtotal:</b>		\$
<b>Total Proposed Costs:</b>		\$	



NYSERDA

# EmPower New York

## Notification of Possible Presence of Asbestos

EmPower ID: \_\_\_\_\_ Date: \_\_\_\_\_

Building Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

During our inspection of this dwelling, we discovered materials that are consistent in appearance to asbestos in the following location(s):

\_\_\_\_\_  
\_\_\_\_\_

Asbestos is a mineral fiber that in the past was added to a variety of products to strengthen them and to provide heat insulation and fire resistance. The US Consumer Product Safety Commission (CPSC) states that "from studies of people who were exposed to asbestos in factories and ship yards, we know that breathing high levels of asbestos fibers can lead to an increased risk of lung cancer." However, the Commission has also stated that "even if asbestos is present in our home, this is usually NOT a serious problem. The mere presence of asbestos in a home or a building is not hazardous. The danger is that asbestos materials may become damaged over time. Damaged asbestos may release asbestos fibers and become a health hazard" (CPSC Document #453).

Please note that our inspection did not include a test of the material. Therefore **we cannot conclude that it contains asbestos.** Nevertheless, according to our program rules, we must presume that asbestos is present, based on the appearance of the material. This way we err on the side of caution. Because there is a possibility that asbestos may be contained in this material, we will avoid certain measures that might cause asbestos particles to become airborne. For example, our workers will restrict movement in the immediate area of the presumed asbestos. We will not touch or remove materials that may contain asbestos. We will, however, complete other measures in the home that will not affect the suspected asbestos material.

We recommend that you learn more about asbestos risks before taking any action. For more information on asbestos, call the Consumer Products Safety Commission Hotline at 1-800-638-CPSC.

You may also visit the following website: <http://www.cpsc.gov/cpsc/pub/pubs/453.html>

\_\_\_\_\_  
Contractor Representative

\_\_\_\_\_  
Name of Company

I, the undersigned, have received a copy of this document.

\_\_\_\_\_  
Occupant

\_\_\_\_\_  
Date



**NYSERDA** | EmPower New York  
Optional Field Data Form

Customer Name: \_\_\_\_\_  Owner  Tenant EmPower ID #: D0 \_\_\_\_\_

Customer Address: \_\_\_\_\_

Customer Phone: \_\_\_\_\_ (home) \_\_\_\_\_ (alternate) # in household: \_\_\_\_\_

Electric Company: \_\_\_\_\_ Annual Electric Usage: \_\_\_\_\_

Gas Company: \_\_\_\_\_ Annual Gas Usage: \_\_\_\_\_

Heating Fuel Type: \_\_\_\_\_ Cost \_\_\_\_\_ / \_\_\_\_\_ Annual Usage: \_\_\_\_\_

Contractor Name: \_\_\_\_\_ Contractor Phone: \_\_\_\_\_

Contractor Address: \_\_\_\_\_

Contractor Fax: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Audit Type: \_\_\_\_\_ Education:  Yes  No Audit Date: \_\_\_\_\_

Dwelling Type: \_\_\_\_\_ Region: \_\_\_\_\_ Heated Sqft: \_\_\_\_\_

# of Stories: \_\_\_\_\_ Mileage: \_\_\_\_\_

Lighting:	Installed Qty	Location Description	Pre Watts	Post Watts
CFL's				
Torchieres				
Hardwired Fixtures				
Candelabra CFL's				
LED's				

Refrigerators & Freezers:	Existing Location	Pre-Usage	Age of Unit	Existing Size	Replacement Size	Replacement Usage
Refrigerator 1						
Refrigerator 2						
Refrigerator 3						
Freezer 1						
Freezer 2						

Two-for-one	Existing Location	Pre-Usage	Age of Unit	Existing Size	Replacement Size	Replacement Usage
Refrigerator						
Freezer						

Showerheads & Aerators:	Installed Qty	Existing Airconditioners:	Qty to be Replaced	Cost/each
Standard Showerhead		<input type="checkbox"/> Central A/C?		
Handheld Showerhead		<input type="checkbox"/> Window A/C? Qty: <input type="text"/>	Water Beds: <input type="text"/>	\$ -
Aerator				



# EmPower New York

## Optional Field Data Form

Customer Name: \_\_\_\_\_  Owner  Tenant EmPower ID #: D0 \_\_\_\_\_

**DHW tank:** \*Conversions only allowed to natural gas, otherwise replacement fuel should be the same as existing.

Existing DHW Fuel: \_\_\_\_\_ Existing Fuel Cost/unit: \$ - Replacement Fuel Cost/unit: \$ -

Replacement Fuel: \_\_\_\_\_ Replacement Cost: \$ -

Replacement DHW Make: \_\_\_\_\_ Replacement DHW Model: \_\_\_\_\_ Replacement Energy Factor: \_\_\_\_\_

Tank Wrap Qty: \_\_\_\_\_ **Repair Description:**

Tank & Vent Repair Costs: \$ -

Pipe Wrap (Ln ft) \_\_\_\_\_

**Dryer Conversion - Electric To Natural Gas:**

Est. Loads/Week: 6

Change Loads/Week: \_\_\_\_\_

Replacement Cost: \$ -

New Dryer Make: \_\_\_\_\_

New Dryer Model: \_\_\_\_\_

**Description / Addit'l Notes:**

**Heating Systems:**

Existing Heating Fuel: \_\_\_\_\_

Heating System Type: \_\_\_\_\_

Existing Efficiency: \_\_\_\_\_

Replacement Fuel: \_\_\_\_\_ Cost \_\_\_\_\_ / \_\_\_\_\_

Replacement System Type: \_\_\_\_\_

Replacement Efficiency: \_\_\_\_\_

Replacement Make: \_\_\_\_\_

Replacement Model: \_\_\_\_\_

**\*Must submit page 2 of the Combustion Appliance Form**

	Cost	New Efficiency
Clean & Tune	\$ -	

**\*Must submit a Clean and Tune Check List!**

	Installed Qty
Furnace Filter	
Filter Slot Cover	
Set-back Thermostat	

	Cost	Est. Therm Reduction
Distribution/Heating Repair	\$ -	

**Description:**



# EmPower New York

## Optional Field Data Form

Customer Name: \_\_\_\_\_

Owner  Tenant

EmPower ID #: D0 \_\_\_\_\_

**Insulation:**

Surface Type	Siding Type	Existing Insulation	Sqft	Inches	Condition	Proposed Inches	Proposed Type

**Other Description:**

Sqft	Inches
R-Value	Cost/sqft
	\$ -

**Vent Type Qty/Ln Ft. Other Required for Insulation**

Gable/Roof	
Soffit	
Ridge	
Baffels	

Cost
\$ -

**Airsealing:**

Can't Reach CFM 50

# of bedrooms: \_\_\_\_\_ Exposure: \_\_\_\_\_ Pre-CFM: \_\_\_\_\_ @50 Fan Pressure: \_\_\_\_\_ Pa

Description of Measure and Material	Est. Hrs	Labor Rate	Labor \$	Material \$	Total Cost
		\$ -	\$ -	\$ -	
		\$ -	\$ -	\$ -	
		\$ -	\$ -	\$ -	
		\$ -	\$ -	\$ -	
		\$ -	\$ -	\$ -	
		\$ -	\$ -	\$ -	
		\$ -	\$ -	\$ -	
		\$ -	\$ -	\$ -	
		\$ -	\$ -	\$ -	
		\$ -	\$ -	\$ -	

**TOTAL** \_\_\_\_\_





**NYSERDA**

# EmPower New York

Supplemental Data Collection - REQUIRED for non-EmpCalc Users

Customer Name: \_\_\_\_\_ Contractor Name: \_\_\_\_\_

EmPower ID #: DO Date: \_\_\_\_\_

# in household: \_\_\_\_\_ Heated Sqft: \_\_\_\_\_ Annual Electric Usage: \_\_\_\_\_ kWh

Annual Gas Usage: \_\_\_\_\_ Therms

Heating Fuel Type: \_\_\_\_\_ Unit Cost: \_\_\_\_\_ / \_\_\_\_\_ Annual Usage: \_\_\_\_\_

**Dryer Conversion - Electric To Natural Gas:**

Est. Loads/Week: \_\_\_\_\_ New Dryer Make: \_\_\_\_\_

Replacement Cost: \_\_\_\_\_ New Dryer Model: \_\_\_\_\_

**Insulation:**

Surface Type	Siding Type	Existing Insulation Type	Sqft	Inches	Condition	Proposed Inches	Proposed Type

**Other Description:**

Sqft	Inches
R-Value	Cost/sqft

**Airsealing:**

# of bedrooms: \_\_\_\_\_ Building Exposure: \_\_\_\_\_ Pre-CFM: \_\_\_\_\_ @50 Fan Pressure: \_\_\_\_\_ Pa

Description of Measure and Material	Est. Hrs	Labor Rate	Labor \$	Material \$	Total Cost

Post-CFM: \_\_\_\_\_ @50

**TOTAL** \_\_\_\_\_







Section 3. Building Leakage & Combustion Appliance Zone (CAZ) Testing

Blower Door Testing table with fields: Test Out Date, Minimum Ventilation Guideline, Inside Temperature, Building Leakage, Outside Temperature, House Pressure, Worst Case Depressurization, Fan Ring, Fan Pressure.

Combustion Appliance Zone (CAZ) Testing table with columns: Appliance Type, Electric, Spillage (Worst Case), Spillage (Natural), CO (Worst Case), (CO) Natural. Rows include Heating System 1, Heating System 2, Water Heater 1, Water Heater 2, and Oven.

Note testing not completed and reasons why below. [ ] No Blower Door Testing [ ] No CAZ Testing

Contractor: I, \_\_\_\_\_ attest that all measures installed through AHP and/or EmPower adhere to current AHP/EmPower program guidelines. I further attest that, for all AHP/EmPower projects, I have conducted the appropriate Combustion Appliance Zone (CAZ) testing and left the home in a safe condition as per program requirements.

Technician Name (Print) \_\_\_\_\_ Technician SIGNATURE \_\_\_\_\_ Date \_\_\_\_\_

Section 4. Customer Incentives

Table for Customer Incentives with columns: Incentive Type, Amount. Rows include Total Project Amount, Utility Rebate/Incentives, WAP Funding, Other 3rd Party Funding, NYSERDA AHP or EmPower Incentive, Other NYSERDA Pilot Incentives, Adjustments to NYSERDA Incentives, Total Incentives (Estimated), Net Customer Cost (Estimated).

Incentives Disclaimer

All incentives are estimates based on work proposed by the Assisted Home Performance or EmPower Contractor. Final amounts will be determined following the submission, review and final approval of the project by the Program.



Section 5. Customer Affirmation - Read and Sign After Work Ends

Please read the following statements before signing. By signing this document, you are attesting that all work has been completed pursuant to AHP/EmPower process. If any part of the work has not been completed, please indicate below. If you have any questions or concerns about any aspect of the work performed, you should resolve them with your contractor BEFORE signing the form.

All work has been completed, with the exception of the following:

\_\_\_\_\_

Participating Contractor agrees to complete these items and will notify CLEAResult upon their completion. The project is not considered complete until the Participating Contractor and customer sign a new Certificate of Completion with no outstanding work.

Contractor Initials: \_\_\_\_\_

Warranty

Participating Contractor warrants that the work and the equipment furnished through this project comply with the requirements as outlined in the Contractor Participation Agreement with NYSERDA. In the event that any defect in workmanship or equipment is discovered within one (1) year after payment authorization, the Contractor will remedy, repair, correct, or cause to be remedied, repaired, corrected, or replaced at the Participating Contractor's expense such defect in equipment or workmanship. The foregoing warranty survives any inspection NYSERDA may elect to make.

Lien Waiver

Work and equipment covered by a GJGNY Loan or AHP/EmPower incentives: Participating Contractor hereby waives and releases any and all lien or claim of, or right, to lien, under laws relating to mechanics liens with respect to and on the property referenced above. Work and equipment not covered by a GJGNY Loan or AHP/EmPower incentives: Said waiver does not apply to any work and equipment furnished in this installation that is not funded by a GJGNY Loan or AHP/EmPower incentives. Any costs incurred by customer exceeding the sum of the GJGNY Loan and the AHP/EmPower incentives, or financed by any means other than a loan through a GJGNY loan or through AHP/EmPower incentives, are subject to a mechanics lien or claim under applicable laws relating to mechanics liens with respect to the project ID(s)referenced on page 1.

Customer Affirmation

Customer's Acceptance of Work Scope

The energy efficiency upgrades included on the construction contract (work order, job order, bid summary, proposal, invoice, etc.) have been furnished and installed by the Contractor. Installed measures along with incentives, loan, and/or subsidy stated on pages 1 and 2 herein have have been explained thoroughly by the Participating Contractor, are satisfactory, and are accepted by the customer. In addition, the customer has not obtained the benefit of and will not receive any cash payment, rebate, cash bonus, sales commission, or anything from the Participating Contractor as inducement to enter into an agreement with the Participating Contractor or to proceed with work. If there is a GJGNY loan, I also agree to the terms specified in the loan agreement and authorize payment to the Participating Contractor.

Program Quality Assurance and Evaluation

Customer agrees to participate in program quality assurance and evaluation activities. The purposes of these activities are to provide the program administrators with an opportunity to ensure that the eligible measures are installed consistent with program standards, to assess energy savings and to evaluate program effectiveness. Program quality assurance and evaluation activities may include on-site visits, questionnaires, and interviews. As a value-added service, AHP and EmPower program participants are offered the option of having a post-completion inspection performed on their home. If you are interested in receiving this valuable, FREE service, please call 1-866-NYSERDA to schedule an appointment. Availability depends upon number of requests received.

All outputs of this tool are for informational purposes only, are not recommendations of NYSERDA, and are provided "as is" without warranty of any kind. NYSERDA does not accept any responsibility or liability for the accuracy, content, completeness, legality, or reliability of the information provided by this tool.

\_\_\_\_\_  
Customer's Name (Print)

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
Date

\_\_\_\_\_  
Contractor's Business Name (Print)

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
Date



**Pre-Install Measure Report - Proposed Project**

Participating in Assisted Home Performance (AHP) or EmPower NY is an important step to reducing your energy costs and creating a healthier, more comfortable home. Households identified as Tier 1, are eligible to receive incentives through EmPower New York. Tier 3 households are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®. This report provides a summary of the installed measures on your project, including the incentives you are eligible to receive. Before signing, please review this entire report, including the terms and conditions.

**Section 1. Customer and Contractor Information**

<b>Customer Name</b>	
<b>Customer Building Address</b>	
<b>Customer Mailing Address</b>	
<b>Project ID</b>	
<b>Contractor Name</b>	

**Section 2. Project Information and Proposed Measures**

Proposed Energy Efficiency Measures	Quantity	Cost	Energy Savings & SIR		
			kWh	MMBtu	SIR
<b>Project Level Totals</b>		\$			

**Measures & Savings Disclaimer**

Appliance (Refrigerator/Freezer) recommendations, costs, etc. are typically handled by a separate EmPower NY appliance vendor for Tier 1 customers. When that occurs it will not be included on this document. Savings are not guaranteed and are dependent on a variety of factors, including household size, usage, etc. Note that change orders and field changes may impact final savings estimates.



**Section 3. Customer Incentives**

**Tier:**

<b>Total Project Amount</b>	
<b>Utility Rebate/Incentives (Estimated)</b>	
<b>WAP Funding (Estimated)</b>	
<b>Other 3rd Party Funding (Estimated)</b>	
<b>NYSERDA AHP or EmPower Incentive (Estimated)</b>	
<b>Other NYSERDA Incentives (Estimated)</b>	
<b>Adjustments to NYSERDA Incentives</b>	
<b>Total Incentives (Estimated)</b>	
<b>Net Customer Cost (Estimated)</b>	

**Incentives Disclaimer**

All incentives are estimates based on work proposed by the Assisted Home Performance or EmPower Contractor. Final amounts will be determined following the submission, review and final approval of the project by the Program.

**Section 4. Customer Affirmation - Read and Sign Before Work Begins**

**Customer's Acceptance of Work Scope**

The energy efficiency upgrades referenced above to be installed at the property, as well as any applicable incentives, loan, and/or subsidy, have been explained to me by the Contractor, are satisfactory, and are hereby accepted. The Contractor is authorized to do the work. The Contractor will notify the customer with any changes to the proposed work scope and a Post-Install Measure Report with the list of installed energy efficiency upgrades will be provided to the customer following the completion of the work.

\_\_\_\_\_  
Customer's Name (Print)

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
Date

\_\_\_\_\_  
Contractor's Business Name (Print)

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
Date



Customer Name  
Customer Street Address  
Customer City, State, Zip

EmPower New York Opt-Out

I understand that I am/or may be eligible to have energy efficiency work done on my home at **no-cost to me** through the EmPower New York (EmPower) program, such as: replacing inefficient refrigerators or freezers, installing high efficiency lighting, reducing drafts, and improving attic and/or wall insulation, and conducting a thorough health and safety check.

My contractor has explained the free services available through EmPower; however, I am declining consideration for one or more of these improvements and choose instead to proceed with energy efficiency improvements offered through Assisted Home Performance with ENERGY STAR® (AHPwES). I am declining free EmPower energy efficiency improvements because... (please check all that apply):

I am okay with paying 50% of the cost of one or more energy efficiency improvements.

I prefer to work with a contractor not participating in EmPower.

I only want services that are not offered through EmPower.

Other: \_\_\_\_\_

I understand that eligible improvements installed through participation in AHPwES can receive a subsidy of 50% of the total cost, up to a maximum of \$5,000, and I will be responsible for paying the remaining cost of the energy efficiency work installed through AHPwES. I also understand that the subsidy will be paid to the certified contractor who will be performing the work. I further understand that if the improvements I want are not offered through EmPower, I can pursue them through AHPwES, while still working with my contractor to identify improvements that are available to me at no-cost though EmPower.

I understand that I may also be eligible to receive no-cost services through the NYS Weatherization Assistance Program (WAP). To find a local provider, please visit <http://www.nyhousingsearch.gov/weatherization/NYWeatherization.html> and enter your address. For questions about WAP, please call (518) 474-5700.

Signature \_\_\_\_\_ Date \_\_\_\_\_  
Customer Name (please print) \_\_\_\_\_

Contractor Name \_\_\_\_\_ Date \_\_\_\_\_  
Contractor Signature \_\_\_\_\_

Contractors: If you are working with a customer prior to the submission of the Combined Residential Application and have determined they would like to pursue improvements through AHPwES, please complete and submit this form as part of the application submission package. If the customer has already been determined to be eligible for free services through EmPower and would like to opt out, please complete this form and submit through a ticket to [support.residential@nyserdera.ny.gov](mailto:support.residential@nyserdera.ny.gov).

## Contractor Status Designations

The Participating Contractor shall be classified in one of the participation status designations listed below. Each status designation shall be subject to limitations or requirements associated with that classification, as detailed below. NYSERDA reserves the right to modify the definition, limitations, and requirements of the participation status designations at any time. NYSERDA retains sole discretion for determining the Participating Contractor's progression into and through each status designation. In all cases, NYSERDA's written decision is final.

### 1. Provisional

#### a. Minimum Period of Performance

The Participating Contractor shall have the participation status of 'Provisional' during, at a minimum, the first 6 months of participation. During this time, NYSERDA may limit the number of projects a Provisional Contractor can submit to the Program as determined based on reported and founded customer complaints or failed Quality Assurance (QA) field inspections, or other compliance issues deemed by NYSERDA as cause for limitation.

#### b. Provisional by Participation Level

- i. **Home Performance Contractors-** Must have 3 project completions meeting minimum QA standards by the 6th inspected project or within one year. All project submissions are subject to manual review. After one year, or the 6<sup>th</sup> inspected project, whichever comes first, the Program will review Provisional Contractors not meeting the above requirements to determine future Program participation.
- ii. **Audit Contractor-** Must have 3 audit reviews and/or project reviews meeting Program standards by the 6th reviewed audit or project or within one year. After one year, or the 6th review, whichever comes first, the Program will review Provisional Contractors not meeting the above requirements to determine future Program participation.

#### c. Past Participants

Contractors renewing Program Participation who have not completed a minimum of 12 projects during the past 12 months may, at the Program's discretion, be re-designated as Provisional and be required to meet the above criteria to be considered "Full" status.

#### d. Program Benefits

The Participating Contractor will be eligible for contractor incentives, its customers will have access to financing offered through the Program, and income-eligible households will be eligible to receive Program incentives. Contractors with provisional status may participate in NYSERDA pilots at the discretion of program staff and/or pilot participation guidelines.

#### e. Quality Assurance/Quality Control (QA/QC)

The Provisional Participating Contractor must complete a minimum of three projects meeting the minimum standard QA requirements. These QA requirements must be met by the sixth inspected project or within a period of one year from the date of completion of the first completed project, whichever comes

first. Additionally, the Provisional Participating Contractor should have no participant complaints (customer concerns) reported to the Program during their provisional period. NYSERDA will review all concerns regarding a provisional contractor before determining a status change to 'Full'.

Alternatively, the Participating Contractor must have consistently delivered quality projects for a period of greater than one year with an average score of all completed projects exceeding the minimum standard QA requirements, have no more than three (3) failed QA inspections at any time during the 12-month period, and have a positive correlation of performance over 12 months. Status may proceed to 'Full,' be extended as 'Provisional' or the Participating Contractor may be terminated from further participation.

At any time during, or at the end of a Participating Contractor's Provisional period, NYSERDA can change the Participating Contractor's status to Probation, Suspension, or Termination for any reason including, but not limited to poor workmanship, lack of responsiveness, Program participant complaints, unprofessional behavior, or failure to meet minimum production requirements of the Program.

In addition to QA, contractor will be subject to Quality Control (QC) for in-progress work. QC inspections can include desktop reviews and/or in-person site visits.

## 2. Full

A Participating Contractor who is not operating under any of the other status designations described herein, abides by the conditions of the Consolidated Residential Participation Agreement and Program Manual, and, provides quality services utilizing industry best practices shall have the status designation of Full Status Contractor. Full Status Contractors are entitled to all applicable Program benefits. Full Status Contractors may have different QA/QC inspection rates based upon Program sub-status designations below:

### a. Audit Contractor-Standard Rate

Target of 3 inspections per year or at least 10% of completed audits or projects on an annual basis.

### b. Home Performance-Standard Rate

Target of 4 QA inspections per year or at least 10-15% of completed projects, and 3 QC inspections or 10%, of in-progress projects on an annual basis.

### c. Home Performance-Reduced Rate

Target of 4 QA inspections per a year or at least 5-10% of completed projects, and 3 QC inspections or 5-10% of in-progress projects on an annual basis. To be considered for a reduced-rate, contractor must have a minimum of 20 completed projects in each of the past 2 years with at least 3 QA scores per year and an average of 4.0 or higher.

## 3. Inactive

Includes contractors voluntarily deciding to end participation in the Program and Contractors terminated by the Program for disciplinary reasons. A contractor with an Inactive status will relinquish all privileges associated with participation, including access



to incentives. The Contractor must immediately remove any reference to the Program and NYSERDA from any of the Contractor's materials.

- a. Inactive-Voluntarily Withdrawal-** Contractors voluntarily deciding to end participation in the Program will be placed in Inactive status. To resume participation, the Contractor may return to the Program, at the Program's sole discretion, within 30 days without penalty, providing there have been no significant changes to the Contractor's staff or certifications. After 30 days the Contractor will need to apply to the Program as a new contractor and if accepted, will have a "Provisional" status.
- b. Inactive-Terminated-** Contractors designated with the 'Terminated' status are prohibited from participation in the Program for the remainder of the Participation Agreement term. A Terminated Contractor shall be removed from the NYSERDA website and shall not represent themselves as a Participating Contractor, accept any applications for, nor recruit new participants except in the execution of remedial action as approved by NYSERDA. A Terminated Contractor forfeits its eligibility for contractor incentives and its customers will not have access to incentives or financing offered through the Program. All references to NYSERDA must be removed from all marketing materials, vehicles, and advertising including vehicle clings and websites, as applicable.

Customers with incomplete projects at the time of Contractor termination will be notified that the Contractor is no longer participating in the Program and may be offered such remedies as NYSERDA deems appropriate. If appropriate, NYSERDA may notify the New York State Attorney General, the New York State Department of Labor, the Better Business Bureau, BPI, or others of NYSERDA's findings and decision to terminate the Participating Contractor. Further, a Participating Contractor who hires the officers, owners or other staff of a Terminated Contractor risks disqualification from the Program at NYSERDA's sole discretion. In the event a Terminated Contractor's company is sold to new owners, the company must reapply; the use of the terminated Company's name, or similar derivations, in Program activities will be allowed at NYSERDA's discretion. Termination of a Participating Contractor does not remove the contractor's responsibility to fulfill any remaining obligation to the Program, or Program participants.

NYSERDA has sole discretion in determining whether to terminate a Participating Contractor. A Participating Contractor may be terminated from participation in the Program for any of the following reasons:

- i.** Maintaining a suspended status for more than 30 days and is unresponsive to or failed to adequately fulfill the terms of their suspension
- ii.** Failure to maintain minimum credentials for participation
- iii.** Submits falsified documents or unauthorized signatures to the Program
- iv.** Commits illegal actions while participating in the Program
- v.** Is convicted or has a principal who is convicted of a criminal charge that

casts the Program in negative light or calls the integrity or workmanship of the Participating Contractor into question

- vi. Is in gross violation of Program standards
- vii. Repeatedly bills for uninstalled measures
- viii. Fails to meet the terms of the Provisional period

#### 4. Disciplinary Action

A Full Status Contractor who fails to comply with any of the terms of the Consolidated Residential Participation, its amendments, etc. Agreement or the Program Manual, or who provides fraudulent or misleading Program documentation, is subject to disciplinary action. Participating Contractors under disciplinary action have been notified in writing by the Program and are under disciplinary action for a set time frame or until the conditions of their disciplinary action notice have been met.

NYSERDA reserves the right to impose any of the following disciplinary measures at any time. In addition, NYSERDA reserve the right to hold approvals and payment of incentives in question on all submissions while investigating alleged issues. In all cases involving a Participating Contractor's disciplinary status or denial of Program incentives, NYSERDA's written decision is final.

##### a. Probation

Probationary Status is reserved for Participating Contractors that have failed to meet the requirements of the Program. Probation is prescriptive in nature with both a specific list of results to be achieved and a time frame for achieving those results.

- i. **Minimum Period of Performance-** A Probation period will last no less than 90 days with terms outlined in the disciplinary action letter to the Program.
- ii. **Program Benefits-** Under the Probation Status, the Participating Contractor will be eligible for all contractor incentives, its customers will have access to financing offered through the Program, and income-eligible households will be eligible to receive Program incentives. Contractors with probationary status may participate in NYSERDA pilots at the discretion of program staff and/or pilot participation guidelines.
- iii. **Quality Assurance/Quality Control (QA/QC)-** Under the Probation Status, the Participating Contractor May be subject to increased QA/QC inspection rates that, if applicable, will be defined in the terms of their disciplinary letter from the Program.

A Participating Contractor may be placed on Probation for any of the following reasons:

- a. **Violation of Program Policies and Procedures or Ethical Standards-** The Participating Contractor has failed to adhere to Program policies and procedures as outlined in the Consolidated Residential Participation Agreement or Program Manual. This includes but is not limited to poor or unclear contract documents, misrepresentation of available Program participant incentives, poor quality of work, repeated submissions of

inaccurate, incomplete, illegible or otherwise faulty documentation, performing work in municipalities they are not licensed to work in, failure to submit overpayment reimbursements in a timely manner, and not obtaining proper building permits before the project start date.

- b. Minimum Production-** A Participating Contractor is not meeting the minimum production requirements of the Program.
- c. Failure to meet Quality Requirements-** Failure to consistently deliver completed projects which pass the QA standard required for 'Full' status.
- d. Health and Safety and other Critical Violations-** Failure to take effective corrective action on a critical deficiency.
- e. Unprofessionalism-** Contractors exhibits repeated unprofessionalism in interactions with Program Staff, Implementation Staff, or Program participants.
- f. Unresponsive to Open-Fail Report Resolution-** Three (3) or more Open-Fail reports that have not been responded to or remain unresolved for more than 30 days.
- g. Program participant Complaints-** NYSERDA and its designees have received one or more valid Program participant Complaints per quarter, the Participating Contractor is unresponsive or slow in resolving Program participant issues, exhibits poor quality workmanship or unprofessional manner on one or more projects.
- h. Contractor is Not Licensed/Not Obtaining Proper Permits-** The Program is informed that the Participating Contractor performed work in a municipality they are not licensed to work in. The Participating Contractor performs work without obtaining the proper permits as required by the governing municipality.
- i. Failure to Follow Program Procedure-** The Participating Contractor continuously submits incorrect or incomplete documentation or requires an excessive amount of administrative or technical support.

While on Probation, the contractor must continue to put work through the Program and meet minimum production requirements. In the event a contractor is placed on probation and fails to meet the terms of the Probation within six months of the issuance date of the letter, the Program, at its discretion, may elect to Suspend or Terminate the Participating Contractor for failure to meet the terms of Probation.

#### **b. Suspension**

A Suspended Participating Contractor shall be removed from the NYSERDA website and shall not represent themselves as a Participating Contractor, accept any applications for, nor recruit new participants into, the Program except in the execution of remedial action as approved by NYSERDA. A Suspended Participating Contractor forfeits its eligibility for contractor incentives and its customers will not have access to incentives or financing offered through the Program. NYSERDA has sole discretion in determining whether to suspend a Participating Contractor. With Program permission, a Suspended Contractor may be allowed to close out in progress Projects. Projects may be subject to increased QA/QC inspection rates that, if applicable, will be defined in the terms of their disciplinary letter from the Program. NYSERDA has sole discretion in

determining the length of the Suspension Period. Grounds for suspension shall include, but are not limited to, the following:

- a. Unresponsive-Probation-** The Participating Contractor is on Probationary status and has either been unresponsive to, or failed to adequately fulfill, the terms of their probation.
- b. Unresponsive-Other-** The Participating Contractor is unresponsive to addressing outstanding Program participant concerns, Field Inspection Report, incentive over payment reimbursements or requests from Program or Program implementation contractors.
- c. Violation of Program Policy and Procedures or Ethical Standards-** The Participating Contractor has failed to adhere to Program policies and procedures as outlined in the Consolidated Residential Participation Agreement, Program Manual, or any subsequent changes made to either document through a Program Announcement, thereby putting the Program, NYSERDA, and Program participants at risk. This includes but is not limited to poor or unclear contract documents, misrepresentation of available Program participant incentives, poor quality of work, repeated submissions of inaccurate, incomplete, illegible or otherwise faulty documentation, billing for uninstalled measures, performing work in municipalities they are not licensed to work in, and not obtaining proper building permits.
- d. Contractor Staffing-** The Participating Contractor has staffing changes or staffing certification status changes resulting in the contractor not maintaining the minimum Program certification requirements.
- e. Misrepresentation-** The Participating Contractor has submitted false or fraudulent documentation to the Program at any time, during any phase of participation in the Program. This includes, but is not limited to, forging Program participant signatures, falsifying existing onsite conditions, submission of photo documentation that does not correspond to the project for which it was submitted

Following execution of the Consolidated Residential Participation Agreement, and any subsequent updates, the Participating Contractor agrees to be an active contributor to the Program by providing high quality and professional building performance services to Program participants. As a condition for ongoing Program participation and associated benefits, each applicant and Participating Contractor understands and agrees to the terms and conditions outlined in the Consolidated Residential Participation Agreement, the Program Manual or any subsequent changes made to either document through a Program Announcement,.

### **Leaving Program**

Should the Participating Contractor no longer participate in the Program, they are required to immediately inform NYSERDA and remove all references to NYSERDA, the Program, and Program Financing and incentives from the modeling software that generates their reports as outlined above.

Contractors who leave the Program are not permitted to use NYSERDA logos after termination.

# Residential Single Family

## Quality Assurance Policies and Procedures

January 2019



NYSERDA

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# Residential Single Family Quality Policies and Procedures

## Quality Overview

As a public benefit corporation, NYSERDA strives to deliver the most effective residential energy efficiency Programs possible and to protect rate payer money. To achieve these goals, the Residential programs contain a quality component at no cost to the consumer. The Quality process is used to verify that projects in the Program meet all requirements while maintaining healthy and safe living conditions for the occupants and serves as a learning and teaching tool supporting the application of sound building science principles and the delivery of highest quality services to the homeowners of New York State.

## Quality Compliance

### Quality Assurance Inspections by 3<sup>rd</sup> Party

Quality Assurance (QA) post-completion field inspections are performed by an independent third-party to verify compliance with program requirements, building performance standards, customer satisfaction and to ensure homes are left in a healthy and safe condition. Deficiencies identified during the field inspection may be required by NYSERDA to be corrected with all remediation activity documented via the corrective action resolution process.

### No cost to Homeowner (standard)

To maintain high standards of performance, NYSERDA randomly selects recently completed projects for post-completion field inspection at no cost to the homeowner. Homeowners may also request inspections at any time. These inspections are performed by an independent building science expert paid by NYSERDA. Participating contractors are encouraged to be present to receive feedback firsthand.

## Sampling Protocol

Projects completed through the Program are subject to post-completion field inspection by NYSERDA or its Quality designee. Although projects selected for inspection generally occur within 30 days and generally not more than 90 days from the date of completion, NYSERDA reserves the right to inspect projects at any time should specific concerns be brought to our attention. The QA Contractor shall not regularly schedule QA Field inspections later than ninety (90) days from project completion unless in response to special circumstances.

### Market Rate:

It is anticipated that quality field inspections will be provided to 15% of completed market rate projects on average across the program. A rational sampling approach allows Contractors with high quality scores and who prove to have well defined and effective internal quality assurance and quality control practices to benefit from a lower inspection rate. The Program average inspection rate will not be reduced to less than 5%.

### Low and Moderate Income (LMI):

It is anticipated that quality inspections will be provided at a 15% inspection rate for Low Income home performance services and moderate-income home performance services, and a 10% inspection rate for low-income, electric reduction only services. Contractors with high quality scores and who prove to have well defined and effective internal quality assurance and quality control practices may benefit from a lower inspection rate. The Program average inspection rate will not be reduced to less than 5%.

### Targeted Inspection Rate by Production Volume and Performance

The targeted rational sampling approach is based on the overall quality performance using the 1 to 5 scoring method, where 3 is the minimum quality requirement versus the average annual production volume of the Participating Contractor. An example of this sampling approach is presented below.

NYSERDA will determine the specific sampling rate and provide notice to the Quality Services Provider as necessary to achieve desired Program objectives. The sampling rates may be specified uniquely for whole-house “Home Performance” projects versus Electric Reduction (ER-Only) projects such as in the example outlined below.

#### ER-Only Projects

- Large Production/Good Performance = 2%
- Large Production/Bad Performance or high variation = 5%
- Medium Production/Good Performance = 10%
- Medium Production/Bad Performance w/high variation or negative correlation coefficient = 30%
- Small Production/Good Performance = 10%
- Small Production/Bad Performance = 30-100%

#### Low Income and Moderate Income Home Performance Services

- Large Production/Good Performance = 2%
- Large Production/Bad Performance w/high variation or negative correlation coefficient = 15%
- Medium Production/Good Performance = 15%
- Medium Production/Bad Performance = 30%
- Small Production/Good Performance = 15%
- Small Production/Bad Performance = 30-100%

<b>Table 1: Inspection Rate by Production Volume and Performance</b>			
<i>Annual Production Volume*</i>	<i>Average Quality Score</i>		
	<i>&lt; 3</i>	<i>= 3</i>	<i>4 - 5</i>
<i>Large (More than 300)</i>	Average 5% (up to 15%)	Average 5% (5-15%)	Average 2% (1-5%)
<i>Medium (100 to 300)</i>	Average 30% Up to 100%	Average 12.5% (10-15%)	Average 2% (1-5%)
<i>Small (Less than 100)</i>	Average 30% Up to 100%	Average 12.5% (10-15%)	Average 12.5% (10-15%)

\*Production volume definitions subject to change at the discretion of NYSERDA



## Target Inspection Rate by Status

Below are the established sampling protocols based on the Participating Contractor's participation status or upon special request from NYSERDA or the homeowner.

### Provisional Status:

Newly Participating Contractors are designated as 'Provisional' status and must complete a minimum of three projects meeting the minimum standard Quality requirements. These Quality requirements must be met by the sixth inspected project or within a period of one year from the date of completion of the first completed project, whichever comes first. Provisional contractors are strongly encouraged to attend at least the first three (3) field inspections as it provides an opportunity to learn first-hand the Program quality expectations and field inspection process.

### Full Status:

The target inspection rate for Full status contractors is 15% of completed projects, with a minimum of one (1) inspection per quarter. NYSERDA reserves the right to adjust the field inspection rate based on the individual performance of each contractor.

### Special Status Request:

Projects may be selected for inspection at the request of program customers (home owners) or NYSERDA within one year of signing the Project Incentives and Financing Eligibility Summary Report. All field inspections conducted beyond 90 days from signing this form will not be scored and will be limited to specific concerns, and may include, but not be limited to: (a) health and safety testing such as gas leaks, combustion appliance drafting, and CO measurement, (b) verifying that the contracted energy conservation measures are installed, (c) verifying that the measures on the contract are present and have been installed correctly.

### Probationary Status:

Up to 100% of projects completed while on Probationary status may be subject to field inspections, at the sole discretion of NYSERDA. Inspection findings will be used by the Program Technical Services team as one of many factors in determining a contractor's future participation status.

### Suspended Status:

Up to 100% of projects completed while on a Suspended status may be subject to field inspections, at the sole discretion of NYSERDA. Inspection findings will be used by the Program Technical Services team as one of many factors in determining a contractor's future participation status.

### Terminated Status:

Depending on the circumstances of termination, NYSERDA may at its sole discretion, conduct field inspections on a percentage of projects as deemed appropriate.

## Scheduling Field Inspections

### Setting up the Customer Call List

The Quality Services Provider is responsible for scheduling field inspections of completed projects within the assigned region(s) using the QACSS. The Quality Services Provider shall strive to conduct field inspections within thirty (30) days of project completion and to meet the specified average Program inspection percentage rate, and rational sampling plan for individual contractors as stipulated by NYSERDA. The QA Contractor shall not regularly schedule Field Inspections later than ninety (90) days from project completion unless in response to special circumstances.

### Obtain Project Data Prior to Conducting Field Inspections

Once sites are selected and inspections are scheduled using the QACSS, the Scheduler shall obtain the complete project file from the Program Portal and upload required information to the QACSS to support the retrieval, review and field use of project files by the Field Inspectors.

### Contractor Invitation to Field Inspection

Customers contacted by NYSERDA's Quality Service Provider to schedule a field inspection will have the option of allowing the Participating Contractor to be present at the time of inspection.

Customers are encouraged to allow the Participating Contractor to attend so that any questions can be answered, and minor fixes may be made on site. If the customer agrees, the Participating Contractor shall be notified of the upcoming inspection via email and shall RSVP via the QACSS Portal. Inspections shall be scheduled at least two weeks in advance and no less than Five (5) business days.

Customers have the right to request that the Participating Contractor not attend the field inspection. In these situations, the Participating Contractor will not be notified of the scheduled inspection but will receive the result of the inspection within five (5) business days after inspection.

## Field Inspection Procedures

Field inspection procedures are generally outlined below and are used to assess the performance of participating contractors and their level of compliance with technical standards and programmatic rules. To view a detailed list of all field inspection check points, please refer to the ***Residential Single Family Field Inspection Checklist***.

### Field Inspection Types

There are three "Inspection Types" outlined by Project Type and Market Sector in Table 2 below. The Inspection Type, "Field Inspection: Comprehensive" includes all elements described in the "On-site Field Inspection Protocol" below, whereas the Inspection Type, "Field Inspection: Electric Reduction" includes only those elements required for low-income projects.

<b>Table 2: Inspection Type by Project and Market Sector</b>		
<i>Project Type</i>	<i>Market Sector</i>	<i>Inspection Type</i>
Comprehensive or Single Measure requiring blower door testing	LMI and Market	Field Inspection: Comprehensive
Electric Reduction Measures	LMI	Field Inspection: Electric Reduction
Special requests by NYSERDA	LMI and Market	Non-Standard Inspection

## Preparation for Field Inspection and Homeowner Orientation

The Quality Services Provider's Field Inspector shall conduct one of three inspection types based on the Project Type and Market Sector as outlined in Table 2 above. Each inspection type requires the following:

- An introduction to the customer, including the QA Field Inspector's name and company;
- A description of the inspection and testing procedures;
- An overview of the Residential Program and answers to customer questions; and
- Ask customer questions about any identified project concerns after having reviewed project documentation.
- Determine whether health and safety issues were identified by the Participating Contractor audit and assess whether the approved Participating Contractor work scope addressed those issues.
- Determine whether the most cost-effective energy efficiency measures were recommended by the Contractor, whether the approved and contracted measures were installed and whether the installed measures meet Program standards.

### RES SF (1-4 units) Field Inspection: Comprehensive (Whole House)

*Application: LMI and Market Rate Comprehensive Whole House projects*

- Complete exterior visual inspection (i.e., chimneys, ventilation, roofing, siding, windows, foundation, obstructions, and landscaping);
- Complete interior inspection (i.e., visual inspection, place home under winter conditions, test CO levels, and set up blower door);
- Complete basement inspection (i.e., visual inspections of condition, insulation levels and distribution system, measure CO in combustion appliance zone [CAZ], gas leak detection, combustion efficiency testing, and worst-case depressurization);
- Complete attic inspection;
- Conduct blower door test;
- Complete building shell inspection with thermal imaging infrared scan required for all times when temperature delta allows for good imaging results (i.e. insulation levels in walls, attics, floors, windows, and doors);
- Verify wall insulation installation using a combination of the following:
  - Probing outlets or drilling holes (required on all projects);
  - Pulling and checking under siding;
  - Borescope
  - Infrared scans (conditions permitting); and
  - Core sampling to verify density as directed by NYSERDA.
- Appliance and lighting inspections to determine if the recommended measures were the most cost-effective; and
- Ensure all approved energy conservation measures are installed, operating, and in compliance with building efficiency standards and Program requirements.

### RES SF (1-4 units) Field Inspection: Comprehensive (Single Measure w/Blower Door)

*Application: LMI and Market Rate Single-measure projects with Air Sealing and Insulation*

- Ensure approved energy efficiency measure(s) were installed, functioning properly, and in compliance with technical/manufacturer standards, applicable BPI building science standards and Program requirements;
- Conduct blower door test and inspect for air leakage in the structure;

- Complete building shell inspection with thermal imaging infrared scan required at all times when temperature delta allows for good imaging results (i.e. insulation levels in walls, attics, floors, windows, and doors);
- Verify wall insulation installation using a combination of the following:
  - Probing outlets or drilling holes (required on all projects);
  - Pulling and checking under siding;
  - Infrared scans (conditions permitting); and
  - Core sampling to verify density as directed by NYSERDA.

**RES SF (1-4 units) Field Inspection: Electric Reduction**

*Application: LMI Electric Reduction projects*

- Appliance and lighting inspections to determine if the recommended measures were the most cost-effective; and
- Determine whether all energy efficiency and conservation measures approved by the Program were installed, that they operate properly and in compliance with technical/manufacture standards, applicable BPI building science standards and Program requirements.

**RES SF (1-4 units) Desk Review: Measure Verification (Non-standard Inspection)**

*Application: LMI and Market Rate projects*

- Participating Contractor will provide equipment technical data sheet and nameplate photo for the installed energy conservation measure (e.g. appliance, heating equipment, water heater, etc.).
- Desk Reviewer will verify installation with the customer, including total cost and homeowner cost-share;
- Complete a customer survey through QACSS during verification contact with customer.

**RES SF QACSS Scoring System**

**QACSS Scoring Algorithm**

Each field inspection will receive a score from 1 to 5, using a five point scoring system, where a score of three (3) represents the minimum quality requirements for the Program.

**Overall QA Inspection Scoring Criteria**

Each inspection will receive a score, on a five point scale. This score is an indicator of the overall quality and compliance with Program requirements, based on the number and type of non-conformances observed. Specific criteria are given in Table 3, for scores of one (1), three (3), and five (5).

<b>Table 3: QA Inspection Scoring Criteria</b>			
<i>Defect Category</i>	<i>Number of Defects by Defect Category (Effect on QA Score)</i>		
	<i>Score of 5</i>	<i>Score of 3</i>	<i>Score of 1</i>
Incidental	Up to 3	Allowed	Allowed
Minor	0	Up to 3	Allowed
Major	0	0	2 or more
Critical	0	0	1 or more

In calculating the score, the highest level of observed non-conformance is the most important factor. For example, projects with two (2) major non-conformances would receive a score of one (1), even if it had no minor or incidental non-conformances. Projects with any critical non-conformance will automatically receive a score of one (1). A project with four (4) minor non-conformances, and no others, would receive a score of two (2), and if there are additionally incidental non-conformances, would receive a score of one (1). Similarly, a project with only one (1) or two (2) minor non-conformances would receive a score of four (4), since it does not quite meet the requirements to get a five (5) but exceeds the thresholds to achieve a score of three (3). The final score, however, will be informed by the field inspector, who will have the latitude, if necessary, to recommend a higher or lower score, based on a holistic view of the project.

#### Score of 5: Project Meets All Program Criteria

A project receiving a score of five (5) is generally well-installed, with no noticeable defects in assessment quality, work quality, health & safety and overall Program compliance. These projects are examples of best practices in RES SF installation.

#### Score of 3: Project Meets Key Program Requirements

A project achieving a score of three (3) meets basic program requirements but may require some modification to be considered fully compliant.

#### Score of 1: Project Does Not Meet Program Requirements

Projects receiving a score of one (1) have failed to meet key Program requirements and are not expected to safely deliver mmBTU and carbon benefits aligned with the statement of work and Program records. These projects may require urgent attention to address safety concerns.

### Field Data Collection

#### Assessment Quality

The Assessment Quality component covers the quality of the contractor's submitted assessment documentation in comparison to the on-site conditions verified by the Quality Inspector, summarized in the following table. This includes general data collection about the home, measurements, existing conditions and recommendations.

<b>Table 4: Assessment Quality</b>	
<i>Rating</i>	<i>Description</i>
Pass	Conditions were recorded, measurements were performed, and recommendations were made correctly.
Conditional Pass	Conditions were recorded, measurements performed, and recommendations were made but minor issues were found that should be communicated to the contractor.
Fail	Conditions were recorded, measurements performed, and recommendations were made poorly or not at all.
Not Inspected	Conditions, measurement or recommendations could not be inspected due to site conditions and therefore is not included in point calculations.
Not Applicable	Conditions, measurement or recommendation was not applicable to the site, and therefore is not included in the point calculations.

## Work Quality

The Work Quality component represents the largest portion of a project score as it is paramount to achieving predicted energy savings, has a large impact on customer satisfaction and is integral to a positive evaluation of the overall program. Each Energy Efficiency Measure (EEM) installed by a contractor has a grouping of required tasks to properly install the EEM. The quality of work is established through a field inspection to evaluate installed measures against a set of clearly defined tasks.

<b>Table 5: Work Quality Ratings</b>	
<i>Rating</i>	<i>Description</i>
Pass	Work was performed correctly.
Conditional Pass	Work was performed but minor issues were found that should be communicated to the contractor.
*Fail	Work was performed poorly or was not performed. Return visit or billing adjustment will almost always be required. *Note: Measures corrected by the Participating Contractor during the inspection will be documented and assessed at the condition first found by the Quality Inspector.
Not Inspected	Work that could not be inspected due to site conditions and therefore is not included in point calculations.
Not Applicable	This task was not applicable to the site, and therefore is not included in the point calculations.

Some tasks have been identified as being critical to the successful completion of that measure. When one of these tasks is rated as fail, it will result in a significant reduction in the scoring.

## Health and Safety

The Health & Safety Quality component covers the quality of the contractor's submitted Health & Safety (H&S) documentation in comparison to the on-site conditions verified by the Quality Inspector. This includes an assessment of the combustion appliance safety testing data and a visual inspection of the home to determine potential H&S conditions were treated properly. A full list of the inspection points is included in the Field Inspection Checklist.

<b>Table 6: Health &amp; Safety Quality Ratings</b>	
<i>Rating</i>	<i>Description</i>
Pass	Combustion Safety testing results are within Program and BPI testing limits and all potential H&S hazards were properly addressed.
Conditional Pass	Combustion Safety testing results indicates a recommendation to service an appliance should have been made but no recommendation was made.
*Fail	Combustion Safety testing results are outside of Program or BPI testing limits and one or more H&S hazards were not properly addressed. *Note: Measures corrected by the Participating Contractor during the inspection will be documented and assessed at the condition first found by the Quality Inspector.
Not Inspected	Work that could not be inspected due to site conditions and therefore is not included in point calculations.
Not Applicable	This task was not applicable to the site, and therefore is not included in the point calculations.

## Handling Non-Conformance and Corrective Action

Projects that have non-conformances related to critical (Health & Safety) or major (Project Performance) attributes will automatically fail. Projects that have only non-conformances to minor or incidental attributes may pass or fail based upon their overall merit.

All non-conformances are expected to be addressed and corrected with regard to future work conducted in the Program. Acknowledgement and plans for preventing future problems may be requested by NYSERDA.

While some non-conformances cannot be corrected post installation, others can be remedied through corrective action to the documentation, incentive applied to the project or remediation of the project or certain energy conservation measures that have not met Program requirements.

When corrective action is required by NYSERDA, it will be indicated as such on the Inspection Report issued via email from the QACSS to the Participating Contractor. Failed Inspection Reports must be remediated within 30 days or disputed within 15 days of the issue date.

Sufficient evidence of the remediation must be provided to NYSERDA to document the completion of the required corrective action and resolution approved by NYSERDA within 30 calendar days. NYSERDA may at its option conduct a field verification of the remediated installation.

NYSERDA retains the right to provide a copy of the Inspection Report or specific information from the field inspection directly to the homeowner, all authorities having local jurisdiction or other stakeholder based upon health, safety and compliance concerns.

NYSERDA may, at NYSERDA's discretion, communicate by voice and/or written format with any customer (homeowner) with respect to any matter relevant to a proposed or installed project. Such communications may be in reply to an inquiry from a customer or at NYSERDA's initiation.

## Reporting

### Inspection Report

The Inspection Report all non-conformances that were identified during the field inspection along with the overall project score and whether this result passes or fails Program requirements.

### Corrective Action Report

The Corrective Action Report (CAR) lists all non-conformances where NYSERDA requires remediation and response from the Participating Contractor. Requirements as to whether photo evidence of the completed correction are stipulated in the CAR.

## Performance Reports

Each Participating Contractor shall have the ability to access all field inspection results through the QACSS as well as having access to the following formatted reports.

### QA Performance Summary Report:

This report includes the total number of projects completed in the previous month, quarter and 12 months; the total number of field inspections during the previous month, quarter and 12 months; and the average quality score, and component scores for Assessment Quality, Work Quality, and Health & Safety Quality for the previous 12 months.

### QA Scheduling Report:

This report includes a count of completed projects, inspections, contractor attendance at inspections, and the number of customers who refused an inspection.

### QA Detail Report:

This report includes a list of all completed field inspections over designated period and the respective score, and summary of all measure/task deficiencies.

### Pareto Analysis:

This statistical technique to guide decision-making quantifies the findings of a specific deficiency divided by the cumulative sum of all deficiencies found during field inspections over a defined period. The cumulative percent of each deficiency is tabulated to prioritize corrective action such that the priority reflects the deficiency with the greatest cumulative impact. It's based on the Pareto Principle (also known as the 80/20 Rule), the idea that 80 percent of problems may be caused by as few as 20 percent of causes.

### Defect Frequency Analysis:

This statistical technique to guide decision-making quantifies the count of a specific deficiency divided by the sum of occurrence where the measure was included in the statement of work over a defined period. The relative percentage of times a defect is found as function of time a measure is implemented is tabulated to prioritize corrective action within certain measure categories which often relate to specific crew assignments.



**Administrator:**  
**QA Residential Inspection Checklist**



Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Assessment Quality	Assessment Quality	Data Collection	Q00000002	Energy Action Plan Completed	Incidental		N/A for HPwES. EmPower Action Plan completed by customer; customer can identify actions they have completed or will be completing		EmPower only, action plan was not completed
Assessment Quality	Assessment Quality	Data Collection	Q00000003	Building Specifications Depicted Accurately	Major		Measurements provided by contractor for heat loss and savings calculations, building components, etc. are accurate		
Assessment Quality	Assessment Quality	Data Collection	Q00000004	Ventilation Requirement Calculation Correct	Minor		Where ventilation is required the auditor and inspector should arrive at same ventilation requirement		
Assessment Quality	Assessment Quality	Data Collection	Q00000005	Preexisting Conditions Accurately Depicted	Major		The pre-existing conditions as recorded by the contractor must match site conditions as they exist		
Assessment Quality	Assessment Quality	Data Collection	Q00000006	Heating System Accurately Depicted	Major		Nameplate efficiency and age of unit matches contractor's documented numbers		
Assessment Quality	Assessment Quality	Data Collection	Q00000007	Blower Door Test Results Submitted	Major		Blower door test-in and test-out results were submitted	Pre-existing conditions exist which preclude use of blower door (such as ALM) that are noted by contractor and verified by inspector	Blower door test-in and/or test-out results were not submitted by the contractor.
Assessment Quality	Assessment Quality	Data Collection	Q00000008	Comprehensive Audit Submitted	Incidental		Customer received the audit report and felt it was it was adequately explained to them by the contractor		
Assessment Quality	Assessment Quality	Data Collection	Q00000009	Customer Signature Verified	Major		Customer signatures provided by contractor are authentic		Customer is 100% certain they did not sign document.
Assessment Quality	Assessment Quality	Data Collection	Q00000658	Contracted Costs Verified	Major		N/A for EmPower - Confirm with the customer that the contracted costs for each measure are accurate and do not include work performed for measures not listed. For Assisted and Coordinated projects, verify that the customer incurred out of pocket expenses (unless there was a loan).		
Assessment Quality	Assessment Quality	Data Collection	Q00000669	Comprehensive Home Assessment	Incidental		N/A for EmPower. Verify with the customer that they received the Comprehensive Home Assessment report PRIOR to contracting.		
Assessment Quality	Assessment Quality	Data Collection	Q00000670	So What's Next Brochure Received	Incidental		N/A for EmPower. Verify with the customer they received the "So What's Next Brochure" brochure		
Assessment Quality	Assessment Quality	Data Collection	Q00000671	Customer Verification of Work Completed	Incidental		N/A for EmPower. Ask the customer who completed the project measures. If the contractor is different than what is listed on the submitted project documents, rate task a fail.		
Assessment Quality	Assessment Quality	Data Collection	Q00000684	Combustion Safety Testing Results Submitted	Major		Testing results must be complete and submitted to the program	Testing results are partially complete	No combustion safety testing results were submitted
Assessment Quality	Assessment Quality	Data Collection	Q00000324	Coordinated Project - No Out Of Pocket Option Offered	Incidental		Contractors must offer a No Out of Pocket "Empower Only" option for AHP-Empower combined projects. Only score if customer is certain the contractor did or did not offer an EmPower only option		
Assessment Quality	Assessment Quality	Recommendations	Q00000609	Smoke Detector	Incidental			In rental properties, the landlord/property owner are required to provide smoke detectors in most jurisdictions. Add inspector notes indicating landlord has not provided smoke detector(s).	
Assessment Quality	Assessment Quality	Recommendations	Q00000711	CO Detector	Critical	There is no carbon monoxide detector in home. At least one CO detector meeting UL-2034 requirements shall be installed according to manufacturer's instructions in every home with an attached garage and/or combustion appliances. It is recommended that additional CO detectors are installed, as needed, to provide a separate detector for each floor of the building	At least one CO detector meeting UL-2034 requirements shall be installed according to manufacturer's instructions in every home with an attached garage and/or combustion appliances.	In rental properties, the landlord/property owner are required to provide CO detectors in most jurisdictions. Add inspector notes indicating landlord has not provided CO detector(s).	All dwellings with combustion appliances or an attached garage are required to have a CO detector. Both programs require all battery-only-powered carbon monoxide (CO) detectors have non-replaceable, non-removable batteries, capable of powering the devices for a minimum of ten years.
Assessment Quality	Assessment Quality	Recommendations	Q00000010	Air Sealing	Incidental		If reduction is available and there are no unresolved roadblocks, air sealing should have been recommended. Air sealing opportunities must always follow the pressure envelope. Lack of air sealing between a semi-conditioned basement and upstairs should not be considered a "missed opportunity" unless the leak extends beyond the conditioned space such as basement to attic bypasses.		

**Administrator:**  
**QA Residential Inspection Checklist**



Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Assessment Quality	Assessment Quality	Recommendations	Q00000011	Insulation	Incidental		If insulation is cost-effective and there are no roadblocks preventing upgrades insulation should have been recommended		
Assessment Quality	Assessment Quality	Recommendations	Q00000012	Insulation Voids Identified	Incidental		Voids in insulation must be accounted for by determining the net square footage of uninsulated area and recording it as a separate component of the building		
Assessment Quality	Assessment Quality	Recommendations	Q00000013	Domestic Hot Water	Incidental		If the existing system is in poor condition or is an electric tank that could have advanced controls installed, upgrades should have been recommended	EmPower projects - pass if EmPCalc was used	
Assessment Quality	Assessment Quality	Recommendations	Q00000014	Heating System(s)	Incidental		If existing system is in poor condition, improperly sized or creating a health risk, replacement should have been recommended	EmPower projects - pass if EmPCalc was used	
Assessment Quality	Assessment Quality	Recommendations	Q00000015	Windows and Doors	Incidental		Windows and doors should be evaluated for performance, operation, and air sealing, resulting in appropriate recommendations	EmPower projects - pass if EmPCalc was used	
Assessment Quality	Assessment Quality	Recommendations	Q00000016	Appliances	Incidental		If existing refrigerator or freezer was manufactured prior to 2000 or other major appliances (dw, washing machine, dehumidifier etc.) are not ENERGY STAR®, upgrades to ENERGY STAR® models should have been recommended	EmPower projects - pass if EmPCalc was used	
Assessment Quality	Assessment Quality	Recommendations	Q00000017	Direct Install Measures	Incidental		Covers CFLs, LEDs, light fixtures, aerators, showerheads, CO and smoke detectors, tank wrap, pipe insulation, programmable thermostats, window insulation, and DHW temp setback. If existing conditions meet eligibility requirements for replacement, replacements should have been recommended or installed	EmPower projects - pass if EmPCalc was used	
Assessment Quality	Assessment Quality	Recommendations	Q00000018	Distribution Systems: Ducts	Incidental		If duct system leakage exceeds 10% of the nominal air flow of the system and the ducts are located in an unconditioned space or semi-conditioned space (unvented and adjoined to the tempered earth) then duct sealing should have been recommended. If the ducts are not insulated to current code levels duct insulation should have been recommended	EmPower projects - pass if EmPCalc was used	
Assessment Quality	Assessment Quality	Recommendations	Q00000019	Distribution Systems: Hydronic	Incidental	Missed opportunity to recommend insulating heating supply pipes in unconditioned space per BPI Heating Standards.	Hydronic heating system pipes in unconditioned spaces that are not insulated should have had pipe insulation specified unless this could cause water pipes to freeze	EmPower projects - pass if EmPCalc was used	
Health & Safety	Combustion Appliance Testing	Testing Inspection	Q000000313	Gas Leak Testing - Pre-Existing Lines	Minor	[Enter number of gas leaks] gas leaks were detected and confirmed with soap solution. The gas leaks were marked with red tags. Photo documentation of the permanent repairs made do not need to be submitted. However, NYSERDA reserves the right to verify repairs were made through a future site-visit and/or conversation with the customer.	Indoor ambient air sampled at each floor of the home with a Combustion Gas Detector has a LEL of 0% (MIG 2.10)		Indoor ambient air LEL measurements above 0%, gas leak testing performed on all gas lines and combustion appliances per ANSI/BPI-1200-S-2017 Section 7.5. All leaks shall be tagged and photo documented.
Health & Safety	Combustion Appliance Testing	Testing Inspection	Q000000314	Gas Leak Testing - Contractor Installed Lines	Major	[Enter number of gas leaks] gas leaks were detected and confirmed with soap solution. The gas leaks were marked with red tags. Photo documentation of the permanent repairs made do not need to be submitted. However, NYSERDA reserves the right to verify repairs were made through a future site-visit and/or conversation with the customer.	Gas leak testing performed on all gas lines and combustion appliances (existing and new) per ANSI/BPI-1200-S-2017 Section 7.5, no gas leaks identified. (MIG 2.10)		Gas leak testing performed on all gas lines and combustion appliances (existing and new) per ANSI/BPI-1200-S-2017 Section 7.5. All gas leaks shall be tagged and photo documented.
Health & Safety	Combustion Appliance Testing	Testing Inspection	Q000000315	Correctly Measured CAZ(s) De-pressurization	Major	Worst-case CAZ depressurization limits were exceeded during testing. Recorded reading was (pascal reading). BPI limit is (pascal reading). BPI Standards state: When CAZ depressurization limits are exceeded under worst-case conditions according to the CAZ Depressurization Limit table, make up air must be provided or other modifications to the building shell or exhaust appliances must be included in the work scope to bring the depressurization within acceptable limits.	CAZ passes the depressurization limit and the appliances pass spillage and draft under worst case		CAZ fails the depressurization limit, but the appliances still pass spillage and draft under worst case. Or, the CAZ fails the depressurization limit, and under natural conditions the appliances fail spillage or draft
Health & Safety	Combustion Appliance Testing	Testing Inspection	Q000000316	Spillage Test Safe	Major	(Type of appliance) failed draft (actual draft reading) and/or spillage test with a CO reading of (___) ppm. (Fuel supplier name) verified the condition. The utility red tagged the unit, and left or turned the gas supply to the (home or type of appliance) on or off.		Contractor's test out data did not indicate that a backdraft was occurring under worst case conditions even though there was not unsafe levels of CO	Contractor's test out number did not indicate that spillage or back draft was occurring at worst case which is causing unsafe levels of CO.

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Health & Safety	Combustion Appliance Testing	Testing Inspection	Q000000318	Ambient CO Measurements Safe	Major			Ambient CO that exceeds 9 ppm* (OSHA 8 hour exposure limit) under non-testing conditions	Ambient CO that exceeds 35 ppm under any circumstances
Health & Safety	Combustion Appliance Testing	Testing Inspection	Q000000319	Appliance CO Measurements Safe	Major	(Name of appliance(s) failed spillage ( ) pascals at worst case depressurization with CO of ( ) ppm. Worst case (name items that caused worst case – example, kitchen exhaust and dryer); baseline ( ) pascals; worst case ( ) pascals; difference ( ) pascals. CO reading of gas oven is ( ) ppm after 10 minutes of operation. Repair oven per BPI Standards Undiluted CO reading of (type of appliance) exceeded 400 ppm and passes spillage testing. (Fuel supplier name) verified the condition. The utility red tagged the unit, and left or turned the gas supply to the (home or type of appliance) on or off. High CO issue needs to be corrected. Undiluted CO reading of (type of appliance) exceeded 400ppm and fails spillage testing. (Fuel supplier name) verified the condition. The utility red tagged the unit, and left or turned the gas supply to the (home or type of appliance) on or off. High CO and/or spillage issues need to be corrected.	Appliance CO measurements match the Contractor's measurements and is not above 400ppm. The appliance must pass spillage under natural conditions		
Health & Safety	Combustion Appliance Testing	Testing Inspection	Q000000691	Smoke Reading Acceptable	Major	Fuel oil heating unit smoke reading is ( ) and does not meet the burner manufacturers specifications.	Smoke reading of fuel oil units within manufacturers specifications, typically be between 0-1		Smoke reading of fuel oil unit exceeds 1
Health & Safety	Combustion Appliance Testing	Testing Inspection	Q000000396	Gas Line Capped	Critical	Gas line terminates and is not capped off at the end. NFPA 54 Chapter 7.7.21 states: Each outlet, including a valve, shall be closed gastight with a thread plug or cap immediately after installation and shall be left closed until the appliance or equipment is connected thereto. When an appliance or equipment is disconnected from an outlet and the outlet is not to be used again immediately, it shall be capped or plugged gastight	Each outlet, including a valve, shall be closed gastight with a thread plug or cap immediately after installation and shall be left closed until the appliance or equipment is connected		
Health & Safety	Combustion Appliance Testing	Testing Inspection	Q000000397	Oil Leakage Testing	Minor	An oil leak was found at (name location and include picture) and needs to be repaired. NFPA 31, Chapter 8.2.9, states: Piping systems shall be maintained liquid tight. A piping system that leaks shall be emptied of liquid or repaired in an approved manner.			
Health & Safety	Combustion Appliance Testing	Visual Inspection	Q000000399	Unvented Space Heater Identified	Minor	Measures were completed that may effect the air movement in the home and an unvented space heater or heaters are present in the home and the fuel line is not capped off. No measures were completed that effected air movement in the home but an unvented space heater or heaters were present in the home, the fuel line was not capped off and no recommendation to disable the appliance was documented	If measures were completed that impact air movement in the home any unvented space heaters must be disconnected and the fuel supply line capped. If no measures were completed that effect air movement in the home, but an unvented space heater exists, the contractor must make a recommendation to the homeowner to disable it.		An unvented space heater was not disabled and the fuel line was not capped off and measures were completed that effected air movement in the home. Or, no measures were completed that effect air movement in the home but an unvented space heater exists, the fuel line is not capped off and no recommendation to disable the appliance was documented.
Health & Safety	Combustion Appliance Testing	Visual Inspection	Q000000694	Attic Space Accessible	Major	Attic insulation and/or air sealing was a contracted measure and the attic access has been sealed shut. The contractor created an access to the attic that must be permanently sealed (such as access through drywall, or situations where the contractor insulates the attic through a vent) and did not submit pre and post photos of the installed insulation per Program Guidelines	Contractor must not seal off access to the attic when attic insulation and/or air sealing was a contracted measure. In the event that a contractor creates an access to the attic that must be permanently sealed (such as access through drywall, or situations where the contractor insulates the attic through a vent), the contractor must provide pre and post photos of the installed insulation and submit per Program Guidelines (MIG 3.4.1)		Attic air sealing and/or insulation was installed and the contractor sealed off an access to the attic that previously existed. If pre-existing attic access was sealed off, the QSP inspector shall cut open the seal and complete the attic inspection. The contractor did not provide pre and post photos of the installed attic measures where the contractor created an access to the attic that must be permanently sealed (such as access through drywall, or situations where the contractor insulates the attic through a vent).
Health & Safety	Combustion Appliance Testing	Visual Inspection	Q000000309	Correct Fuel Identified	Critical				
Health & Safety	Combustion Appliance Testing	Visual Inspection	Q000000310	Located All Combustion Appliance Zones	Minor		All equipment was tested and the depressurization set up accurately defined the Combustion Appliance Zone		
Health & Safety	Combustion Appliance Testing	Visual Inspection	Q000000311	Correct Venting Type Identified	Minor				
Health & Safety	Combustion Appliance Testing	Visual Inspection	Q000000312	CAZ and Appliances Related Safety Issues Identified	Major		Contractor should have identified and recommended a fix for any CAZ and Appliance related safety issues, including, detached or corroded flue pipes or problems with size or pitch, problems with DHW relief valve, broken or kinked oil lines, water leakage, open returns, no air filter, etc	The Contractor did not identify or recommended a fix for all CAZ and Appliance related safety issues	The house is in imminent danger of exploding or fire and/or the ambient CO is not elevated due to the the CAZ and/or Appliance related H&S issue not identified/fix

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Health & Safety	Health & Safety	Clean and Tune	Q00000716						
Health & Safety	Health & Safety	Roadblocks	Q00000302	Friable PACM	Major		Contractor did not depressurize home using Blower Door or conduct Air Sealing in areas containing friable PACM that was in poor condition and at risk of becoming airborne.		Contractor depressurized the home using a Blower Door and/or conducted Air Sealing in areas that contained friable PACM that was in poor condition and at risk of becoming airborne.
Health & Safety	Health & Safety	Roadblocks	Q00000303	Mold like substance - Greater Than 10 Square Feet	Major		Contractor did not depressurize home using Blower Door or conduct Air Sealing in areas containing mold like substance. The conditioned space may be depressurized if MLS is not within the conditioned space.	In situations where more than 10 sq. ft. of mold-like substance exists in the attic, contractors may proceed with measures that may impede mold growth in the attic per MIG section 2.4.2	Mold like substance exists and the contractor conducted a blower door test and/or completed air sealing in the areas containing mold like substance.
Health & Safety	Health & Safety	Roadblocks	Q00000305	Knob & Tube Wiring	Major		Knob and tube wiring has been either removed or permanently de-activated wherever insulation was completed or no insulation/air sealing materials were installed within 3 inches of active knob and tube wiring		Insulation or air sealing materials have been installed within 3 inches of active knob and tube wiring
Health & Safety	Health & Safety	Roadblocks	Q00000306	Moisture Mitigated Properly	Major		Contractor identified all sources of moisture problems, and source mitigation or necessary repairs performed		Mitigation of persistent moisture issues were not corrected. Verify with owner if moisture issues were present while the contractor was on site; if no moisture was present or they are unsure mark N/I
Health & Safety	Health & Safety	Roadblocks	Q00000559	Exhaust Fans Vented Properly	Major	Dryer and/or bathroom exhaust fan not vented properly. Vent dryer and/or bathroom exhaust fan to the outside. BPI Standards state: Clothes dryers, regardless of fuel type, and bathroom exhaust fans must be vented directly outside using appropriate duct materials (metal ducts are required for gas fueled clothes dryers) before proceeding with installation of air sealing, duct sealing, or enclosed cavity insulation measures. Exhaust ducts running through unconditioned space must be insulated and have a minimum ¼" rise for every foot of run towards wall or roof terminations.	All exhaust fans (bath fans, kitchen fans, clothes dryers) must be vented to the outside of the structure in all cases where measures will be installed that will change the air movement in the home		All exhausts must terminate outside, fail even if not included in contract.
Health & Safety	Health & Safety	Roadblocks	Q00000713	Property Damage	Major		Mark as failed if there is clear evidence the contractor has caused significant damage to the property (holes in walls, damage to woodwork, spray foam insulation blew out a wall, etc.). In all cases, it is important to document the customer's comments in the failure description		
Work Quality	Appliances	Clothes Washer	Q00000277	Contracted Clothes Washer Unit Installed	Major		The make and model number of the installed equipment match the approved contract	Make and model don't match contract but are same EF ratings	Installed equipment does not match contract and a lesser EF rated system was installed. Or, clothes washer was not installed.
Work Quality	Appliances	Clothes Washer	Q00000278	Installed unit is ENERGY STAR	Major				
Work Quality	Appliances	Clothes Washer	Q00000279	Hose connections - Hose connections are secure and show no signs of leaking	Incidental				
Work Quality	Appliances	Clothes Washer	Q00000280	Machine sits evenly on floor and shows no sign of rocking	Incidental				
Work Quality	Appliances	Dehumidifier	Q00000286	Contracted Dehumidifier Unit Installed	Major		The make and model number of the installed equipment match the approved contract	Make and model don't match contract but are same EF ratings	Installed equipment does not match contract and a lesser EF rated system was installed. Or, no dehumidifier was installed.
Work Quality	Appliances	Dehumidifier	Q00000287	Installed Unit Is ENERGY STAR	Major				
Work Quality	Appliances	Dishwasher	Q00000288	Contracted Dishwasher Unit Installed	Major		The make and model number of the installed equipment match the approved contract	Make and model don't match contract but are same EF ratings	Installed equipment does not match contract and a lesser EF rated system was installed. Or, dishwasher was not installed.
Work Quality	Appliances	Dishwasher	Q00000289	Installed Unit Is ENERGY STAR	Major				
Work Quality	Appliances	Dryer	Q00000281	Moisture Sensor Control	Major		A moisture sensor control is present		
Work Quality	Appliances	Dryer	Q00000282	Vent Installation Acceptable	Major		Dryer vents must be installed in a manner that allows air to flow freely through it.		The installed vent has one or more issues that will restrict proper airflow. Tears, crushed material, sharp bends, unusually long vent runs, etc
Work Quality	Appliances	Dryer	Q00000283	Code-Compliant Vent	Major		Solid vent pipe with minimal flexible metal were installed		Vinyl (including foil faced flex vents were used on gas fired dryers
Work Quality	Appliances	Dryer	Q00000284	Passes CAZ and CO Testing	Major		Dryer location max depressurization is -15 and CO levels are acceptable		

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Appliances	Dryer	Q000000285	Contracted Dryer Unit Installed	Major		The make and model number of the installed equipment match the approved contract	Make and model don't match contract but are same EF ratings	Installed equipment does not match contract and a lesser EF rated system was installed. Or, no dryer was installed.
Work Quality	Appliances	Fridge and Freezer	Q000000292	Contracted Fridge or Freezer Unit Installed	Major		The make and model number of the installed equipment match the approved contract	Make and model don't match contract but are same EF ratings	Installed equipment does not match contract and a lesser EF rated system was installed. Or, refrigerator or freezer unit not installed. Mark as N/I and add inspector note indicating deficiency, unless the unit was to be provided directly by the contractor (typically a WAP agency) and not the NYSERDA appliance vendor.
Work Quality	Appliances	Fridge and Freezer	Q000000293	Installed Unit Is ENERGY STAR	Major				
Work Quality	Appliances	Room A/C	Q000000274	Contracted AC Unit Installed	Major		The make and model number of the installed equipment match the approved contract	Make and model don't match contract but are same EF ratings	Installed equipment does not match contract and a lesser EF rated system was installed. Or, clothes washer was not installed.
Work Quality	Appliances	Room A/C	Q000000275	Installed Unit Is ENERGY STAR	Major				
Work Quality	Appliances	Room A/C	Q000000276	Unit Installed Securely	Minor		Unit is secured in the window according to manufacturer's installation specifications		
Work Quality	Appliances	Timers for Appliances	Q000000290	Contracted Timer(s) Installed	Major		Timers should have been installed on appliances that the home owner indicated stayed on even when no one was using them. (TV, computer, DVD player)		
Work Quality	Appliances	Timers for Appliances	Q000000291	Make and Model Number Match Contractor Invoice	Minor		The make and model number of the installed equipment match the approved contract		
Work Quality	Direct Install Measures	Bathroom Faucet Aerator	Q000000030	Meets Program Requirements	Minor		Installed aerator has the required gpm		
Work Quality	Direct Install Measures	Bathroom Faucet Aerator	Q000000031	Aerator Is Leak Free	Incidental				
Work Quality	Direct Install Measures	Bathroom Faucet Aerator	Q000000032	Aerator Finish is Unmarked	Incidental				
Work Quality	Direct Install Measures	Bathroom Faucet Aerator	Q000000033	Teflon Tape Neatly Installed	Incidental				
Work Quality	Direct Install Measures	Bathroom Faucet Aerator	Q000000034	Water Stream Straight	Incidental				
Work Quality	Direct Install Measures	Bathroom Faucet Aerator	Q000000035	Correct Quantity Installed	Major		There should be the same number and type of items installed as the contractor reported and invoiced for. If the numbers do not match, ask the customer if they removed any. If customer cannot remember whether they or someone else removed any, rate this as 'Not Inspected'		
Work Quality	Direct Install Measures	CFL's	Q000000049	Installed Location is Appropriate	Incidental		CFLs must be matched to their location to perform properly. Exterior bulbs should be exterior rated and only dimmable bulbs in fixtures with dimmers		
Work Quality	Direct Install Measures	CFL's	Q000000050	CFL(s) Function Properly	Incidental		The bulb energizes and comes to its full brightness		
Work Quality	Direct Install Measures	CFL's	Q000000051	CFL(s) Equal Wattage Of Replaced Bulb	Incidental		The replacement bulb should be close in Lumens to the bulb that it replaces		
Work Quality	Direct Install Measures	CFL's	Q000000052	Meets Program Requirements	Incidental				
Work Quality	Direct Install Measures	CFL's	Q000000053	Approved Socket Extender Installed	Incidental		Only socket extenders that have been approved by the program should be installed		
Work Quality	Direct Install Measures	CFL's	Q000000054	Correct Quantity Installed	Major		There should be the same number and type of items installed as the contractor reported and invoiced for. If the numbers do not match, ask the customer if they removed any. If customer cannot remember whether they or someone else removed any, rate this as 'Not Inspected'		
Work Quality	Direct Install Measures	CO Detector	Q000000026	Contracted CO Detector Present	Critical	Contracted CO detector(s) have not been installed.	If the contract included installation of one or more CO detectors, verify that all have been installed.		CO detector(s) have not ben installed as contracted. All battery-only-powered carbon monoxide (CO) detectors shall have non-replaceable, non-removable batteries, capable of powering the devices for a minimum of ten years
Work Quality	Direct Install Measures	CO Detector	Q000000027	Powered by Lithium Battery	Incidental				

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Direct Install Measures	CO Detector	Q00000028	Meets Program Eligibility Requirements	Incidental		Employs an electro-chemical sensor		
Work Quality	Direct Install Measures	CO Detector	Q00000029	CO Detector Installation	Incidental		CO Detector Installed Per Manufacturer's Requirements		
Work Quality	Direct Install Measures	Combo Detector	Q000000663	Contracted Combination Smoke/CO Detector Present	Critical	Contracted combination Smoke/CO detector(s) has not been installed.	If the contract included installation of one or more Combo Smoke/CO detectors, verify that all have been installed.		Combination Smoke/CO detector(s) have not been installed as contracted. All battery-only-powered combination smoke/carbon monoxide (CO) detectors shall have non-replaceable, non-removable batteries, capable of powering the devices for a minimum of ten years
Work Quality	Direct Install Measures	Combo Detector	Q000000664	Combination Smoke/CO Detector Installation	Major		Combination Smoke/CO detector must be installed per manufacturer's specifications		
Work Quality	Direct Install Measures	Combo Detector	Q000000665	Powered by Lithium battery	Major				
Work Quality	Direct Install Measures	Combo Detector	Q000000666	Make and Model Program Approved	Major				
Work Quality	Direct Install Measures	DHW Tank Wrap	Q000000075	Tank Wrap Not Compressed	Incidental		Tank wrap should be installed tight enough not to sag but not so tight that the fiber glass is compressed which would reduce the R-value		
Work Quality	Direct Install Measures	DHW Tank Wrap	Q000000076	Contracted Tank Wrap Installed	Major		Tank wrap was installed and the r-value matches the contracted value	R-value of installed tank wrap is less than what contracted for	Tank wrap was not installed
Work Quality	Direct Install Measures	DHW Tank Wrap	Q000000077	Seam Are Folded Neatly & Stapled At 2" Intervals	Incidental		When installing a tank wrap, the wrap should have enough excess material to neatly fold the seam over (hiding the fiber glass and completing the vapor retarder.) This seam should be kept straight and fastened every 2".		
Work Quality	Direct Install Measures	DHW Tank Wrap	Q000000078	Tank Wrap Clear Of Heat Sources	Minor		The tank wrap should not be closer than 6" to any flue pipe or the air intake at the bottom of a fossil fuel water heater. The top of a fossil fuel water heater should not be insulated.		
Work Quality	Direct Install Measures	DHW Tank Wrap	Q000000079	Electric Water Heater - Tank Wrap Installed on Top Of Tank Done Properly	Incidental		The top should be insulated and all seams and penetrations tightly sealed		
Work Quality	Direct Install Measures	DHW Tank Wrap	Q000000080	Control Access Cut-out Done Properly	Incidental		The control panel must be exposed. It should be cut in an "I" pattern		
Work Quality	Direct Install Measures	DHW Tank Wrap	Q000000081	Pressure Relief Cut-out Done Properly	Incidental		The tank wrap should not encompass the pressure relief valve or piping		
Work Quality	Direct Install Measures	DHW Tank Wrap	Q000000082	Seams Sealed With Vinyl Tape	Incidental		The seams of the tank wrap should be sealed with the vinyl tape supplied in the tank wrap kit. No duct tape		
Work Quality	Direct Install Measures	Fluorescent Torchieres	Q000000058	Replacement Torchiere Is ENERGY STAR Rated	Incidental				
Work Quality	Direct Install Measures	Fluorescent Torchieres	Q000000059	Fixture Has Comparable Luminescence	Incidental				
Work Quality	Direct Install Measures	Fluorescent Torchieres	Q000000060	Dimmer Appropriate	Incidental		Circuit Not On A Dimmer Unless Lamp Is Rated For Dimmer		
Work Quality	Direct Install Measures	Fluorescent Torchieres	Q000000061	Existing Torchiere Disabled	Incidental		The contractor is required to dispose of the old bulb and cut the cord on the existing torchiere. He may leave it with the homeowner. If he did not, just mark this as NI.		
Work Quality	Direct Install Measures	Fluorescent Torchieres	Q000000062	Correct Quantity Installed	Major		There should be the same number of items installed as the contractor reported and invoiced for. If the numbers do not match, ask the customer if they removed any. If customer cannot remember whether they or someone else removed any, rate this as 'Not Inspected'		
Work Quality	Direct Install Measures	Hot Water Pipe Insulation	Q000000083	Billed Insulation Installed	Major		At least 90% of the pipe insulation was installed as contracted		Less than 90% of contracted pipe insulation was installed
Work Quality	Direct Install Measures	Hot Water Pipe Insulation	Q000000084	Pipe Insulation Has Necessary Clearance To Heat Sources	Minor		Pipe insulation was installed more than 3" from double a wall vent or 6" from a single wall vent	N/A	Pipe insulation was installed less than 3" from a double wall vent or 6" from a single wall vent
Work Quality	Direct Install Measures	Hot Water Pipe Insulation	Q000000085	Correct Material Used	Incidental		R-3 neoprene or closed cell foam		

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Direct Install Measures	Hot Water Pipe Insulation	Q000000086	Elbows Mitered Neatly	Incidental		Elbows should be cut at 45 degree angles and fitted together to minimize gaps at elbows		
Work Quality	Direct Install Measures	Hot Water Pipe Insulation	Q000000087	T Connections Cut Properly	Incidental		T connections should have the main branch notch as small as possible and still accommodate the intersecting pipe. The intersecting pipe insulation should have the end cut in a "V" pattern and pushed into place to minimize gaps at T connections		
Work Quality	Direct Install Measures	Hot Water Pipe Insulation	Q000000088	Insulation Fastened Securely	Incidental		Zip ties installed at least every 12" and within 2" of the end of any piece.	Zip ties installed but the spacing is such that the pipe insulation has minor gaps resulting in exposed pipe	Zip ties were not installed every 12" or no zip ties were installed and/or unacceptable materials were used to secure the pipe insulation (i.e. duct tape)
Work Quality	Direct Install Measures	Hot Water Pipe Insulation	Q000000089	Seams Are On Bottom Of Pipe	Incidental				
Work Quality	Direct Install Measures	Hot Water Temperature Setback	Q000000091	Hot Water Temperature Is Set For Approximately 120 Degrees	Incidental				
Work Quality	Direct Install Measures	Hot Water Temperature Setback	Q000000092	Homeowner Was Instructed How To Set Temperature To Original Setting	Incidental		Verify with the homeowner. If the homeowner cannot recall, the task should be rated as Not Inspected		
Work Quality	Direct Install Measures	Kitchen Faucet Aerator	Q000000036	Meets Program Requirements	Incidental		Installed aerator has the required gpm		
Work Quality	Direct Install Measures	Kitchen Faucet Aerator	Q000000037	Aerator Is Leak Free	Incidental				
Work Quality	Direct Install Measures	Kitchen Faucet Aerator	Q000000038	Aerator Finish Is Unmarked	Incidental				
Work Quality	Direct Install Measures	Kitchen Faucet Aerator	Q000000039	Teflon Tape Neatly Installed	Incidental				
Work Quality	Direct Install Measures	Kitchen Faucet Aerator	Q000000040	Water Stream Straight	Incidental				
Work Quality	Direct Install Measures	Kitchen Faucet Aerator	Q000000041	Correct Quantity Installed	Major		There should be the same number and type of items installed as the contractor reported and invoiced for. If the numbers do not match, ask the customer if they removed any. If customer cannot remember whether they or someone else removed any, rate this as 'Not Inspected'		
Work Quality	Direct Install Measures	LED's	Q000000063	Installed Bulb(s) Are ENERGY STAR rated	Incidental				
Work Quality	Direct Install Measures	LED's	Q000000065	LED Location Appropriate	Incidental		LEDs should be installed in high use areas and should not be installed where used less than 2 hours a day (average) such as in closets, pantries, etc.		
Work Quality	Direct Install Measures	LED's	Q000000066	Night Light Replaced Incandescent Bulb	Incidental		Only existing night lights can be replaced		
Work Quality	Direct Install Measures	LED's	Q000000067	Night Light Functions	Incidental		The bulb energizes and comes to full brightness		
Work Quality	Direct Install Measures	LED's	Q000000069	Correct Quantity Installed	Major		There should be the same number of items installed as the contractor reported and invoiced for. If the numbers do not match, ask the customer if they removed any. If customer cannot remember whether they or someone else removed any, rate this as 'Not Inspected'		
Work Quality	Direct Install Measures	Light Fixtures	Q000000055	Fixture Meets Rating Or Ballast Standards	Incidental		Must be ENERGY STAR rated or must have an electronic ballast		
Work Quality	Direct Install Measures	Light Fixtures	Q000000056	Fixture Not On A Dimmer	Incidental				
Work Quality	Direct Install Measures	Light Fixtures	Q000000057	Correct Quantity Installed	Major		There should be the same number and type of items installed as the contractor reported and invoiced for. If the numbers do not match, ask the customer if they removed any. If customer cannot remember whether they or someone else removed any, rate this as 'Not Inspected'		
Work Quality	Direct Install Measures	LowFlow Showerhead	Q000000042	Meets Program Requirements	Incidental				
Work Quality	Direct Install Measures	LowFlow Showerhead	Q000000043	Showerhead Is Leak Free	Incidental				
Work Quality	Direct Install Measures	LowFlow Showerhead	Q000000044	Showerhead Finish Is Unmarked	Incidental				

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Direct Install Measures	LowFlow Showerhead	Q000000045	Teflon Tape Neatly Installed	Incidental				
Work Quality	Direct Install Measures	LowFlow Showerhead	Q000000046	Water Stream Even	Incidental				
Work Quality	Direct Install Measures	LowFlow Showerhead	Q000000047	Correct Quantity Installed	Major		There should be the same number and type of items installed as the contractor reported and invoiced for. If the numbers do not match, ask the customer if they removed any. If customer cannot remember whether they or someone else removed any, rate this as 'Not Inspected'		
Work Quality	Direct Install Measures	Motion Sensor Timer	Q000000098	Motion Sensor Timer Installed As Contracted	Major				
Work Quality	Direct Install Measures	Motion Sensor Timer	Q000000099	Motion Sensor Functions Properly	Incidental				
Work Quality	Direct Install Measures	Moveable Window Insulation	Q000000093	Installed Panel Is R-3 Or Greater	Incidental		Panel should have documentation showing it is R-3 or has a U-factor of .33 or less		
Work Quality	Direct Install Measures	Moveable Window Insulation	Q000000094	Panel Securely Fastened To Interior Finish	Incidental				
Work Quality	Direct Install Measures	Moveable Window Insulation	Q000000095	Fastening System Allows For Easy Removal	Incidental		Window insulation should be screwed or clipped in place rather than nailed or glued		
Work Quality	Direct Install Measures	Moveable Window Insulation	Q000000096	Panel Is Gasketed And Appears To Be Air Tight	Incidental		Where panel meets interior finish there should be a gasket that is fully engaged around the panel and compressed		
Work Quality	Direct Install Measures	Moveable Window Insulation	Q000000097	Correct Number Of Windows Treated	Minor				
Work Quality	Direct Install Measures	Programmable Thermostats	Q000000070	Installed Thermostat Has Been Programmed	Incidental		The installed thermostat has been programmed and is running on the program. If it is not running on the program, the inspector should ask the customer whether they turned it off. If customer cannot remember whether they or someone else turned it off, rate this as 'Not Inspected.'		
Work Quality	Direct Install Measures	Programmable Thermostats	Q000000071	Fan-Only Switch Functions	Incidental		The thermostat should have a "fan only" switch that turns the fan on high speed without calling for heating or cooling. Verify that it works properly		
Work Quality	Direct Install Measures	Programmable Thermostats	Q000000072	Equipment Cycles In The Correct Order	Incidental		When equipment is turned on in heating mode, the inducer fan or power vent should turn on first, followed by the heat exchanger and finally blower fan		
Work Quality	Direct Install Measures	Programmable Thermostats	Q000000073	Surrounding Finish Returned To Original Condition	Incidental				
Work Quality	Direct Install Measures	Programmable Thermostats	Q000000074	Correct Quantity Installed	Major		There should be the same number and type of items installed as the contractor reported and invoiced for. If the numbers do not match, ask the customer if they removed any. If customer cannot remember whether they or someone else removed any, rate this as 'Not Inspected'		
Work Quality	Direct Install Measures	Smoke Detector	Q000000022	Contracted Smoke Detector Present	Critical	Contracted smoke detector(s) has not been installed.	If the contract included installation of one or more Smoke detectors, verify that all have been installed.		Smoke detector(s) have not ben installed as contracted. All battery-only-powered carbon monoxide (CO) detectors shall have non-replaceable, non-removable batteries, capable of powering the devices for a minimum of ten years
Work Quality	Direct Install Measures	Smoke Detector	Q000000023	Smoke Detector Installation	Incidental		Smoke Detector must be installed per manufacturer's specifications		
Work Quality	Direct Install Measures	Smoke Detector	Q000000024	Powered by Lithium battery	Incidental				
Work Quality	Direct Install Measures	Smoke Detector	Q000000025	Make and Model Program Approved	Incidental				Revisit to address Installed Battery Only CO/Smoke detector per NYSERDA's Home Performance with ENERGY STAR® and EmPower New York programs will require that all battery-only-powered smoke detectors, carbon monoxide (CO) detectors and smoke/CO combination detectors have non-replaceable, non-removable batteries, capable of powering the devices for a minimum of ten years



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Work Quality	Duct Work	Duct Insulation	Q000000184	Correct R-Value And Amount Installed	Major		At least 90% of insulation was installed and meets or exceeds the r-value specified, if applicable		Less than 90% of billed insulation was installed
Work Quality	Duct Work	Duct Insulation	Q000000185	Insulation Not Compressed	Incidental		Insulation should not sag, but should not be pulled so tight it is compressed		
Work Quality	Duct Work	Duct Insulation	Q000000186	Seams Stapled Securely	Incidental		Excess material should be left when the insulation is cut. This excess should be folded neatly at the seams to hide the fiberglass and complete the vapor barrier. The seams should be stapled every 2" with a cinch stapler		
Work Quality	Duct Work	Duct Insulation	Q000000187	Vapor Retarder Continuous	Incidental		Once the seams are folded and stapled securely the seam should be sealed with vinyl tape to complete the vapor barrier. This is especially crucial with AC.		
Work Quality	Duct Work	Duct Insulation	Q000000188	Vapor Retarder Sealed With Vinyl Tape	Incidental				
Work Quality	Duct Work	Duct Sealing	Q000000674	Duct Sealing Completed as Contracted	Major		At least 90% of duct sealing in accessible areas was completed		Less than 75% of contracted duct sealing in accessible areas was completed
Work Quality	Duct Work	Duct Sealing	Q000000177	Sealant Material Was Appropriate	Incidental		Materials used were UL181B-FX or UL181A-M listed		
Work Quality	Duct Work	Duct Sealing	Q000000178	All Field Seams Sealed	Incidental	35 mil (~thickness of credit card) thick layer of duct mastic on all accessible duct seams per BPI and MIG standards. The QA inspector found mastic too thinly applied.	35 mil thick layer of mastic on all accessible seams		
Work Quality	Duct Work	Duct Sealing	Q000000179	Coil Housing Connections Sealed	Incidental	Install nickel thick layer of duct mastic on all accessible duct seams per BPI and MIG standards. The QA inspector found missed seams, and installed mastic too thinly applied.	Connections between furnace and coil housing are sealed with silicone caulk		
Work Quality	Duct Work	Duct Sealing	Q000000180	Filter Slot Treated	Incidental		A gasketed door or panel that is permanent may act as a filter slot cover		
Work Quality	Duct Work	Duct Sealing	Q000000183	Furnace Box Sealed Beneath (at Ground Level)	Incidental		Air handler cabinets which do not have "bottoms" should be sealed at their connection to the substrate or a fireproof material should be fastened and air sealed.		
Work Quality	Duct Work	Flex Duct Installation	Q000000558	Flexible Ducts Installed as Invoiced	Major				
Work Quality	Duct Work	Flex Duct Installation	Q000000549	Flexible Duct Location Appropriate	Incidental		Flexible duct is installed in a location where not subject to degradation		
Work Quality	Duct Work	Flex Duct Installation	Q000000550	Flexible Ducts Supported	Incidental		Flexible duct is fully extended, not compressed and has proper support at correct intervals.		
Work Quality	Duct Work	Metal Duct Installation	Q000000554	Joints, Seams and Connections	Incidental		All joints, seams and connections are mechanically fastened and sealed with mastic, or other approved material per MIG 6.19.2		
Work Quality	Duct Work	Metal Duct Installation	Q000000555	Ducts and Plenum Metal Thickness	Incidental		Metal duct is of the correct thickness		
Work Quality	Duct Work	Metal Duct Installation	Q000000556	Metal Ducts Properly Supported	Incidental		Ducts are supported at the proper intervals using the correct material.		
Work Quality	Duct Work	Metal Duct Installation	Q000000557	Ducts Installed as Invoiced	Minor				
Work Quality	Duct Work	Rigid Fibrous Duct Installation	Q000000676	Rigid Fibrous Duct Installed as Invoiced	Major				
Work Quality	Duct Work	Rigid Fibrous Duct Installation	Q000000569	Duct Installation Appropriate	Minor		Hanger straps or saddles must be a minimum of 2" wide. Avoid sharp edges and burrs. Hangers must be spaced on 6 foot centers, and must be located at circumferential joints wherever practical. Duct must be hung so that the hanger will not cut or otherwise damage the duct facing (NAIMA Fibrous Glass Duct Liner Standard).		
Work Quality	Duct Work	Rigid Fibrous Duct Installation	Q000000570	Location of Installation	Minor		Rigid fibrous glass duct must not be used in concrete, buried below grade, or any other location where it may be exposed to weather or physical abuse.		
Work Quality	Heating System	Air Conditioner Replacement	Q000000480	Contracted Equipment Installed	Major		Verified that all contracted items were installed as per contract	Equipment installed does not match contract but the efficiency rating matches or exceeds the contracted equipment	Installed equipment does not match the contract and the efficiency is lower than what was contracted. Or, equipment was not installed.
Work Quality	Heating System	Air Conditioner Replacement	Q000000481	Equipment Sizing is Appropriate	Major				

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Work Quality	Heating System	Air Conditioner Replacement	Q00000482	Air Filter Accessible	Minor				
Work Quality	Heating System	Air Conditioner Replacement	Q00000484	Maintenance Access Is Accessible	Major				
Work Quality	Heating System	Air Conditioner Replacement	Q00000489	Electric	Major		There are no electrical safety issues and and there is a shut off installed and within reach for the customer		
Work Quality	Heating System	Air Conditioner Replacement	Q00000490	Condensate Drain	Minor		Condensate drain installed properly and discharges with air gap or other approved place of disposal. Preferred areas to drain condensate include service sinks, French drains/ground water ejector pits		Condensate drain piping is improperly attached to the sanitary system (no trap or air gap). Condensate drain piping shall not be siliconed into a hole drilled in the sanitary piping.
Work Quality	Heating System	Air Conditioner Replacement	Q00000492	Heat Rise Test	Major		Delta T from heat rise test must fall within manufacturer's specifications		
Work Quality	Heating System	Air Conditioner Replacement	Q00000493	Dedicated Duct System	Major		Installed equipment must not share a duct vent with another equipment		
Work Quality	Heating System	Air Conditioner Replacement	Q00000494	Duct System Airflow	Major		Airflow through duct system must meet manufacturer's specifications		
Work Quality	Heating System	Air Conditioner Replacement	Q00000495	Duct Connections	Major		All ducts are properly connected		
Work Quality	Heating System	Air Conditioner Replacement	Q00000496	Duct - Unit Connection	Major		Duct must be properly sealed at connection with unit		
Work Quality	Heating System	Air Conditioner Replacement	Q00000497	Duct Insulation	Minor		Ducts in semi or unconditioned space must be insulated to a minimum R-value		Ducts not insulated to a minimum of R-6 in unconditioned basements, crawl spaces or garages. Not insulated to a minimum of R-8 in unconditioned attics
Work Quality	Heating System	Air Conditioner Replacement	Q00000498	Duct Return Appropriate	Major		Duct return must not be installed in CAZ		
Work Quality	Heating System	Air Conditioner Replacement	Q00000499	Equipment Removal	Major		If included as part of the contract, the furnace, including all other items related to the furnace must be removed from the home		
Work Quality	Heating System	Clean and Tune	Q00000717	Heating Appliance Clean and Tune	Major		Heating appliance cleaned and tuned as contracted		Heating appliance was not cleaned an tuned as contracted
Work Quality	Heating System	Gas Hearth	Q00000440	Contracted Equipment Installed	Major		Verified that all contracted items were installed as per contract	Equipment installed does not match contract but the efficiency rating matches or exceeds the contracted equipment	Installed equipment does not match the contract and the efficiency is lower than what was contracted. Or, equipment was not installed.
Work Quality	Heating System	Gas Hearth	Q00000441	Equipment Sizing is Appropriate	Major				
Work Quality	Heating System	Gas Hearth	Q00000442	Air Filter Accessible	Minor				
Work Quality	Heating System	Gas Hearth	Q00000443	Proper Clearance To Combustibles	Major				
Work Quality	Heating System	Gas Hearth	Q00000444	Maintenance Access Is Accessible	Minor				
Work Quality	Heating System	Gas Hearth	Q00000445	Venting - Sealed Combustion Units	Major		Units capable of sealed combustion must be setup to draw outside air		
Work Quality	Heating System	Gas Hearth	Q00000446	Venting - Natural Draft	Major		Venting must maintain proper clearance to combustibles		
Work Quality	Heating System	Gas Hearth	Q00000447	Gas Line Properly Sized	Major				
Work Quality	Heating System	Gas Hearth	Q00000448	Gas Line - CCST Properly Grounded	Major				
Work Quality	Heating System	Gas Hearth	Q00000449	Electric	Major		There are no electrical safety issues and and there is a shut off installed and within reach for the customer		
Work Quality	Heating System	Gas Hearth	Q00000452	Heat Rise Test	Major		Delta T from heat rise test must fall within manufacturer's specifications		
Work Quality	Heating System	Gas Hearth	Q00000459	Equipment Removal	Major		If included as part of the contract, the original equipment being replaced and all related items must be removed from the home		
Work Quality	Heating System	Gas/Propane Furnace	Q00000328	Contracted Furnace Installed	Major		Verified that the contracted furnace was installed. Do not mark this task as failed if the heating unit was installed but ancillary equipment was not installed.	Installed furnace does not match contract but the efficiency rating matches or exceeds the contracted equipment	Installed furnace does not match the contract and the efficiency is lower than what was contracted. Or, equipment was not installed.
Work Quality	Heating System	Gas/Propane Furnace	Q00000697	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Heating System	Gas/Propane Furnace	Q00000365	Equipment Sizing is Appropriate	Major				

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Work Quality	Heating System	Gas/Propane Furnace	Q00000366	Air Filter and Accessible	Minor		All air filters must be installed in the return air system in a location that is easily accessible for the homeowner to change. All return air must pass through the return air system. All new duct systems installed must include minimum MERV 6 with design accounting for filter pressure drop @ design airflow.		
Work Quality	Heating System	Gas/Propane Furnace	Q00000367	Proper Clearance To Combustibles	Major				
Work Quality	Heating System	Gas/Propane Furnace	Q00000368	Maintenance Access Is Accessible	Minor				
Work Quality	Heating System	Gas/Propane Furnace	Q00000369	Venting Acceptable - Sealed Combustion Units	Minor		Units capable of sealed combustion must be setup to draw outside air		
Work Quality	Heating System	Gas/Propane Furnace	Q00000370	Venting Acceptable - Natural Draft	Minor		Inspect the venting system for proper size and horizontal pitch, as required in the latest edition of the National Fuel Gas Code (NFPA 54). Venting must maintain proper clearance to combustibles		
Work Quality	Heating System	Gas/Propane Furnace	Q00000371	Gas Line Properly Sized	Major				
Work Quality	Heating System	Gas/Propane Furnace	Q00000372	Gas Line - CCST Properly Grounded	Minor				
Work Quality	Heating System	Gas/Propane Furnace	Q00000374	Electrical	Major		There are no electrical safety issues and there is a shut off installed and within reach for the customer		
Work Quality	Heating System	Gas/Propane Furnace	Q00000375	Condensate Drain	Minor		Condensate drain installed per manufacturer's specifications and discharges with air gap or other approved place of disposal. Preferred areas to drain condensate include service sinks, French drains/ground water ejector pits		Condensate drain piping is improperly attached to the sanitary system (no trap or air gap). Condensate drain piping shall not be siliconed into a hole drilled in the sanitary piping.
Work Quality	Heating System	Gas/Propane Furnace	Q00000377	Heat Rise Test	Minor		Delta T from heat rise test must fall within manufacturer's specifications		
Work Quality	Heating System	Gas/Propane Furnace	Q00000378	Dedicated Duct System	Minor		Installed equipment must not share a duct vent with another equipment		
Work Quality	Heating System	Gas/Propane Furnace	Q00000379	Duct System Airflow	Minor		On installation where a new duct system is installed the following must be met: The individual room airflows are within the greater of ± 20% or 25CFM of the design/application requirements for the supply and return ducts. Contractor must measure airflow and adjust to above specifications along with providing air balancing report.		
Work Quality	Heating System	Gas/Propane Furnace	Q00000380	Duct Connections	Minor		All ducts are properly connected		
Work Quality	Heating System	Gas/Propane Furnace	Q00000381	Duct - Unit Connection	Minor		Duct must be properly sealed at connection with unit		
Work Quality	Heating System	Gas/Propane Furnace	Q00000382	Duct Insulation	Minor		Ducts in semi or unconditioned space must be insulated to a minimum R-value		Score new ductwork systems here. For insulating existing duct work score under Heating System > Ductwork > Duct Insulation
Work Quality	Heating System	Gas/Propane Furnace	Q00000383	Duct Return Appropriate	Minor		Duct return must not be installed in CAZ		
Work Quality	Heating System	Gas/Propane Furnace	Q00000384	Equipment Removal	Minor		If included as part of the contract, the original equipment being replaced and all related items must be removed from the home		
Work Quality	Heating System	Gas/Propane Furnace	Q00000712	System Functioning Properly	Major		The installed system is functioning to manufacturer specifications		
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000574	Equipment Sizing is Appropriate	Major		Boiler, pump and system piping must be sized per manufacturer's specifications, IBR or approved equivalent.		
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000575	Proper Clearance To Combustibles	Major				
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000576	Maintenance Access Is Accessible	Minor				
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000577	Venting Acceptable - Sealed Combustion Units	Major		Units capable of sealed combustion must be setup to draw outside air		
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000578	Venting Acceptable - Natural Draft	Major		Venting must maintain proper clearance to combustibles		

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Work Quality	Heating System	Gas/Propane HW Boiler	Q00000579	Gas Line Properly Sized	Major				
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000580	Gas Line - CCST Properly Grounded	Major				
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000581	Electric	Major		There are no electrical safety issues and there is a shut off installed and within reach for the customer		
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000582	Water Testing and Treatment	Major		A copy of the water testing results has been provided to the homeowner. If the water is not within the boiler manufacturers specifications, water treatment has been provided and documented		Water testing results not provided and/or documentation on how to maintain the water treatment has not been provided per MIG 6.1.17
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000583	Heat Rise Test	Major		Delta T from heat rise test must fall within manufacturer's specifications		
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000584	Equipment Removal	Major		If included as part of the contract, the original equipment being replaced and all related items must be removed from the home		
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000560	Contracted Boiler Installed	Major		Verified that the contracted boiler was installed. Do not mark this task as failed if the heating unit was installed but ancillary equipment was not installed.	Installed boiler does not match contract but the efficiency rating matches or exceeds the contracted equipment	Installed boiler does not match the contract and the efficiency is lower than what was contracted. Or, equipment was not installed.
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000698	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000625	Pipe Insulation	Major		Boiler piping installed in unconditioned spaces must be insulated with a minimum of R-4. Existing boiler piping installed in unconditioned spaces must be insulated to a minimum of R-4.		
Work Quality	Heating System	Gas/Propane HW Boiler	Q00000639	Temperature-Pressure Relief Valve	Major		TPRV and down tube piping is installed to proper specifications		
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000699	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000655	All Exposed Pipes Insulated	Major				
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000400	Contracted Steam Boiler Installed	Major		Verified that the contracted boiler was installed. Do not mark this task as failed if the heating unit was installed but ancillary equipment was not installed.	Equipment installed does not match contract but the efficiency rating matches or exceeds the contracted equipment	Installed equipment does not match the contract and the efficiency is lower than what was contracted. Or, equipment was not installed.
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000401	Equipment Sizing is Appropriate	Major				
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000403	Proper Clearance To Combustibles	Major				
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000404	Maintenance Access Is Accessible	Minor				
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000405	Venting - Sealed Combustion Units	Minor		Units capable of sealed combustion must be setup to draw outside air		
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000406	Venting - Natural Draft	Major		Venting must maintain proper clearance to combustibles		
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000407	Gas Line Properly Sized	Major				
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000408	Gas Line - CCST Properly Grounded	Major				
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000409	Electric	Major		There are no electrical safety issues and there is a shut off installed and within reach for the customer		
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000410	Water Testing and Treatment	Major		A copy of the water testing results has been provided to the homeowner. If the water is not within the boiler manufacturers specifications, water treatment has been provided and documented		Water testing results not provided and/or documentation on how to maintain the water treatment has not been provided
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000411	Temperature-Pressure Relief Valve	Major		TPRV and down tube piping is installed to proper specifications		
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000412	Heat Rise Test	Minor		Delta T from heat rise test must fall within manufacturer's specifications		
Work Quality	Heating System	Gas/Propane Steam Boiler	Q00000419	Equipment Removal	Minor		If included as part of the contract, the original equipment being replaced and all related items must be removed from the home		

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Work Quality	Heating System	Oil Furnace	Q00000700	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Heating System	Oil Furnace	Q00000626	Air Filter	Major		All air filters must be installed in the return air system in a location that is easily accessible for the homeowner to change. All return air must pass through the return air system. All new duct systems installed must include minimum MERV 6 with design accounting for filter pressure drop @ design airflow.		
Work Quality	Heating System	Oil Furnace	Q00000627	Fuel Oil Storage System	Major		The integrity of the fuel oil storage system must be checked and repairs/replacement included with new installation. New oil storage system must be installed in accordance with the latest edition of NFPA 31.		
Work Quality	Heating System	Oil Furnace	Q00000628	Fuel Oil Piping	Major		All oil piping to be leak-free and must be sized to provide adequate oil supply to all connected oil appliances. Oil line piping design, materials, and construction must be in accordance with the latest edition of NFPA 31		
Work Quality	Heating System	Oil Furnace	Q00000329	Contracted Equipment Installed	Major		Verified that the contracted furnace was installed. Do not mark this task as failed if the heating unit was installed but ancillary equipment was not installed.	Equipment installed does not match contract but the efficiency rating matches or exceeds the contracted equipment	Installed equipment does not match the contract and the efficiency is lower than what was contracted. Or, equipment was not installed.
Work Quality	Heating System	Oil Furnace	Q00000585	Equipment Sizing is Appropriate	Major				
Work Quality	Heating System	Oil Furnace	Q00000586	Proper Clearance To Combustibles	Major				
Work Quality	Heating System	Oil Furnace	Q00000587	Maintenance Access Is Accessible	Major		Units capable of sealed combustion must be setup to draw outside air		
Work Quality	Heating System	Oil Furnace	Q00000589	Venting Acceptable - Natural Draft	Major		Inspect the venting system for proper size and horizontal pitch, as required in the latest edition of the National Fuel Gas Code (NFPA 54). Venting must maintain proper clearance to combustibles		
Work Quality	Heating System	Oil Furnace	Q00000590	Electric	Major		There are no electrical safety issues and and there is a shut off installed and within reach for the customer		
Work Quality	Heating System	Oil Furnace	Q00000591	Condensate Drain	Minor		Condensate drain installed per manufacturer's specifications and discharges with air gap or other approved place of disposal. Preferred areas to drain condensate include service sinks, French drains/ground water ejector pits		Condensate drain piping is improperly attached to the sanitary system (no trap or air gap). Condensate drain piping shall not be siliconed into a hole drilled in the sanitary piping.
Work Quality	Heating System	Oil Furnace	Q00000592	Heat Rise Test	Major				
Work Quality	Heating System	Oil Furnace	Q00000593	Dedicated Duct System	Major		Installed equipment must not share a duct vent with another equipment		
Work Quality	Heating System	Oil Furnace	Q00000594	Duct System Airflow	Major		On installation where a new duct system is installed the following must be met: The individual room airflows are within the greater of ± 20% or 25CFM of the design/application requirements for the supply and return ducts. Contractor must measure airflow and adjust to above specifications along with providing air balancing report.		
Work Quality	Heating System	Oil Furnace	Q00000595	Duct Connections	Major		All ducts are properly connected		
Work Quality	Heating System	Oil Furnace	Q00000596	Duct - Unit Connection	Major		Duct must be properly sealed at connection with unit		
Work Quality	Heating System	Oil Furnace	Q00000597	Duct Insulation	Minor		Ducts installed in semi or unconditioned space must be insulated to a minimum R-value		Ducts not insulated to a minimum of R-6 in unconditioned basements, crawl spaces or garages. Not insulated to a minimum of R-8 in unconditioned attics
Work Quality	Heating System	Oil Furnace	Q00000598	Duct Return Appropriate	Major		Duct return must not be installed in CAZ		
Work Quality	Heating System	Oil Furnace	Q00000599	Equipment Removal	Major		If included as part of the contract, the furnace, including all other items related to the furnace must be removed from the home		

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Work Quality	Heating System	Oil HW Boiler	Q00000600	Maintenance Access Is Accessible	Major				
Work Quality	Heating System	Oil HW Boiler	Q00000601	Venting Acceptable - Sealed Combustion Units	Major		Units capable of sealed combustion must be setup to draw outside air		
Work Quality	Heating System	Oil HW Boiler	Q00000602	Venting Acceptable - Natural Draft	Major		Venting must maintain proper clearance to combustibles. Inspect the venting system for proper size and horizontal pitch, as required in the latest edition of the National Fuel Gas Code (NFPA 54).		
Work Quality	Heating System	Oil HW Boiler	Q00000605	Electric	Major		There are no electrical safety issues and there is a shut off installed and within reach for the customer		
Work Quality	Heating System	Oil HW Boiler	Q00000606	Water Testing and Treatment	Major		A copy of the water testing results has been provided to the homeowner. If the water is not within the boiler manufacturers specifications, water treatment has been provided and documented		Water testing results not provided and/or documentation on how to maintain the water treatment has not been provided
Work Quality	Heating System	Oil HW Boiler	Q00000607	Heat Rise Test	Major		Delta T from heat rise test must fall within manufacturer's specifications		
Work Quality	Heating System	Oil HW Boiler	Q00000608	Equipment Removal	Major		If included as part of the contract, the original equipment being replaced and all related items must be removed from the home		
Work Quality	Heating System	Oil HW Boiler	Q00000588	Proper Clearance To Combustibles	Major				
Work Quality	Heating System	Oil HW Boiler	Q00000561	Contracted Boiler Installed	Major		Verified that the contracted boiler was installed. Do not mark this task as failed if the heating unit was installed but ancillary equipment was not installed.	Equipment installed does not match contract but the efficiency rating matches or exceeds the contracted equipment	Installed equipment does not match the contract and the efficiency is lower than what was contracted. Or, equipment was not installed.
Work Quality	Heating System	Oil HW Boiler	Q00000629	Fuel Oil Storage System	Major		The integrity of the fuel oil storage system must be checked and repairs/replacement included with new installation. New oil storage system must be installed in accordance with the latest edition of NFPA 31.		
Work Quality	Heating System	Oil HW Boiler	Q00000640	Temperature-Pressure Relief Valve	Major		TPRV and down tube piping is installed to proper specifications		
Work Quality	Heating System	Oil HW Boiler	Q00000631	Fuel Oil Piping	Major		All oil piping to be leak-free and must be sized to provide adequate oil supply to all connected oil appliances. Oil line piping design, materials, and construction must be in accordance with the latest edition of NFPA 31		
Work Quality	Heating System	Oil HW Boiler	Q00000701	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Heating System	Oil HW Boiler	Q00000667	Pipe Insulation	Major		Boiler piping installed in unconditioned spaces must be insulated with a minimum of R-4. Existing boiler piping installed in unconditioned spaces must be insulated to a minimum of R-4.	Water pipes are in the unconditioned space and the heating piping has not been insulated due to concerns of freezing the water pipes.	
Work Quality	Heating System	Oil HW Boiler	Q00000573	Equipment Sizing is Appropriate	Major				
Work Quality	Heating System	Oil Steam Boiler	Q00000656	All Exposed Pipes Insulated	Major				
Work Quality	Heating System	Oil Steam Boiler	Q00000702	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Heating System	Oil Steam Boiler	Q00000632	Fuel Oil Piping	Major		All oil piping to be leak-free and must be sized to provide adequate oil supply to all connected oil appliances. Oil line piping design, materials, and construction must be in accordance with the latest edition of NFPA 31		
Work Quality	Heating System	Oil Steam Boiler	Q00000641	Temperature-Pressure Relief Valve	Major		TPRV and down tube piping is installed to proper specifications		
Work Quality	Heating System	Oil Steam Boiler	Q00000630	Fuel Oil Storage Tank	Major		The integrity of the fuel oil storage system must be checked and repairs/replacement included with new installation. New oil storage system must be installed in accordance with the latest edition of NFPA 31.		

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Work Quality	Heating System	Oil Steam Boiler	Q00000420	Contracted Steam Boiler Installed	Major		Verified that the contracted boiler was installed. Do not mark this task as failed if the heating unit was installed but ancillary equipment was not installed.	Equipment installed does not match contract but the efficiency rating matches or exceeds the contracted equipment	Installed equipment does not match the contract and the efficiency is lower than what was contracted. Or, equipment was not installed.
Work Quality	Heating System	Oil Steam Boiler	Q00000421	Equipment Sizing is Appropriate	Major				
Work Quality	Heating System	Oil Steam Boiler	Q00000423	Proper Clearance To Combustibles	Major				
Work Quality	Heating System	Oil Steam Boiler	Q00000424	Maintenance Access Is Accessible	Minor				
Work Quality	Heating System	Oil Steam Boiler	Q00000425	Venting - Sealed Combustion Units	Minor		Units capable of sealed combustion must be setup to draw outside air		
Work Quality	Heating System	Oil Steam Boiler	Q00000426	Venting - Natural Draft	Major		Venting must maintain proper clearance to combustibles		
Work Quality	Heating System	Oil Steam Boiler	Q00000429	Electric	Major		There are no electrical safety issues and and there is a shut off installed and within reach for the customer		
Work Quality	Heating System	Oil Steam Boiler	Q00000430	Water Testing and Treatment	Major		A copy of the water testing results has been provided to the homeowner. If the water is not within the boiler manufacturers specifications, water treatment has been provided and documented		Water testing results not provided and/or documentation on how to maintain the water treatment has not been provided
Work Quality	Heating System	Oil Steam Boiler	Q00000432	Heat Rise Test	Minor		Delta T from heat rise test must fall within manufacturer's specifications		
Work Quality	Heating System	Oil Steam Boiler	Q00000439	Equipment Removal	Minor		If included as part of the contract, the original equipment being replaced and all related items must be removed from the home		
Work Quality	Heating System	Solid Fuel Hearth	Q00000460	Contracted Equipment Installed	Major		Verified that all contracted items were installed as per contract	Equipment installed does not match contract but the efficiency rating matches or exceeds the contracted equipment	Installed equipment does not match the contract and the efficiency is lower than what was contracted. Or, equipment was not installed.
Work Quality	Heating System	Solid Fuel Hearth	Q00000461	Equipment Sizing is Appropriate	Major				
Work Quality	Heating System	Solid Fuel Hearth	Q00000462	Air Filter Accessible	Minor				
Work Quality	Heating System	Solid Fuel Hearth	Q00000463	Proper Clearance To Combustibles	Major				
Work Quality	Heating System	Solid Fuel Hearth	Q00000464	Maintenance Access Is Accessible	Major				
Work Quality	Heating System	Solid Fuel Hearth	Q00000466	Venting - Natural Draft	Major		Venting must maintain proper clearance to combustibles		
Work Quality	Heating System	Solid Fuel Hearth	Q00000467	Gas Line Properly Sized	Major				
Work Quality	Heating System	Solid Fuel Hearth	Q00000469	Electrical	Major		There are no electrical safety issues and and there is a shut off installed and within reach for the customer		
Work Quality	Heating System	Solid Fuel Hearth	Q00000472	Heat Rise Test	Major		Delta T from heat rise test must fall within manufacturer's specifications		
Work Quality	Heating System	Solid Fuel Hearth	Q00000479	Equipment Removal	Major		If included as part of the contract, the original equipment being replaced and all related items must be removed from the home		
Work Quality	Hot Water System	Air Source Heat Pump	Q00000649	Manual Provided	Incidental		OEM manuals must be left with the installed tank		
Work Quality	Hot Water System	Air Source Heat Pump	Q00000566	Contracted Item Installed Per Contract	Major		Verified that all contracted items were installed as per contract. Installed systems must be ENERGY STAR ® rated and only integrated heat pumps allowed, no add-on products (do not include storage tanks)	Equipment installed does not match contract but the efficiency rating matches or exceeds the contracted equipment	Installed equipment does not match the contract and the efficiency is lower than what was contracted. Or, equipment was not installed.
Work Quality	Hot Water System	Air Source Heat Pump	Q00000567	Tank Installed in Proper Location	Major		Installed systems must be located outside of the conditioned area. Installed system must be located in space temperatures between 45-90 degrees or for a system that uses inlet air ducts the entering air must be between 40 – 90 degrees. Water heater location to be a 750 - 1,000 cubic feet of area or as required by manufacturer's specifications.		

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Work Quality	Hot Water System	Air Source Heat Pump	Q00000568	Modes of Operation	Major		Heat Pump Water Heaters must have at the minimum the following modes of operation:– HEAT PUMP ONLY– HYBRID: This mode uses the heat pump as the primary heating source. The heating element will heat water if demand exceeds a predetermined level so that the set point temperature can be recovered more quickly.– ELECTRIC: The water heater functions as a conventional electric unit, relying totally on the elements to heat the water in the tank.– VACATION: Unit off or set for very low temperature		
Work Quality	Hot Water System	Air Source Heat Pump	Q00000638	Temperature-Pressure Relief Valve	Major		TPRV and down tube piping installed with proper specifications		
Work Quality	Hot Water System	Air Source Heat Pump	Q00000654	DHW Tank Removal	Major		Unless the contract specifies otherwise the contractor is responsible for removal of the old DHW tank		
Work Quality	Hot Water System	Air Source Heat Pump	Q00000709	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Hot Water System	Boiler Reset Control	Q00000352	Contracted Equipment Installed	Major				
Work Quality	Hot Water System	Boiler Reset Control	Q00000263	Boiler Is In Good Working Condition	Minor				
Work Quality	Hot Water System	Boiler Reset Control	Q00000264	Boiler SSE 75% Or Greater	Minor				
Work Quality	Hot Water System	Boiler Reset Control	Q00000265	Venting System Is In Good Working Order	Major				
Work Quality	Hot Water System	Boiler Reset Control	Q00000267	No Tankless Coil Present	Major				
Work Quality	Hot Water System	Boiler Reset Control	Q00000268	Programmable thermostats setback temp less than 5 degrees	Incidental				
Work Quality	Hot Water System	Boiler Reset Control	Q00000269	Manufacturer Warranty Left With Customer	Incidental				
Work Quality	Hot Water System	Electric DHW Tank	Q00000344	Contracted Items Installed	Major		Verified that all contracted items were installed as per contract	DHW tank installed does not match contract but the EF rating matches or exceeds the contracted equipment	Installed equipment does not match the contract and the EF is lower than what was contracted
Work Quality	Hot Water System	Electric DHW Tank	Q00000635	Temperature-Pressure Relief Valve	Major		TPRV and down tube piping installed with proper specifications		
Work Quality	Hot Water System	Electric DHW Tank	Q00000619	Access Panel Is Accessible	Major				
Work Quality	Hot Water System	Electric DHW Tank	Q00000620	DHW Tank Removal	Major		Unless the contract specifies otherwise the contractor is responsible for removal of the old DHW tank		
Work Quality	Hot Water System	Electric DHW Tank	Q00000621	Manual Provided	Incidental		OEM manuals must be left with the installed tank		
Work Quality	Hot Water System	Electric DHW Tank	Q00000622	Leak Free	Major		Water heater and system must be leak-free. All water leaks must be identified and repaired		
Work Quality	Hot Water System	Electric DHW Tank	Q00000623	Drain Free	Major		A drain pan must be installed underneath the water heater if it is located where leaks could cause damage. A 1-inch line must be installed between the pan and an appropriate drain		
Work Quality	Hot Water System	Electric DHW Tank	Q00000624	Location	Major		If possible, water heater must be placed where leakage from the relief valve, leakage from the related piping, or leakage from the tank or connections, will not result in damage to the surrounding areas, or to the lower floors of the building		
Work Quality	Hot Water System	Electric DHW Tank	Q00000703	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000704	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000342	Contracted Items Installed	Major		Verified that all contracted items were installed as per contract and are functioning properly	DHW tank installed does not match contract but the EF rating matches or exceeds the contracted equipment	Installed equipment does not match the contract and the EF is lower than what was contracted. Equipment installed matches contract but is not functioning properly.



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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000633	Temperature-Pressure Relief Valve	Major		TPRV and down tube piping installed with proper specifications		
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000355	Appropriate Clearance to Combustibles Maintained	Major				
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000356	Access Panel Is Accessible	Minor				
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000357	DHW Tank Removal	Major		Unless the contract specifies otherwise the contractor is responsible for removal of the old DHW tank		
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000358	Manual Provided	Incidental		OEM manuals must be left with the installed tank		
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000359	Leak Free	Minor		Water heater and system must be leak-free. All water leaks must be identified and repaired		
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000360	Drain Pan	Minor		A drain pan must be installed underneath the water heater if it is located where leaks could cause damage. A 1-inch line must be installed between the pan and an appropriate drain.		
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000361	Location	Minor		If possible, water heater must be placed where leakage from the relief valve, leakage from the related piping, or leakage from the tank or connections, will not result in damage to the surrounding areas, or to the lower floors of the building.		
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000362	Combustion Safety Testing	Major		Unit passes all combustion safety tests		
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000363	Venting	Major		Venting must have the proper sizing, design, material selection and assembly for the combustion gas venting system. Locate termination consistent with the latest edition of the National Fuel Gas Code (NFPA 54) and manufacturer's specifications		
Work Quality	Hot Water System	Gas/Propane DHW Tank	Q00000364	Gas Piping	Major		All gas piping to be leak-free / tested and must be sized to provide adequate gas supply to all connected gas appliances. Refer to the current National Fuel Gas Code (NFPA 54) (and for Propane NFPA 58) and local codes for gas piping requirements and sizing. Gas piping systems must be of such size and installed as to provide a supply of gas necessary to meet the maximum demand of the all gas appliances at the proper pressures. Gas pipe and connectors must have the appropriate support, hangers, anchors and gas pipe sealant. The new furnace must have a manual "equipment" shut-off valve in the gas supply line immediately upstream of union.		
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000347	All Contracted Items Installed	Major		All contracted items were installed as described. Was not installed in conjunction with new boiler.	Installed equipment has the same efficiency specifications but is not the same model as contracted for.	Equipment was not installed. Or, the installed equipment is different than what was contracted for and the efficiency rating and/or features are less than what was paid for.
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000647	Manual Provided	Incidental		OEM manuals must be left with the installed tank		
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000653	DHW Tank Removal	Major		Unless the contract specifies otherwise the contractor is responsible for removal of the old DHW tank		
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000705	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000650	Sufficient Flow	Major		System is sized properly to provide adequate flow rate to meet DHW load of household		
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000385	Tankless Water Heater is Sealed Combustion	Minor				
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000386	Proper Clearance to Combustibles	Major				
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000387	Maintenance Access Panels are Accessible	Minor				

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000388	Venting	Major		All connections are sealed, sturdy and PVC glued. Sealed combustion units are vented to the outside.	One of more minor venting deficiencies that do not effect the H&S of the occupants exist	One or more venting deficiencies exist that pose a potential H&S risk to the customer.
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000389	Gas Lines	Major		Gas Lines are properly sized for demand, have no leaks and CCST is properly grounded		
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000390	Electrical	Major?		No electrical safety issues exist and the shutoff switch is within reach for the customer		
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000391	Water Line	Major		Water line is properly sized for the distance before on demand unit		
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000392	Drain	Minor		Condensate does not drain below slab		
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000393	Temperature-Pressure Relief Valve	Major		TPRV and down tube piping installed with proper specifications		
Work Quality	Hot Water System	Gas/Propane Tankless DHW	Q00000394	Distribution Insulation	Minor		Hot water distribution is insulated to the minimum required r-value if unit is in semi or non-conditioned space		
Work Quality	Hot Water System	Indirect-Fired DHW Tank	Q00000652	DHW Tank Removal	Major		Unless the contract specifies otherwise the contractor is responsible for removal of the old DHW tank		
Work Quality	Hot Water System	Indirect-Fired DHW Tank	Q00000642	Primary Zone Piping	Major		Indirect water heater must be piped as priority zone on boiler.		
Work Quality	Hot Water System	Indirect-Fired DHW Tank	Q00000644	Piping Controls and Pumping	Major		Boiler piping, controls and pumping must be installed to provide the proper flow through the indirect coil, specified by the indirect manufacturer. Cold-start control strategy must be used.		
Work Quality	Hot Water System	Indirect-Fired DHW Tank	Q00000645	Indirect DHW Tank Installed	Major		All contracted items were installed as described	Installed equipment has the same efficiency specifications but is not the same model as contracted for.	Equipment was not installed. Or, the installed equipment is different than what was contracted for and the efficiency rating and/or features are less than what was paid for.
Work Quality	Hot Water System	Indirect-Fired DHW Tank	Q00000646	Manual Provided	Incidental		OEM manuals must be left with the installed tank		
Work Quality	Hot Water System	Indirect-Fired DHW Tank	Q00000706	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Hot Water System	Indirect-Fired DHW Tank	Q00000636	Temperature-Pressure Relief Valve	Major		TPRV and down tube piping is installed to proper specifications		
Work Quality	Hot Water System	Oil DHW Tank	Q00000343	Contracted Items Installed	Major		Verified that all contracted items were installed as per contract	DHW tank installed does not match contract but the EF rating matches or exceeds the contracted equipment	Installed equipment does not match the contract and the EF is lower than what was contracted
Work Quality	Hot Water System	Oil DHW Tank	Q00000634	Temperature-Pressure Relief Valve	Major		TPRV and down tube piping installed with proper specifications		
Work Quality	Hot Water System	Oil DHW Tank	Q00000707	Ancillary Equipment Installed	Incidental		All ancillary equipment related to the installed furnace must be installed as contracted for.		
Work Quality	Hot Water System	Oil DHW Tank	Q00000610	Appropriate Clearance to Combustibles Maintained	Major				
Work Quality	Hot Water System	Oil DHW Tank	Q00000611	Access Panel Is Accessible	Major				
Work Quality	Hot Water System	Oil DHW Tank	Q00000612	DHW Tank Removal	Major		Unless the contract specifies otherwise the contractor is responsible for removal of the old DHW tank		
Work Quality	Hot Water System	Oil DHW Tank	Q00000613	Manual Provided	Incidental		OEM manuals must be left with the installed tank		
Work Quality	Hot Water System	Oil DHW Tank	Q00000614	Leak Free	Major		Water heater and system must be leak-free. All water leaks must be identified and repaired		
Work Quality	Hot Water System	Oil DHW Tank	Q00000615	Drain Pan	Major		A drain pan must be installed underneath the water heater if it is located where leaks could cause damage. A 1-inch line must be installed between the pan and an appropriate drain.		

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Work Quality	Hot Water System	Oil DHW Tank	Q00000616	Location Appropriate	Major		If possible, water heater must be placed where leakage from the relief valve, leakage from the related piping, or leakage from the tank or connections, will not result in damage to the surrounding areas, or to the lower floors of the building.		
Work Quality	Hot Water System	Oil DHW Tank	Q00000617	Combustion Safety Testing	Major		Unit passes all combustion safety tests		
Work Quality	Hot Water System	Oil DHW Tank	Q00000618	Venting	Major		Venting must have the proper sizing, design, material selection and assembly for the combustion gas venting system. Locate termination consistent with the latest edition of the National Fuel Gas Code (NFPA 54) and manufacturer's specifications		
Work Quality	Hot Water System	Timer – Electric DHW Tank	Q00000270	Meter is Time of Use or Peak On/Off Rates	Major				
Work Quality	Hot Water System	Timer – Electric DHW Tank	Q00000271	Hot Water Tank Is 80 Gallons Or More	Major				
Work Quality	Hot Water System	Timer – Electric DHW Tank	Q00000272	Battery Backup Installed	Major				
Work Quality	Hot Water System	Well Pump Repair	Q00000299	Repairs Completed Per Contract	Major		All repairs were completed as per the contractor's invoice		
Work Quality	Hot Water System	Well Pump Repair	Q00000300	Well Pump Runs Correctly	Minor		The well pump should not run continuously.		The pump runs continuously.
Work Quality	Leakage Testing	Blower Door Testing	Q00000201	Blower Door Test Results Are Accurate	Major		Blower door results were submitted by the contractor and are within 10% of the inspector's numbers.	Blower door results were submitted by the contractor but are off by more than 10% but less than 20% from the inspector's numbers.	Blower door results were submitted by the contractor but are off by more than 20% from the inspector's numbers.
Work Quality	Leakage Testing	Blower Door Testing	Q00000202	Building Airflow Standard Acceptable	Major		Post-test results are above 70% of BAS		Post-test results are below 70% of BAS and no mechanical ventilation exists.
Work Quality	Leakage Testing	Blower Door Testing	Q00000710	Air Leakage Reduction Target Achieved	Minor		Inspector's cfm50 number indicates the contractor achieved their contracted air leakage reduction target within 10%. Mark this task as N/A if air sealing was a contracted measure but no quantitative cfm50 reduction was given.	Inspector's cfm50 number indicates the contractor achieved at least 80% of their contracted air leakage reduction target. Mark this task as N/A if air sealing was a contracted measure but no quantitative cfm50 reduction was given.	Inspector's cfm50 number indicates the contractor achieved less than 80% of their contracted air leakage reduction target. Mark this task as N/A if air sealing was a contracted measure but no quantitative cfm50 reduction was given.
Work Quality	Leakage Testing	Duct Testing	Q00000197	BPI Distribution Efficiency Look-Up Table	Major		Program contractors are encouraged to use the Look-up table method whenever duct system improvements are being performed and the lesser of 10 feet or 10% of total ductwork in the vicinity of the air handler will be affected (Greater than 10 feet or 10% of ductwork affected, a ductblaster or Delta Q test is required.)		
Work Quality	Leakage Testing	Duct Testing	Q00000198	Test-Out Numbers Are Accurate	Major		Contractor's Post-Test results must be within 10% of Inspector's Post-Test		
Work Quality	Leakage Testing	Duct Testing	Q00000199	Delta Q	Major				
Work Quality	Leakage Testing	Duct Testing	Q00000200	Leakage is less than or equal to 10% system airflow on test out	Major		This is based on a TDL – Total Duct Leakage test using a duct blaster. To calculate this value, multiply the system airflow by 0.1. If measured TDL is less than this product, then the system passes this BPI standard.		
Work Quality	Shell Measures	Attic Air Sealing	Q00000668	Air Sealing Work Completed As Contracted	Major		Air sealing work must be completed as contracted. If specific areas were mentioned in the contract, they must be completed. If the contract refers to a CFM reduction work must be completed within 90% of what was contracted for.		Less than 90% of contracted air sealing work was completed.
Work Quality	Shell Measures	Attic Air Sealing	Q00000102	Top Plates Sealed	Incidental		If contracted, balloon framed top plates should have an approved backer securely fastened or friction fit and all edges sealed with 1 or 2-part foam. Platform framing top plates should have had all debris moved away from seam between top plate and drywall and a continuous bead of 1-part foam applied along all the seams. If 2-part foam is used there should be only foam and drywall visible when finished		Not completed per MIG 3.2.5

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Shell Measures	Attic Air Sealing	Q00000103	Knee Wall Transition Sealed	Incidental		If contracted, the knee wall transition area should be sealed with an approved backer that is either mechanically fastened into place or friction fit. The seams and edges between the backer and the surrounding framing and sheathing should be sealed with 1 or 2-part foam. Inaccessible knee wall transitions should be sealed using dense pack insulation installed to a density of at least 3.5 lbs/cuft.		If the kneewall attic is not included in within the pressure boundary, the knee wall transition must be sealed. Not completed per MIG 3.2.5, MIG 3.8
Work Quality	Shell Measures	Attic Air Sealing	Q00000104	Plumbing Wet Walls Sealed	Incidental		If contracted, plumbing wet walls are sealed including vent penetration		Not completed per MIG 3.2.5
Work Quality	Shell Measures	Attic Air Sealing	Q00000105	Chimney Penetrations Sealed	Major		A clearance of three inches must be maintained between masonry chimneys or double wall metal vents and combustible materials, and six inches between single wall vents and combustible materials. The material used to seal this gap must be non-combustible air-tight material, such as metal flashing. The gaps between the flashing and the venting are ¼ inch or less and sealed with high temperature sealants (ASTM E136 for oil or wood flues, 500F RTV silicone for gas flues). Other sealants can be used on the side of the sheet metal that is fastened to the framing.		Not completed per MIG 3.2.5
Work Quality	Shell Measures	Attic Air Sealing	Q00000106	Recessed Lights Covered/Sealed	Incidental		If contracted, unless a recessed light is ICAT (Insulation Contact Air Tight), there will be air leakage through this fixture. An airtight box will need to be built that maintains a clearance of at least 3 inches to any part of the light fixture. The sides of the box can be made of any rigid, air barrier material. For non-IC rated lights the top of the box must have an R-value of 0.5 or less and be vapor permeable. Boxes for non-IC rated lights cannot be insulated over. For IC rated lights the top of the box should be vapor permeable and this box can be insulated over.		Not completed per MIG 3.3.2
Work Quality	Shell Measures	Attic Air Sealing	Q00000107	Attic Access(s) Sealed	Major	Work scope provided for attic air sealing. Attic access is not air tight as possible using weather-stripping permanently mounted to the access and secured with metal fastenings that keep the access secure through repeated use. Refer to MIG 3.4	All gaps around attic access are weather-stripped in a manner that that allows no more that 2" of air leakage area between the conditioned space and the attic when a blower door is running @CFM50. Weather-stripping is permanently mounted to the access and secured with metal fastenings that keep the access secure through repeated use.		Attic access not weather striped and/or allows more that 2" of air leakage area between the conditioned space and the attic when a blower door is running @CFM50. Not Completed per MIG 3.4
Work Quality	Shell Measures	Attic Air Sealing	Q00000108	Drop Ceilings And Soffits Sealed	Incidental		If contracted, dropped ceiling/soffit areas should be bridged with an approved backer that is supported appropriately or at a minimum every 24 inches. The backer should lap the edges of the opening at least an inch to allow for secure fastening. All edges and seams should be sealed with an approved sealant.		Not completed per MIG 3.2.5
Work Quality	Shell Measures	Attic Air Sealing	Q00000109	Open Mechanical Chases Sealed	Incidental		If contracted, large chases that allow mechanicals to pass from the conditioned space to the attic should be bridged by an approved backer. This backer should be adequately supported at a minimum of every 24 inches. The backer should overlap the chase it spans by at least one inch and be fastened securely. The perimeter and seams of the backer as well as any penetrations should be well sealed with 1-part foam.		
Work Quality	Shell Measures	Attic Air Sealing	Q00000110	Bath Fans Sealed	Incidental		If contracted, all on-fan perforations & knockouts and areas around unit are sealed		
Work Quality	Shell Measures	Attic Insulation	Q00000111	Continuous Air Barrier Present	Incidental		The air barrier must be continuous before insulating the attic space		Bypasses not sealed prior to insulating per MIG 3.13.1
Work Quality	Shell Measures	Attic Insulation	Q00000112	Specified R-Value And Quantity Installed	Major	Contractor invoiced the Program for (amount and type of insulation). Installed insulation volume is less than contracted amount by more than 10%. Add additional insulation to match contract or reimburse the Program the cost of missing insulation.	At least 90% of insulation was installed and meets or exceeds the r-value specified, if applicable	Less than 90% but more than 80% of insulation was installed	Less than 90% of billed insulation was installed

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Shell Measures	Attic Insulation	Q000000113	Specified Material Type Installed	Major		Installed material matches contract	Installed insulation provides the equal or greater performance than contracted (vapor and thermal barrier, etc.); add conditional pass notes indicating the installed condition.	Installed insulation type does not match the contract or provide equal performance to contracted material(s)
Work Quality	Shell Measures	Attic Insulation	Q000000114	Installation Quality	Major		Loose fill blown in insulation must be installed according to manufacturer's specifications and installed to a level condition. Insulation depth markers installed and marked with the initial installed thickness. All openings into the cavity of blown-in insulation in restricted or dense packed applications must be sealed in such a manner as to prohibit the insulation from coming out of the cavity.		
Work Quality	Shell Measures	Attic Insulation	Q000000115	Heat Source(s) Dammed	Major		Blown in insulation must be contained using damming at the following areas and listed clearances: chimneys & double wall flues (3 inches), single wall flues (6 inches), Recessed lights or bath fans with heat lamps or lights (3 inches).		Not completed per MIG 2.6.2
Work Quality	Shell Measures	Attic Insulation	Q000000116	Mechanical Systems dammed	Major		Blow in insulation is dammed to allow maintenance access and manufacturer required clearances from combustibles. Damming installed to prevent intrusion of insulation into whole house fans, condensate pans, etc.		Not completed per MIG 3.13
Work Quality	Shell Measures	Attic Insulation	Q000000117	Access Treated as Specified	Major	Work scope provided for attic insulation and attic access is not insulated to a minimum of R-14. All attic access openings, including doors, hatches, and pull-down stairs shall have a tightly fitting cover which is insulated to a minimum R-14.	If attic insulation is contracted the attic access is insulated with R-14 or greater.		Attic access insulation less than R-14. Not completed per MIG 3.4
Work Quality	Shell Measures	Attic Insulation	Q000000118	Wind Baffles Installed	Minor		Baffles must be installed at each soffit vent unless appropriate structural barriers exist to ensure appropriate air flow and protection from wind-washing. Baffles must be permanent, mechanically fastened at sides and at bottom, and ensure the free movement of air through soffit vents into the attic; they must extend above the final level of insulation by at least four inches. Baffles must be rigid enough to restrain loose-fill insulation from congesting the soffit vents at the eaves and obstructing ventilation. Baffles shall made using rigid foam board, structural insulated sheathing, framing lumber, plywood, OSB or the pre-formed/manufactured type.		Baffles not installed per MIG 3.13.4
Work Quality	Shell Measures	Attic Insulation	Q000000120	Storage Area Dammed and Clean	Minor		Blown in insulation must be contained using damming around storage areas.		Blown insulation is not contained away from storage areas.
Work Quality	Shell Measures	Attic Insulation	Q000000122	Sufficient Ventilation	Major		Sufficient ventilation (net free area) provided per NYS code (MIG 4.1)		Ventilation is insufficient per NYS Code (MIG 4.1). Sufficient ventilation (net free area) must be provided when attic is insulated, regardless of work scope.
Work Quality	Shell Measures	Attic Insulation	Q000000123	Densepack Insulation	Minor		Blown in insulation in restricted or dense packed applications must be 3.5 lbs./cu. ft. for cellulose and 2.2 lbs./cu. ft. for blown fiber that is manufactured for dense pack installation.		
Work Quality	Shell Measures	Attic Insulation	Q000000124	No Air Leakage Paths	Major		This would indicate if a full cavity was insulated. Loose filled cavities would reveal air leakage path ways		
Work Quality	Shell Measures	Attic Insulation	Q000000125	Site Restored to Tidy Condition	Minor				

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Shell Measures	Attic Insulation	Q00000657	Kneewall Insulation	Major		Attic knee walls may be insulated with batt insulation, blown in insulation held in place by a restraining mesh, foam boards, or 2-part spray foam. Batt insulation must be protected from wind washing with an air barrier. Dense-packed cellulose may be deemed sufficient to protect the installation from the effect of wind washing if held in place a restraining mesh. Appropriate materials for wind wash protection are building wrap, extruded poly styrene, insulated structural sheathing, plywood or OSB, or wall board.		Not insulated and/or protected from wind-washing per MIG 3.17
Work Quality	Shell Measures	Basement Air Sealing	Q00000672	Air Sealing Work Completed As Contracted	Major		Air sealing work must be completed as contracted for. If specific areas were mentioned in the contract, they must be completed. If the contract refers to a CFM reduction, work must be completed within 90% of what was contracted for.		Less than 90% of contracted air sealing work was completed. Visual inspection compared to work scope or blower door assisted inspection of air passages.
Work Quality	Shell Measures	Basement Air Sealing	Q00000137	Plumbing Penetrations Sealed	Minor		Plumbing penetrations can be sealed based on their size. Gaps less than 1/4 inch can be sealed with caulk. Gaps between a 1/4 inch and 1 inch can be sealed with 1-part foam and gaps greater than 1 inch should be sealed with a moisture resistant backer and caulk or foam.		
Work Quality	Shell Measures	Basement Air Sealing	Q00000138	Wiring Penetrations Sealed	Minor		Small openings such as wire penetrations that are less than 1 inch in diameter can be sealed using either fire rated caulk or fire block foam.		
Work Quality	Shell Measures	Basement Air Sealing	Q00000139	Chimney Chases Sealed	Minor		If the gap around the chimney is too great for sealant alone, the gap must be closed with non-combustible material, such as metal flashing mechanically fastened to surrounding framing. If the appliance burns solid fuel or oil, the edges and gaps must be sealed using fire-rated caulk meeting ASTM E136. If the appliance burns natural gas or propane, the edges and seams must be sealed with high temperature silicone RTV meeting ASTM C920.		Not completed per MIG 3.6.5. The chase around the chimney is not required to be sealed if it is sealed in the attic (top of chase).
Work Quality	Shell Measures	Basement Air Sealing	Q00000140	Mechanical Chases Sealed	Minor		Large openings between the basement and the 1st floor should be sealed using moisture and fire resistant materials. The gap should be overlapped by at least one inch and securely fastened. The edges and seams should be sealed with caulk or 1-part foam.		Not completed per MIG 3.6.5
Work Quality	Shell Measures	Basement Air Sealing	Q00000142	Basement Access Sealed	Minor				
Work Quality	Shell Measures	Basement Air Sealing	Q00000144	Ground Cover Installed and Sealed	Minor		A vapor barrier must be installed on exposed dirt floors using 6 mil polyethylene (minimum) or equivalent. Installed neatly and covering the entire area, with seams lapped a minimum of 12 inches. Seams sealed with a tape or sealant that provides a permanent, durable seal. Penetrations sealed with foam, acoustic sealant, or compatible roofing mastic. Perimeter edges run 10 inches minimum up wall and sealed to walls with acoustic sealant or roofing mastic. Exceptions made only where access is impossible due to low clearance.	If vapor barrier is not present and/or not contracted but proper installation is not possible. Add inspector note indicating vapor barrier not installed and reason it is not feasible to install.	Vapor barrier is not present and/or not included in contract. Not complete per MIG 3.15.3
Work Quality	Shell Measures	Basement Air Sealing	Q00000145	Windows Sealed	Minor		Basement windows, within the conditioned space, that have gaps between the window frame and the surrounding framing should be sealed using an approved backer (if necessary) and sealant.		If contracted, not completed per MIG 3.6.5
Work Quality	Shell Measures	Basement Air Sealing	Q00000146	Air Barrier Properly Installed on Underside of Floor Framing	Minor				
Work Quality	Shell Measures	Basement Ceiling Insulation	Q00000147	Specified R-Value And Quantity Installed	Major		At least 90% of insulation was installed and meets or exceeds the r-value specified, if applicable		Less than 90% of billed insulation was installed

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Shell Measures	Basement Ceiling Insulation	Q000000148	Specified Material Type Installed	Major		Installed material matches contract	Installed insulation provides the equal or greater performance than contracted (vapor and thermal barrier, etc.); add conditional pass notes indicating the installed condition.	Installed insulation type does not match the contract or provide equal performance to contracted material(s)
Work Quality	Shell Measures	Basement Ceiling Insulation	Q000000150	No Gaps, Voids or Compression	Minor				
Work Quality	Shell Measures	Basement Ceiling Insulation	Q000000151	Insulation Contact Warm Surface	Incidental		Insulation should be touching the floor it is keeping warm. No gaps between the insulation and the floor sheathing		
Work Quality	Shell Measures	Basement Ceiling Insulation	Q000000152	Vapor Retarder on Correct Surface	Incidental		Vapor retarder should be against the building surface exposed to warmer conditions for the majority of the year		
Work Quality	Shell Measures	Basement Ceiling Insulation	Q000000153	Insulation Adequately Supported	Incidental		Must have adequate support, using wire, rods Tyvek, etc.		
Work Quality	Shell Measures	Basement Ceiling Insulation	Q000000154	Rigid Board Insulation is Continuous Without Gaps or Voids	Incidental		This includes sealed seams and edges, as well as properly covering exposed edges of foil-faced and FSK board with foil tape. (not required on extruded polystyrene)		
Work Quality	Shell Measures	Basement Ceiling Insulation	Q000000155	Densepack Insulation	Minor		Blown in insulation in restricted or dense packed applications must be 3.5 lbs./cu. ft. for cellulose and 2.2 lbs./cu. ft. for blown fiber that is manufactured for dense pack installation.		
Work Quality	Shell Measures	Basement Ceiling Insulation	Q000000156	Densepack Insulation: Sheathing Properly Repaired	Incidental		Wood plugs in wood surfaces or plugs placed in rigid insulation board		
Work Quality	Shell Measures	Basement Ceiling Insulation	Q000000157	Site Restored to Tidy Condition	Minor				
Work Quality	Shell Measures	Basement Wall insulation	Q000000158	Specified R-Value And Quantity Installed	Major		At least 90% of insulation was installed and meets or exceeds the R-value specified, if applicable		Less than 90% of billed insulation was installed
Work Quality	Shell Measures	Basement Wall insulation	Q000000159	Specified Material Installed	Major		Installed material matches contract	Installed insulation provides the equal or greater performance than contracted (vapor and thermal barrier, etc.); add conditional pass notes indicating the installed condition.	Installed insulation type does not match the contract or provide equal performance to contracted material(s)
Work Quality	Shell Measures	Basement Wall insulation	Q000000160	Insulation Is Continuous Without Gaps or Voids	Incidental				
Work Quality	Shell Measures	Basement Wall insulation	Q000000161	Seams in Rigid board Insulation are properly sealed	Incidental		Seams should be sealed with 1-part foam or siliconized caulk		
Work Quality	Shell Measures	Basement Wall insulation	Q000000162	Wall Assembly Meets Program Requirements	Major		A drainage plane or waterproof membrane has been installed between the insulation and the basement wall. Wood framing and batt insulation are isolated and do not contact the concrete wall or floor. Non-absorbent insulation has been used. a continuous air barrier has been provided on the warm side of the insulation.		Not installed per MIG 3.15.3
Work Quality	Shell Measures	Basement Wall insulation	Q000000163	Rigid Board Attached Properly	Incidental		Rigid board insulation must be securely connected to concrete walls with approved fasteners that are properly spaced		
Work Quality	Shell Measures	Basement Wall insulation	Q000000164	Thermal Boundary Between Rim Joist and Basement is Continuous	Incidental		The insulation and air barrier material used on the rim and band areas must be connected to the insulation and air barrier used on the foundation wall		
Work Quality	Shell Measures	Basement Wall insulation	Q000000167	Exposed Rigid Foam Board or Spray Foam Has Required Barrier	Major		Exposed rigid foam board or spray foam has a thermal or ignition barrier as required per code		
Work Quality	Shell Measures	Basement Wall insulation	Q000000168	Spray Foam Insulation Is Closed Cell	Incidental		Foam must be high density, and water resistant below grade		
Work Quality	Shell Measures	Exhaust Fan	Q000000685	Contracted Exhaust Fan Installed	Major		Contracted exhaust fan installed per contract and MIG		Not installed or not install per MIG 4.6 & 4.7 for attic ventilation or MIG 4.8 for basements and crawl spaces

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Shell Measures	Exhaust Fan	Q00000686	Venting	Major		Exhaust vents must be vented to either a roof flapper vent, an end wall flapper vent or if neither of these two options is available, to an exhaust vent designed to be installed in a soffit. All exterior flapper vents must be equipped with a back draft damper that works smoothly. Back draft dampers at the fan unit must be removed. Vent outlets must be properly flashed and sealed into roof or siding materials so water will not leak into the assembly.		
Work Quality	Shell Measures	Exhaust Fan	Q00000687	Ducting	Major		Exhaust ducting must be attached to the fan outlet and the flapper vent connector with metal clamps. The duct must be insulated to current code levels for the location it passes through. The duct insulation must have a vapor retarder covering. Hard duct must be supported every 10 feet with 1" metal straps. Flex duct must be supported according to manufacturer's instructions.		
Work Quality	Shell Measures	Exhaust Fan	Q00000688	Fan Specifications are Appropriate	Minor		They must be rated for continuous use and they must have a noise rating of 1.0 sones or less.		
Work Quality	Shell Measures	Exhaust Fan	Q00000689	Installation Quality	Minor		Exhaust fans and 24 hour timers must be installed neatly and according to manufacturer's installation instructions. Gaps between the fan housing and surrounding finishes must be sealed with caulk or 1-part foam.		
Work Quality	Shell Measures	Exhaust Fan	Q00000690	Timer	Minor		Fans must have an on/off switch separate from the timer that occupants will use for spot ventilation.		
Work Quality	Shell Measures	Floor Insulation	Q00000678	Contracted Floor Insulation Installed	Major		At least 90% of insulation was installed and meets or exceeds the R-value specified, if applicable		Less than 90% of billed insulation was installed
Work Quality	Shell Measures	Floor Insulation	Q00000679	Specified Material Type Installed	Major		Installed material matches contract	Installed insulation provides the equal or greater performance than contracted (vapor and thermal barrier, etc.); add conditional pass notes indicating the installed condition.	Installed insulation type does not match the contract or provide equal performance to contracted material(s)
Work Quality	Shell Measures	Floor Insulation	Q00000680	No Air Leakage Paths	Major		IR scans indicate little to no air leakage pathways		
Work Quality	Shell Measures	Floor Insulation	Q00000681	Densepack Insulation	Minor		Blown in insulation in restricted or dense packed applications must be 3.5 lbs./cu. ft. for cellulose and 2.2 lbs./cu. ft. for blown fiber that is manufactured for dense pack installation.		
Work Quality	Shell Measures	Floor Insulation	Q00000682	Site Restored to Tidy Condition	Minor				
Work Quality	Shell Measures	Floor Insulation	Q00000683	Insulation Contact Warm Surface	Major		Insulation should be touching the floor it is keeping warm. No gaps between the insulation and the floor sheathing		
Work Quality	Shell Measures	Living Space Air Sealing	Q00000673	Air Sealing Work Completed As Contracted	Major		Air sealing work must be completed as contracted for. If specific areas were mentioned in the contract, they must be completed. If the contract refers to a CFM reduction, work must be completed within 90% of what was contracted for.		Less than 90% of contracted air sealing work was completed.
Work Quality	Shell Measures	Living Space Air Sealing	Q00000169	Baseboards Caulked	Incidental		Any measure that is visible or used by a customer should have been approved by with the customer before installation. If customer cannot remember whether they were asked or were not present during the installation, rate this as 'Not Inspected.'		
Work Quality	Shell Measures	Living Space Air Sealing	Q00000170	Window and Door Trim Caulked	Incidental		Any measure that is visible or used by a customer should have been approved by with the customer before installation. If customer cannot remember whether they were asked or were not present during the installation, rate this as 'Not Inspected.'		
Work Quality	Shell Measures	Living Space Air Sealing	Q00000171	Plumbing Penetration Sealed	Incidental				
Work Quality	Shell Measures	Living Space Air Sealing	Q00000172	Boots Sealed to Interior Material	Incidental		The register should be removed and the boot sealed to the surrounding air barrier		



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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Shell Measures	Living Space Air Sealing	Q000000173	Interior Sheathing Voids Repaired	Incidental		Use a compatible material that can be finished by the homeowner		
Work Quality	Shell Measures	Living Space Air Sealing	Q000000174	Exterior Doors Swept and Weather stripped	Incidental		Doors to the exterior can be weather stripped and swept at the customers request. Doors to the garage should always be weather stripped and swept. Weather stripping should be permanently attached, allow the door to still function as intended and remain flexible in cold weather.		
Work Quality	Shell Measures	Living Space Air Sealing	Q000000175	Doors to Attached Garage Weather stripped	Major		Doors to the attached garage should always be weather stripped and swept. Weather stripping should be high quality, permanently attached, allow the door to function as intended and remain flexible in cold weather.		Fail if the door from the living space to the garage is not weather stripped, also fail if not in contract
Work Quality	Shell Measures	Living Space Air Sealing	Q000000176	Windows Weather Stripped	Incidental		All weather-stripping should be permanently installed with fasteners (tacks, staples, brads, etc.) and should make positive contact between surfaces to prevent air leakage. The weather-stripping should form an airtight seal when the window is closed and latched. A small bead of caulk should be applied as necessary to prevent air leakage behind the weather-stripping.		
Work Quality	Shell Measures	Replacement Doors & Windows	Q000000189	Correct Quantity Installed	Major				
Work Quality	Shell Measures	Replacement Doors & Windows	Q000000190	Correct U-Factor & SHGC Installed	Major		The U-factor and SHGC on the NFRC sticker should be equal to the window specified on the approved contract		
Work Quality	Shell Measures	Replacement Doors & Windows	Q000000191	Window(s) Function Properly	Minor		The window should open, close, tilt-in etc smoothly and easily. When closed and locked the meeting points of the window should be even and square. Blower door testing indicates that the windows have little to no air leakage.		The windows do not function properly and/or there is significant air leakage.
Work Quality	Shell Measures	Replacement Doors & Windows	Q000000192	Window Perimeter Sealed & Insulated	Minor		The rough opening around the window should be air sealed and insulated with an air impervious material such as 1-part foam. If the windows are already trimmed at inspection, this can be verified by spot checking or asking the installer to take photos during installation. Other wise it would be rated as N/I.		
Work Quality	Shell Measures	Replacement Doors & Windows	Q000000194	Exterior Finish Restored	Minor		The exterior siding and trim has been replaced and repaired to the extent that it is indistinguishable from the surrounding finish.		
Work Quality	Shell Measures	Replacement Doors & Windows	Q000000195	Interior Finish Restored	Minor		The exterior siding and trim has been replaced and repaired to the extent that it is indistinguishable from the surrounding finish.		
Work Quality	Shell Measures	Rim Joist Insulation	Q000000659	Specified R-Value And Quantity Installed	Major		At least 90% of insulation was installed and meets or exceeds the R-value specified, if applicable		Less than 90% of contracted insulation was installed
Work Quality	Shell Measures	Rim Joist Insulation	Q000000660	Specified Material Installed	Major		Installed material matches contract	Installed insulation provides the equal or greater performance than contracted (vapor and thermal barrier, etc.); add conditional pass notes indicating the installed condition.	Installed insulation type does not match the contract or provide equal performance to contracted material(s)
Work Quality	Shell Measures	Rim Joist Insulation	Q000000661	Spray Foam Insulation Is Closed Cell	Major				
Work Quality	Shell Measures	Rim Joist Insulation	Q000000662	Site Restored to Tidy Condition	Minor				
Work Quality	Shell Measures	Wall Insulation	Q000000126	Specified R-Value And Quantity Installed	Major		At least 90% of insulation was installed and meets or exceeds the R-value specified, if applicable		Less than 90% of billed insulation was installed
Work Quality	Shell Measures	Wall Insulation	Q000000127	Specified Material Type Installed	Major		Installed material type matches contract	Installed insulation provides the equal or greater performance than contracted (vapor and thermal barrier, etc.); add conditional pass notes indicating the installed condition.	Installed insulation type does not match the contract or provide equal performance to contracted material(s)
Work Quality	Shell Measures	Wall Insulation	Q000000130	No Air Leakage Paths	Major		IR scans indicate little to no air leakage path ways		

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Category	Inspection Category	Measure	Question ID	Task Requirement	Deficiency Category	Canned Failure Description	Pass Summary	Conditional Pass Summary	Fail Summary
Work Quality	Shell Measures	Wall Insulation	Q000000131	Densepack Insulation	Minor		Blown in insulation in restricted or dense packed applications must be 3.5 lbs./cu. ft. for cellulose and 2.2 lbs./cu. ft. for blown fiber that is manufactured for dense pack installation.		
Work Quality	Shell Measures	Wall Insulation	Q000000132	Drill Holes Patched Properly	Minor		The exterior walls of a home are sided with exterior grade plywood type siding and have been filled with dense pack insulation using a drill and plug installation method. The drill holes are cleanly cut and have been re-sealed neatly with an approved sealant and the holes were drilled in a level line across the wall areas.		All drill and plug applications are not sealed. In situations where the plug is recessed, at least one coat of spackling compound or comparable product must be applied. In situations where the project is provided with full incentives through the Program, all drill and plug interior applications must be spackled to a smooth surface and painted to match the surrounding walls. Exceptions may be made only if agreed to in writing by the customer and approved by the Program.
Work Quality	Shell Measures	Wall Insulation	Q000000133	Drainage Plane Repaired	Major		Drainage plane repaired using appropriate materials (Tyvek, felt, flashing, etc.) after blowing in insulation from the exterior.		
Work Quality	Shell Measures	Wall Insulation	Q000000134	Cladding/Sheathing Properly Repaired	Major		An inspection of the seams on the aluminum or vinyl siding show that all the seam are interlocked. Pulling on the siding shows the siding is firmly attached to the building but can move side to side about an inch. None of the siding is dented or damaged. The single nailed asbestos siding has been re-installed. There are no damaged pieces. The siding is straight and firmly attached to the building.		
Work Quality	Shell Measures	Wall Insulation	Q000000135	Site Restored to Tidy Condition	Minor				
Work Quality	Shell Measures	Wall Insulation	Q000000136	Band Joist Insulated	Major				

# User Guide

## NY Home Performance Portal

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**CLEAR**Result



# NYSERDA HP Portal

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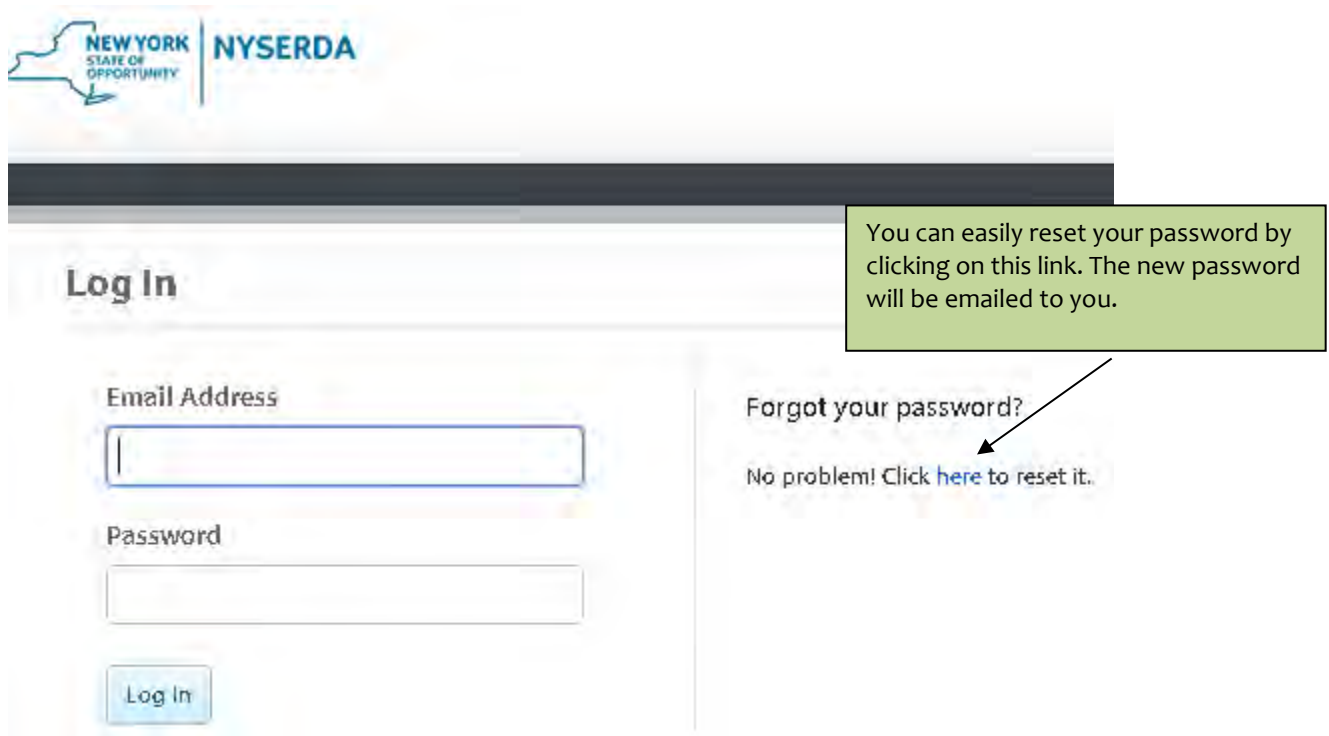
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## Logging In/Password Reset

You will receive an email with a link to set a password once your username has been created. Follow that link to create your password. You will then use the new password and your email address to log in. Once you have created your account, you can log in at the following URL: <https://nyserda.energysavvy.com/>

There can only be 1 account per email. There can be more than one account per contractor. To request a new account, please contact Contractor Support at [contractorsupport@clearesult.com](mailto:contractorsupport@clearesult.com), 1-800-284-9069, or <http://hpwescontractorsupport.com/> and select Help Center.



The image shows a screenshot of the NYSERDA login page. At the top left is the NYSERDA logo, which includes the text "NEW YORK STATE OF OPPORTUNITY" and "NYSERDA". Below the logo is a dark horizontal bar. The main heading is "Log In". There are two input fields: "Email Address" and "Password". Below the "Password" field is a "Log In" button. To the right of the input fields is a link that says "Forgot your password?". Below this link is the text "No problem! Click [here](#) to reset it." A green callout box with a white border and a black arrow pointing to the "here" link contains the text: "You can easily reset your password by clicking on this link. The new password will be emailed to you."

## Contractor's Customer Facing Profiles

Contractor profiles are driven by information provided in the 2014-2015 NY Home Performance with ENERGY STAR® Contractor Participation Agreement SIGNATURE FORM. Contractors can request updates to their customer facing profile information by contacting Contractor Support.

# Dashboard

Once you have logged in, you will see a Dashboard with a list of tasks that need attention. Any new tasks will be highlighted in the 'Have New Assignments' box and any past-due tasks will be highlighted in the 'Are Past-Due' box.

The search box in the upper right corner of the screen can be used to locate any project associated with the contractor, even if that project has no active tasks for the contractor to complete. You can search by last or first name, street address or city, or Project ID.

NOTE: Read the 'Claim a Reservation Number' section of this document for an explanation of the 'Claim a Reservation' section of the Dashboard.

The screenshot shows the NYSEDA Contractor Support Website dashboard. At the top, there is a navigation bar with the NYSEDA logo, a bar chart icon, a home icon, a menu icon, and a settings gear icon. The user is logged in as 'Nora Muller' with a 'Log out' link. A search box is located in the top right corner. Below the navigation bar, the dashboard is divided into several sections. On the left, there is a contractor profile for 'ABC Contractor' with an address in Westborough, MA. The main area features a large '0' and the text 'ACTIVE PROJECTS' with a 'See all >' link. To the right of this are three boxes: 'HAVE NEW ASSIGNMENTS' (0), 'ARE PAST-DUE' (0), and 'ARE ON-TRACK' (0). Below these is a 'Claim a Reservation' form with fields for 'Reservation number' and 'Last name', and a 'Search' button. On the right side, there is a 'Latest Program Info' section with 'Portal Training' and 'Welcome!' messages. Callout boxes provide instructions: 'Click to see full list of projects.' points to the Projects menu icon; 'Check the latest Program news and Portal announcements.' points to the Program Info menu icon; 'Click to edit various settings.' points to the Settings gear icon; 'Use the Project category boxes to see projects within those categories.' points to the 'ACTIVE PROJECTS' section; 'Search for customers/projects' points to the search box; and 'Enter customer's audit reservation number and last name to claim the reservation number.' points to the 'Claim a Reservation' form.

## Projects Overview

By clicking on the 'Projects' button, you will see an overview of all your projects. You can use the filters on the left side of the page to sort your projects by a variety of criteria (such as program stage, assignment status, affiliation, etc.). You can also sort by due date, last name, and last update.

You can download an Excel spreadsheet of all projects in the filtered view by clicking the download 'Projects' link. To submit an audit application on behalf of a customer, click the '+Add Project' drop down arrow button and select 'HPwES Audit' option. This will bring you to the online application page where you can fill out the required customer information.

To add a new HPwES Contract project click the '+Add Project' drop down arrow button and select 'HPwES Contract'. This will open an application that is similar to the audit application. Once the 'HPwES Contract' application gets filled out it will create a project in the modeling stage. See the FAQ section on page 58 for reasons why a project may not show up after you submitted the HPwES Contract application.

Clicking on a specific project will take you to that project's page where you will be able to complete the next task assigned to you for that project.

NOTE: Due dates and service level agreements (SLAs – see Glossary on page 51) are not punitive. They have been established for the Program to gather data about the processes and identify areas where efficiencies could be made.

The screenshot shows the NYSEDA Projects Overview page. The top navigation bar includes 'Dashboard', 'Projects', 'Program Info', and 'Settings'. The main content area displays a list of projects, each with customer information and a 'Next step' to move the project along. The projects listed are:

- HPwES Audit Claim**: 31 items. Includes Audit Application Processing (80), Intake (80), and Audit Claim (27).
- HPwES Project Workflow**: 50 items. Includes Modeling (50), Model Review (2), Workscope Proposal (22), Workscope Review (4), Eligibility Screening (35), Contract Submission (15), and Contract Submission Review (9).
- Assignment Status**: 262 New, 35 On Track.
- Other**: 238 items, including 'Include past assignments'.
- Affiliation**: 4 AAFE - Asian Americans for Equality, 1 AHP - Affordable Housing Partnership.

Five individual projects are shown in detail:

- Mark Audit**: 1018 9th Ave, Troy, NY 12182. Project ID: 612. Next step: Complete Eligibility Screening...
- James Bond**: 19 West St, Albany, NY 12206. Project ID: 633. Next step: Complete Eligibility Screening...
- Joanne Wice**: 27 James Dr, Albany, NY 12211. Project ID: 750. Next step: Complete Eligibility Screening...
- Johnny Test**: 10 King Ave, Albany, NY 12206. Project ID: 6666. Next step: Complete Eligibility Screening...

Callouts in the image provide the following information:

- Filter Projects by work stage or status.** (Points to the left-hand filter menu)
- Use this button to add an audit or a contract project.** (Points to the '+ Add Project' dropdown button)
- Timeline notifications for project task due dates.** (Points to a 'Due in 2 days' notification box)
- Each project shows basic customer information and the next step to move the project along.** (Points to the project details for Joanne Wice)
- New - Urgent Action Required** (Points to a notification box for Mark Audit)



Clicking on a specific project (in this case, 'Sally Customer') will take you to the next task you need to complete for that project. On the left side of the screen you will see general information about the project and in the middle of the screen you will see relevant information for completing the task. You can click 'Full Details' on the left side of the page to see additional details about the project including location on a map, building type, and more.

**General project information panel**

**Complete Audit Claim** Due in 82 days

Assigned June 11, 2013

Due date: Sept. 3, 2013

Extend Due Date | This task can not be completed

**Sally Customer**  
Project ID:1077

Next Action

**Full Details**

**Premise Details**  
10 Ormond St  
Albany, NY 12203

**Participant Details**  
nora.muller+987@csgp.com  
888-888-8888

**Program Info**  
Stage: Audit Claim  
Updated: 12 minutes ago

**HPwES Comprehensive Home Audit Report \***

C:\Documents and Se | Browse...

**Customer has received copy of audit \***

Yes

Please read the following carefully. Payment for a... the customer has received a copy of the audit. Laf... provided this customer with a copy of the audit report.

**Add a Note (optional)**

Send Now | Save & Send Later

**Reservation number:** NUM36956

**Free or Reduced Cost audit:** Free

**Incentive amount:** \$250.00

**1. Section for completing task.**

**2. Use this button to submit**

**Save your work to finish task later.**

**Link to customer's project portal and view what your customer can see.**

**Relevant audit program information about the project is displayed.**

**History of the project's tasks.**

**Project Timeline** Show archived tasks Expand All

**Jun 11** Reservation claimed

**Audit Application Approval – Completed in less than a day**

**Completion Data**

Audit incentive expiration date	Aug. 11, 2013
Free or Reduced Cost audit?	Free
Incentive amount	250.00
Reservation number	NUM36956

**Audit Application Approval Task History**

06/11/2013 3:38 p.m.	Completed	by Nora Muller
06/11/2013 3:36 p.m.	Opened	by Nora Muller
06/11/2013 3:36 p.m.	Assigned	by System

Audit Application Approval Assigned to CSG [task details...](#)

**Audit Application Processing – Completed in less than a day**

Audit Application Processing	Assigned to CSG	<a href="#">task details...</a>	CSG
Application completed			Nora Muller

**Last modified:** 2 days ago by Automated Workflow

**Assigned on:** June 11, 2013

**Closed on:** June 11, 2013

**Expand All**

## Extend Due Date

The 'Extend Due Date' button only extends the due date of the task you are working in (i.e. Audit Claim, Modeling and etc.). It doesn't extend the due date of an HPwES reservation number or workscope approval. The 'Extend Due Date' options are generally the same from stage to stage. The screenshot below provides an example of the options displayed when you click 'Extend Due Date'.

**Why are you extending this task's due date?**

- Waiting on participant
- Missing information
- Away from office

**Extend to**

2013-07-11

**Current due date**

2013-07-10

Include an explanatory note if necessary.

**Who should see this note?**

- Program Managers Only
- All Users

Save Cancel

The screenshot shows a dialog box titled 'Extend Due Date' with several sections. The first section, 'Why are you extending this task's due date?', has three radio button options: 'Waiting on participant', 'Missing information', and 'Away from office'. A callout box points to these options with the text 'Select a reason to explain why you are extending the task's due date.' The second section, 'Extend to', features a date input field containing '2013-07-11' and a calendar icon. A callout box points to this field with the text 'Select a new due date.' The third section, 'Current due date', shows '2013-07-10' above a large text area. A callout box points to this text area with the text 'Include an explanatory note if necessary.' The fourth section, 'Who should see this note?', has two radio button options: 'Program Managers Only' and 'All Users' (which is selected). A callout box points to these options with the text 'Select who should be able to see your note. By selecting the choice of 'All Users' this will make your note viewable to the customer.' At the bottom of the dialog are 'Save' and 'Cancel' buttons.

If you forget to complete a certain part of the task, the Portal will automatically prompt you to correct the mistake. See the screenshot below for an example:

The screenshot displays the NYSERDA portal interface. At the top, there is a navigation bar with the NYSERDA logo, a search bar, and user information for 'Bob'. The main content area is titled 'Complete Audit Claim' and includes a 'Due in 85 days' badge. A red error notification banner at the top of the task area reads 'Please correct the errors below'. Below this, the task details show a due date of July 22, 2013, and a status of 'This task can not be completed'. A dropdown menu for 'Customer has received copy of' is set to 'No', with a callout box explaining that the customer must receive a copy of the audit. A message below the dropdown states: 'You must provide the customer with a copy of the audit in order to claim the audit incentive. Please read the following carefully: Payment for an audit cannot be claimed until the customer has received a copy of the audit. I affirm that our company has provided this customer with a copy of the audit report.' The interface also includes a sidebar with project details, a 'Full Details' link, and various action buttons like 'Add Note' and 'View Project Page'.

## Portal Work flow

The Portal workflow has two parts. The first part is for the HPwES Audit project and the second part is for the HPwES Contract project. Each task is either assigned to the Partner, CLEAResult, or EFS. Contractors are considered Partners in the Portal. Your project moves through each task in the assigned workflow and all tasks must be completed in order and finishes when the last task is complete.

### 1. HPwES Audit

- a) Customer or Partner submits HPwES online audit application <OR> Customer Service Representative (CSR) enters paper application into the Portal. - [task for Participant or Partner](#)
- b) Audit Application Approval – [task for CLEAResult](#)
- c) Contractor claims reservation number on dash board - [task for Partner](#)
- d) Audit Claim - [task for Partner](#)

### 2. HPwES Contract

- a) Completion of step 1d of the above HPwES Audit Portal Workflow automatically creates a follow on project in the modeling stage <OR> Partner creates an HPwES Contract Project which will create a new project in the modeling stage.
- b) Modeling - [task for Partner](#)
- c) Workscope Proposal - [task for Partner](#)
- d) Eligibility Screening - [task for Partner](#)
- e) Contract Submission - [task for Partner](#)
- f) Contract Submission Review - [task for CLEAResult](#)
- g) Financing Approval - [task for EFS](#)
- h) Final Project Submission - [task for Partner](#) (*You won't be able to proceed to the Final Project review task if EFS hasn't finished their Financing Approval task.*)
- i) Final Project Review - [task for CLEAResult](#)
- j) Financing Disbursement - [task for EFS](#)

(For further Project Work flow details see page 52)

## Contractor Workflow for Entering Audit Applications into the NY HP Portal (Helpful Hints)

### Online Audit Application Screen 1

Please note: You cannot copy and paste into Zip Code, Home Phone, or Cell Phone number fields. You will need to type in these fields.

**Contact Information**  
This is your primary mailing address. It can be different from your home, or the building you want to have evaluated under this program.

**Street address \***

**Street address two**

**City \***

The address requested on the first screen is the **mailing** address, not the building address (unless the building and mailing addresses are the same).

**Home phone \***

**Cell phone**

A home phone number is a required field and a cell phone number is optional. If the customer has only supplied a cell phone number, enter it into the "home phone" box.

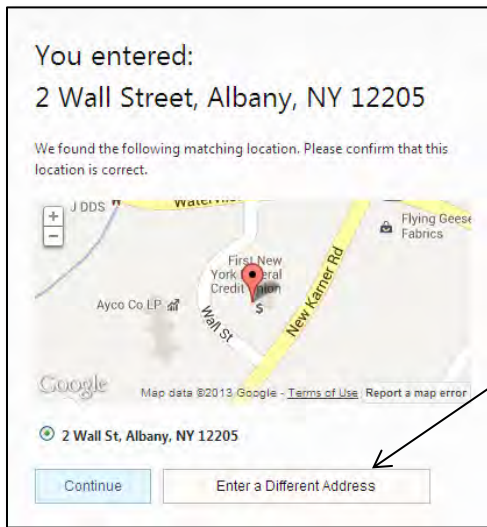
If the customer has not provided a phone number and you are unable to obtain a phone number, please enter 999-999-9999.

Checking this box will allow you to track your progress online and receive updates through the email address you provide below

**Email \***

If a customer has included their e-mail address on their application, select the checkbox. Customers will receive an e-mail directing them to a Customer Portal page where they can track their progress through the Program.

If the customer has not included an e-mail address on their application, uncheck this box.



After pressing “next” on the first page of the application, an address verification box will appear. Check for obvious errors in the address. If any corrections need to be made, click “Enter a Different Address.” If no corrections need to be made, click “Continue.”

## Application Screen 2

**Project Location**  
This can be different from your mailing or primary residence addresses (if this is a second or vacation home, or you receive mail at a PO box, for example).

**Home address and contact address are the same**

Yes

No

**Street address one \***

**Street address two**

**City \***

If the mailing address is different than the building address, select No. Enter the building address.

If the mailing and building addresses are the same, leave the selection as Yes.

**How did you first hear about the Home Performance with ENERGY STAR program?**

- Constituency-Based Organization (CBO)
- Contractor
- EDGE Regional Outreach Contractor
- Home Show/Event
- Internet
- Neighbor/Friend/Family
- NYSERDA
- Print Ad
- Radio
- Real Estate Professional
- Town, Village, City, County
- TV
- Energize NY
- Other

There is only the ability to select one of these options on the application. If multiple options are selected on the application and “Constituency-Based Organization” is one of the options selected, click “Constituency-Based Organization” in the Portal.

If multiple options are selected on the customer application and “Constituency-Based Organization” is not one of the selected options, just pick one of the selected choices to include in the Portal.

**Application Screen 3**

Your household income and the type of contribution to the cost of the assessmer household's annual income range from b cost.

- Up to \$156,600
- \$156,600 up to \$195,750
- \$195,750 up to \$234,900
- \$234,900 up to \$274,050
- \$274,050 up to \$313,200
- Over \$313,200

The online application now displays monetary income ranges based on the customer's Zip Code. Please use the chart below to select the correct income range when submitting applications into Portal on behalf of customers.

Paper Application	Online Application	Example
Customer answers “Yes” to “Is your household income less than \$99,600?”	Up to 200% AMI	Up to \$156,600
<200% AMI	Up to 200% AMI	Up to \$156,600
<250% AMI	200% to 250% AMI	\$156,600 to \$195,750
<300% AMI	250% to 300% AMI	\$195,750 to \$234,900
<350% AMI	300% to 350% AMI	\$234,900 to \$274,050
<400% AMI	350% to 400% AMI	\$274,050 to \$313,200
No listing	Over 400% AMI	Over \$313,200

### Signed program application \*

I certify that the owner of the building listed above has granted me permission to submit this online application on their behalf and that I have submitted the customer signed paper application to the Program. The information I have submitted on this online form is correct to the best of my knowledge and has been transferred by me from the customer signed paper application. I understand that giving false information or withholding information in order to make this customer eligible for benefits that they or I am not entitled to may result in penalties and I can be suspended or terminated from the Program.

### Date Signed\*

I certify that the above information and statement are true

Contractors submitting applications on behalf of customers still need to upload the signed paper application to verify customer permission.

Electronic signatures are currently not accepted.

## Audit Applications Over the Phone

Customers in condos, co-ops, mobile homes, and not-for-profits should call the HPwES Audit Call Center to be pre-screened for eligibility. If eligible, the CSR will fill out the application on the customer's behalf while on the phone.

If a contractor wants to submit an application for a condo, co-op, not-for-profit, or mobile home, the following steps can be taken:

1. The contractor can call the HPwES Audit Call Center to answer the pre-screening questions and the application can be completed over the phone, if eligible.
2. The contractor will e-mail the customer-signed paper application.
3. The reservation number will not be issued until the paper application is received.

## Aggregation Audit Applications

Audit applications that are marked "Aggregation" can now be entered into the Portal.

A project that moves forward with work, the contractor may submit the Aggregation Project via Portal. If you are an Aggregation contractor, please see the separate Aggregation Projects HPwES Work Scope Submission and Approval Process Quick Guide.



## Claim a Reservation Number

The 'Claim a Reservation' box at the bottom of the Dashboard is used to claim a homeowner's audit reservation number by entering the reservation number and last name of the homeowner. This information should be obtained from the homeowner or if the homeowner requested the contractor to be copied on the approval letter. After clicking search, a list of projects matching the reservation number and last name will be displayed (there should only be one project in this list). The contractor can claim the audit project by clicking 'Claim Reservation' on the 'Claim A Reservation' window. The project will then be added to the contractor's active projects.

An error message will be displayed if an incorrect reservation number or customer last name is entered. If no match is found, verify that the last name and reservation number are correct. If it has been at least 24 hours since the reservation was issued, contact the HPwES Audit Call Center at 1-855-838-7818 (option 1) for assistance.

**309**  
ACTIVE PROJECTS  
See all »

**249**  
HAVE NEW ASSIGNMENTS

**0**  
ARE PAST-DUE

**60**  
ARE ON-TRACK

Claim a Reservation

Reservation number Last name

CUS24579 Customer

Search

No matching reservation found.  
Please double-check the information and try again.

Claim the reservation number on dashboard.

Claim a Reservation

Reservation number Last name

SMI789 Smith Search

**John Smith** Claim Reservation

100 Park Ave  
New York, NY 10017  
555-555-5555  
will+3409oi@energysavvy.com

In this screenshot, the contractor correctly inputted John Smith's reservation number and his last name. Thus, the contractor is given the option to claim this reservation

After clicking on 'Claim Reservation', the Portal displays a message saying the contractor successfully claimed the reservation number. The contractor can click on the homeowner's name in the message to go directly to the homeowner's project page. Upon clicking this link, the contractor will be taken to a page where they can complete the Audit Claim stage (see the next section for a discussion of this stage).

The screenshot displays a contractor dashboard with the following elements:

- Message Bar:** A green bar at the top left contains the text "Successfully claimed reservation for [John Smith](#)". An orange callout box with an arrow points to this text, containing the text "You will see a message for successfully claiming a reservation".
- Project Statistics:** A large blue number "309" is displayed above the text "ACTIVE PROJECTS". Below this is a "See all »" link.
- Assignment Status:** A blue number "249" is displayed above the text "HAVE NEW ASSIGNMENTS".
- Past-Due Status:** A red number "0" is displayed above the text "ARE PAST-DUE".
- On-Track Status:** A green number "60" is displayed above the text "ARE ON-TRACK".
- Blog Section:** A section titled "Latest Program Info" with a "See all posts" link. Below it are two blog posts: "New Blog Post" dated Feb. 15, 2013, and "Welcome to Your Dashboard!" dated Jan. 17, 2013, with a link to "NYSERDA Contractor Support Website".
- Reservation Claim Form:** A section titled "Claim a Reservation" with two input fields labeled "Reservation number" and "Last name", and a "Search" button.

## Audit Claim Stage

In this stage, you will submit the results of the audit, submit energy usage documents, and confirm that the homeowner has received a copy of the audit report. Upon successfully completing this stage, the audit incentive is automatically claimed, the HPwES Audit project is closed, and a new HPwES Contract project with the same information is automatically created in the Modeling stage. To access this new project, you must return to the main Projects page and select the customer's HPwES Contract project.

### Complete Audit Claim

Due in 36 days

Assigned Aug. 19, 2014 [Jump to Timeline](#)

Due date: Nov. 11, 2014

[Extend Due Date](#) [This task can not be completed](#)

\* Required fields

**HPwES Comprehensive Home Audit Report \***

[Browse...](#)

**Customer has received copy of audit \***

**Please read the following carefully:** Payment for an audit cannot be claimed until the customer has received a copy of the audit. I affirm that our company has provided this customer with a copy of the audit report.

**Reservation number:** MIR76215

**Free or Reduced Cost audit:** Free

**Incentive amount:** \$250.00

[Add Note](#)

[View Project Page](#)

Upload .pdf of audit report.  
Please see the FAQ on PDFs for more information.

Confirm that the customer has received a copy of the audit report.

**Electric Utility Company \***

**Electric Utility Account Number \***

**Electricity Usage Summary \***

[Browse...](#)

For the last 12 or more months (as a PDF or an image). File size is limited to 10 MB.

Provide the customer's electric usage information.

The utility usage fields accept PDFs and all standard image files.

Contractors can upload clear pictures of utility usage documents, as long as the file is less than 10 megabytes.

**Fuel type \***

- Electricity
- Gas
- Oil
- Propane
- Kerosene
- Wood
- Coal
- Pellets
- Other

Select the customer's fuel type. Depending on the fuel selected, additional boxes will display, asking for fuel vendor name and customer account number.

**Primary heating fuel vendor \***

**Fuel account number \***

**Is Primary Heating Fuel Usage available? \***

- Yes
- No

**Primary Heating Fuel Usage Summary \***

For the last 12 or more months (as a PDF or an image). Please enter usage data for all applicable unit(s) in the building. If the units are roughly the same size and conditions you do not need to upload usage for multiple units. File size is limited to 10 MB.

If fuel usage is available, a box will display requesting the fuel usage summary. The utility usage fields accept PDFs and all standard image files.

**Is Primary Heating Fuel Usage available? \***

- Yes
- No

**Primary Heating Fuel Usage Waiver \***

If a full year of data is not available because the home was purchased within the last 12 months, fuel is provided by various suppliers, and/or the homeowner does not have access to usage data, please complete and submit the [Energy Usage History Waiver Form](#) (requires free [Adobe Reader](#)). Waiver forms without a signature will not be accepted. Please be sure to print out and sign the form before uploading it in the section below. File size is limited to 10 MB.

If fuel usage is not available, a box will display requesting the fuel usage waiver.

This building has a secondary heating fuel

No

Add a Note (optional)

Send Now Save & Send Later

If no secondary heating fuel source, select "No" and no further action is needed.

If the customer does have a secondary heating fuel source, select 'Yes.' Additional boxes will display to input the fuel type, fuel vendor, and fuel account number.

Customers who completed the previous version of the audit application were required to upload their energy usage documents at the time of application submission. For these customers, the submitted energy usage documents will be available on the right side of the Audit Claim screen.

### Complete Audit Claim

Due today

Assigned May 3, 2014

Due date: July 28, 2014

Extend Due Date This task can not be completed

\* Required fields

HPWES Comprehensive Home Audit Report \*

Customer has received copy of audit \*

No

Electric Utility Company \*

Central Hudson

Electric Utility Account Number \*

Electricity Usage Summary \*

Fuel type \*

Electricity

Utility Information

Electric utility: Con Ed

Electric utility account number: 700

Electric utility data: Download File

Gas vendor: Municipal Utility

Heating account number: tbd

Heating fuel other:

Heating fuel type: Gas

Heating vendor:

Primary heating data: None

Primary heating history waiver: Download File

Submitted energy usage documents

Review the information to confirm it is correct (12 months of usage for heat and electric) and re-upload in the appropriate sections to claim the audit incentive.

## Complete Audit Claim

Assigned June 11, 2013

Due date: Sept. 3, 2013

If you can't complete the Audit Claim stage click 'This task can not be completed' button.

Clicking on the 'This task can not be completed' button will display the following choices:

- Did not get business
- Could not contact
- Audit Approval Expired
- Other

If any of these four choices is selected, the project will be marked as Closed and the project will be removed from your queue.

## Complete Audit Claim

Why couldn't this task be completed?

Did not get business  
 Could not contact  
 Audit Approval Expired  
 Other

Write a note.

Who should see this note?

Program Managers Only  
 All Users

Select option to terminate project.

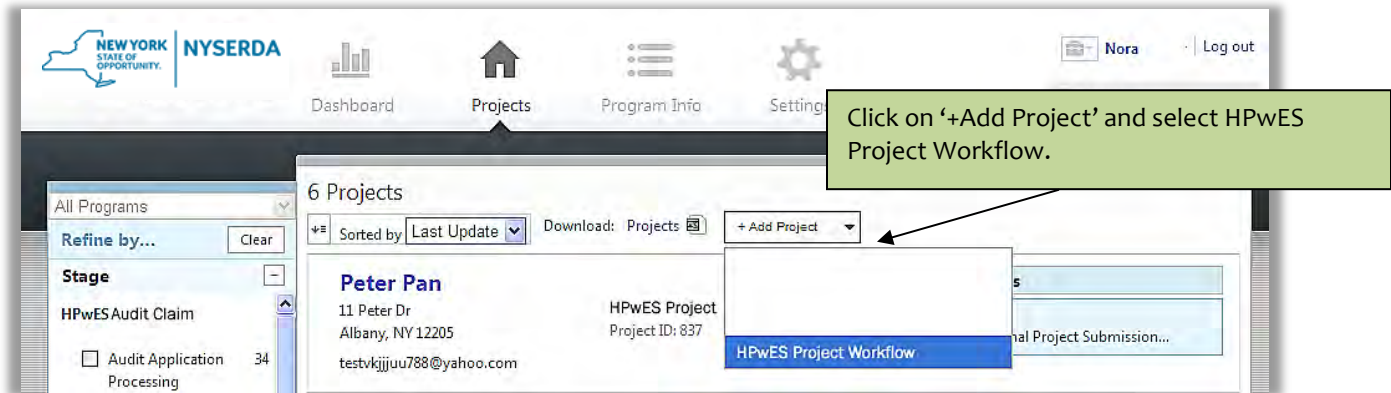
Write a note.

Your note can be viewable by program managers or all users.

## Creating a New Contract Project

Customers that did not originate with an HPwES Free/Reduced Cost Audit through your company will need to be entered.

Click on '+Add Project' and select 'HPwES Contract'. This will open a window for the Homeowner Application for HPwES Contract. Upon filling out the form and submitting it will create a new project for your customer. The new project will begin at the Modeling stage. The new project will be in the projects list within a few minutes of submitting the form. You can see the new project by reselecting 'Last Update' in the Sorted by filter or you can refresh your web browser.



The screenshot shows the NYSDERDA web application interface. At the top, there is a navigation bar with the NYSDERDA logo, a home icon, and menu items for Dashboard, Projects, Program Info, and Settings. A user profile for 'Nora' and a 'Log out' link are visible in the top right. Below the navigation bar, the main content area displays a list of projects. A callout box with a green background and black text points to the '+ Add Project' button, stating: 'Click on '+Add Project' and select HPwES Project Workflow.' The project list shows 6 projects, sorted by 'Last Update'. One project is highlighted, showing details for 'Peter Pan': 11 Peter Dr, Albany, NY 12205, HPwES Project ID: 837, and email testvkijju788@yahoo.com. A dropdown menu is open next to the '+ Add Project' button, showing 'HPwES Project Workflow' as a selected option.

### Note:

If you do not see your project appear in your project list please contact Contractor Support. Please do not fill out additional HPwES Contract applications.

## Financing Integration

If a project has relevant financing and assisted subsidy information through Energy Finance Solutions (EFS), you will be able to view this information on the right portion of the screen under 'Financing Summary'. By clicking on the 'More information...' link in the Financing Summary section you will see more detailed information.

The screenshot shows the NYSERDA web application interface. The top navigation bar includes 'Dashboard', 'Projects', 'Program Info', and 'Settings'. The user is logged in as 'Jacquelyn'. The main content area displays the 'Complete Workscope Proposal' page for Project ID: 224, assigned on April 29, 2013, with a due date of May 13, 2013. A callout box points to the 'More information...' link in the Financing Summary section.

**See high level view of financial information. Click on 'More information' for further detail.**

Financing Summary:	
Loan app	Accepted
Loan status	Approved
Subsidy application	Accepted
Subsidy status	Approved

The screenshot shows a pop-up window titled 'Complete Financing Information' with a table of details. A callout box points to the 'Contractor 1' field.

1-4 Unit owner's agreement	Unnecessary
ACH form	Accepted
Co-borrower first name	Joe
Co-borrower last name	Namath
Co-borrower middle name	
Constituency-based organization	Make the Road New York
Number of income-qualified units	1
Subsidy CPA date	April 15, 2013, midnight
Subsidy FPA date	None
Utility bill (subsidy)	Accepted
Contractor 1	Murtha
Contractor 2	

**After clicking on the link for 'More Information...' you will see a pop-up window appear with more detailed financial information.**



## Modeling Stage

In this stage, you will indicate the modeling software that is being used and upload the relevant audit modeling file. Upon successful completion of this stage, the project will move to the Workscope Proposal stage. If there are any errors in your .xml file the Portal will indicate issues with an error message in red and the task will return to the Modeling stage. If RHA is the software that is used then the project will pass directly to the Workscope Proposal stage upon successful creation of the RHA contract.

The screenshot shows the 'Complete Modeling' stage of a project. The page includes a sidebar with project details for 'Albany-8 Est-Test8' (Project ID: 1109) and a main content area with a 'Due in 15 days' badge. The main area contains a form with a dropdown menu for 'What modeling software are you using? \*', a 'Browse...' button for uploading an audit package, and buttons for 'Send Now' and 'Save & Send Later'. A 'This task can not be completed' button is also visible. Callouts provide instructions: 'Select your modeling software.' points to the dropdown; 'Upload your audit .xml package. If you are using RHA you will not upload any files.' points to the 'Browse...' button; and 'Click 'Send Now' to move to next stage.' points to the 'Send Now' button.

This close-up shows the 'Complete Modeling' stage with a callout box stating: 'If you can't complete the Complete Modeling stage click 'This task can not be completed' button.' An arrow points from the callout to the 'This task can not be completed' button.

Clicking on the 'This task cannot be completed' button will display the following choices:

- Did not get business
- Could not contact

If either of these two choices is selected, the retrofit project will be marked as closed and the project will be deactivated. Projects can be reactivated by contacting Contractor Support.

## Workscope Proposal

In this stage, the contractor submits a proposed workscope for the project. Upon successful completion of this stage, the project will move to the Eligibility Screening stage. If the contractor uses RHA, the project will move directly to the Eligibility Screening stage after the Workscope Proposal 'Project referral type' question is answered.

The screenshot shows the 'Complete Workscope Proposal' form in the NYSEDA system. The form includes a sidebar with project details, a main form area with various input fields and buttons, and a 'Send Now' button at the bottom. Three green callout boxes provide instructions:

- Project referral type \***: Pick referral type that correlates with your project. The options are:
  - My company is working on this project alone
  - My company is referring work to another NYSEDA contractor
  - My company was referred by another NYSEDA contractor
  - My company is using a subcontractor for this project
- Workscope Contract Package \***: Upload workscope .xml file for the work on your contract. (Example – TREAT contract package). RHA users do not upload any files.
- Workscope Combined Package**: Upload a combined workscope .xml file if you are doing work with another contractor. (Example – TREAT package that has improvements from both companies doing work.) A combined workscope .xml file is not necessary when using a subcontractor. This step is geared toward referral work only.

At the bottom, there is an 'Add a Note (optional)' field and two buttons: 'Send Now' and 'Save & Send Later'. A callout box points to the 'Send Now' button with the instruction: 'Click 'Send Now' to move to the next stage which is Eligibility Screening.'

## Complete Workscope Proposal

Assigned June 21, 2013

Due date: July 5, 2013

Extend Due Date

This task can not be completed

If you can't complete the Workscope Proposal stage click 'This task can not be completed' button.

Clicking on the 'This task cannot be completed' button will display the following choices:

- Making corrections to the existing building model → Rolls project back to Modeling stage
- Did not get business → Deactivates (closes) project
- Could not contact → Deactivates (closes) project

If the 'Making corrections to the existing building model' option is selected, the project will automatically move to the Modeling stage for you to input the changes to the existing building model and upload the corrected file. If either of the other two choices is selected, the project will be marked as closed and the project will be deactivated.

Deactivated projects can be reactivated by contacting Contractor Support. Please provide the name and address of your customer when making reactivation request.

## Eligibility Screening

In this stage, you will use the Eligibility Screening Tool (EST) to verify that the project meets eligibility and cost effectiveness requirements for the program. EST takes the place of manually running your project through the ProForma worksheet. EST also includes an area to claim customer and contractor incentives.

Clicking on the 'Complete Eligibility Screening' button will bring you to the EST. The EST will open in a new window and be completed outside the Portal.

**Complete Eligibility Screening** Due in 4 days

Assigned July 8, 2013 Jump to Timeline ▼

**Due date:** July 11, 2013

[Extend Due Date](#)

[Add Note](#)

[Project Page](#)

Summary:

- Loan app
- Loan status
- Subsidy application
- Subsidy status
- [More Information...](#)

**Add a Note (optional)** [+](#)

**Did you complete this task successfully?**

[Complete Eligibility Screening](#) [This task can not be completed](#)

Click 'Complete Eligibility Screening' to start process of making sure your measures meet eligibility and cost effectiveness for incentives and/or loan.

## Eligibility Screening Tool (EST)

EST has four sections that must be navigated through before coming back to the Portal and advancing to Contract Submission. However you can move backwards within EST by clicking an earlier section (within the EST menu) and then proceed from that screen.

Contractors must review the results shown in EST before submitting for CLEAResult approval. The program will approve what was submitted. For example, if you modeled a measure incorrectly and it shows as not eligible for incentives and financing, it will *not* be approved for incentives or financing.

**Eligibility Screening Tool**

- Questionnaire**
- Eligible Measures
- Cost Effectiveness
- Incentives

## Questionnaire

The Questionnaire is the first section of EST where you answer questions on basic information about the incentive options the customer is choosing as well as other questions. Projects that originated from HPwES Free or Reduced audit applications will have certain information pre-populated. The Questionnaire also asks questions about fuel switching for proposed heating and hot water equipment as well as contractor incentive claiming for the Advanced Modeling Incentive.

Eligibility Screening Tool

Questionnaire | Eligible Measures | Cost Effectiveness | Incentives

### General Information

Which customer incentive option has the homeowner selected?  HEMI  Assisted(AHP) ⓘ

Is the homeowner applying for any other incentives?

What is the total utility rebate amount?

### Financing Information

What loan option will the homeowner use?  ⓘ

Lender name

What is the customer's down payment amount (if any)?

### Customer Utility Information

What is the primary heating fuel of the home?

Does one company provide both the electricity and primary heating fuel?  Yes  No

Electric provider\*

Electric account number\*

Natural Gas provider

Other fuel provider

Gas or other provider account number

### Fuel Switch Data

Is any heating/hot water equipment switching fuel type?  Yes  No

### HPwES Contractor Incentives Information

Advanced modeling incentive  ⓘ

Audit date\*  ⓘ ⓘ

Is the contractor's company working on this project alone? No

Was a subcontractor used on this project? Yes

Name of subcontractor who performed work

Are you referring work to another participating contractor? No

Are you submitting work referred to you by another participating contractor? No

Is all the work being done by your Company? No

Select customer incentive type.

If your customer is receiving utility rebates or EmPower funding select "yes" and then enter the total utility rebate amount. Please check the "incentives claimed" option under the individual improvements on the Eligible Measures screen, so that the incentive and loan amounts are accurately calculated.

Enter 'Customer Contribution' payment only if the customer is financing the project and also paying a portion out-of-pocket to reduce the loan amount. Customer contribution amounts can be found on bottom of Cost Effectiveness Section. See screenshot on page 32.

Claim and verify contractor incentives.

Click 'Continue' button to move to Eligible Measures section.

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## Utility Rebates & AHP/EmPower Coordination

### Eligibility Screening Tool

Questionnaire Eligible Measures Cost Effectiveness Incentives

#### General Information

Which customer incentive option has the homeowner selected?\*

HEMI  Assisted(AHP) ?

Is the homeowner applying for any other incentives?

What is the total utility rebate amount?

#### Financing Information

What loan option will the homeowner use?\*

#### Customer Utility Information

What is the primary heating fuel of the home?\*

Does one company provide both the electricity and primary heating fuel?

Electric provider\*

Electric account number\*

Natural Gas provider

Other fuel provider

Gas or other provider account number

Select which other program from the drop down menu the customer is applying for and enter the incentive amount.

These are the other incentive types that impact HPwES eligibility and must be disclosed to the Program.

**NOTE:** For EmPower, *do not* include the audit fee, customer education, or mileage.

The other incentives will be deducted from the loan amount, along with any HEMI or AHP that was claimed on additional measures in the package.

NOTE: Make sure the sum of the modeled improvement costs for measures covered by EmPower equals the other incentives amount, or the loan amount will be incorrect.

If you require additional assistance on how to submit EmPower/Assisted Coordinated Projects, please reference the separate User Guide: How to Submit EmPower/Assisted Coordinated Projects Utilizing the NY HP Portal Quick Guide.

## Eligible Measures

The Eligible Measures section of EST lists the measures and indicates whether that measure is eligible for an incentive or loan. A green checkmark indicates measure is eligible and red x indicates it is not eligible or if more information needs to be given to determine eligibility. If your improvement needs more information it will be listed in red at the top of the page. You need to click on the drop down arrow to fill in necessary information. The reverify button needs to be clicked after making changes to each improvement. The message section explains why measure is not eligible.

This section can also be used as a 'What If Scenario' to see what changes need to be made to your measure in order for it to pass eligibility and cost effectiveness. After making changes to the measure information you will click on the 'Reverify' button to test your changes and see if they qualify for the incentive or loan. Once all your changes are reverified you can proceed through the next screens and then send your project back on the 'Incentives' section to the correct stage to make changes to your building model file.

### Eligibility Screening Tool

Questionnaire
Eligible Measures
Cost Effectiveness
Incentives

Incentive option: HEMI  
 The finance or loan option selected is: On Bill Recovery Loan

Measure Name	Incentive Eligible	Loan	Message
<div style="border: 1px solid gray; padding: 5px; margin-bottom: 5px;"> <span style="float: right; cursor: pointer;">&gt;</span>                     Improve the following condition uncovered during co/smoke on second fl : Missing CO/Smoke on Second Fl                 </div> <div style="border: 1px solid gray; padding: 5px; margin-bottom: 5px;">                     Measure Type: <span style="border: 1px solid gray; padding: 2px;">Qualified Accessory - Unspecified</span>                      Measure Cost: <span style="border: 1px solid gray; padding: 2px;">\$100.00</span>                      S Savings: <span style="border: 1px solid gray; padding: 2px;">50.00</span> </div>	<span style="color: green; font-size: 24px;">✓</span> <span style="color: red; font-size: 24px;">✗</span>	<span style="color: red; font-size: 24px;">✗</span>	-NYSERDA : No measure qualification definitions found. -LOAN : No measure qualification definitions found.
<div style="border: 1px solid gray; padding: 5px; margin-bottom: 5px;"> <span style="float: right; cursor: pointer;">&gt;</span>                     Improve the following condition uncovered during gas dryer fuel : Does not comply with Code                 </div>	<span style="color: red; font-size: 24px;">✗</span>	<span style="color: green; font-size: 24px;">✓</span>	-NYSERDA : This measure is eligible for loan only.
<div style="border: 1px solid gray; padding: 5px; margin-bottom: 5px;"> <span style="float: right; cursor: pointer;">&gt;</span>                     Upgrade 198 square feet of existing ceiling to Gyp Bd, 2x6 16" OC, 6" Cellulose, R-19                 </div>	<span style="color: green; font-size: 24px;">✓</span>	<span style="color: green; font-size: 24px;">✓</span>	
<div style="border: 1px solid gray; padding: 5px; margin-bottom: 5px;"> <span style="float: right; cursor: pointer;">&gt;</span>                     Upgrade 209 square feet of existing ceiling to 0.38" Plaster/Lath, 2x6 24" OC, 12" Cellulose, R-40                 </div>	<span style="color: green; font-size: 24px;">✓</span>	<span style="color: green; font-size: 24px;">✓</span>	
<div style="border: 1px solid gray; padding: 5px; margin-bottom: 5px;"> <span style="float: right; cursor: pointer;">&gt;</span>                     Upgrade 263 square feet of existing wall to 1.25" Wood, 2x8 16" OC, 2" Polyisocyanurate, R-13                 </div>	<span style="color: red; font-size: 24px;">✗</span>	<span style="color: green; font-size: 24px;">✓</span>	-NYSERDA : Measure failed because TRC is
<div style="border: 1px solid gray; padding: 5px; margin-bottom: 5px;"> <span style="float: right; cursor: pointer;">&gt;</span>                     Upgrade 306 square feet of existing ceiling to 0.38" Plaster/Lath, 2x6 24" OC, 12"                 </div>	<span style="color: green; font-size: 24px;">✓</span>	<span style="color: green; font-size: 24px;">✓</span>	
<div style="border: 1px solid gray; padding: 5px; margin-bottom: 5px;"> <span style="float: right; cursor: pointer;">&gt;</span>                     Upgrade 306 square feet of existing ceiling to 0.38" Plaster/Lath, 2x6 24" OC, 12"                 </div>	<span style="color: red; font-size: 24px;">✗</span>	<span style="color: green; font-size: 24px;">✓</span>	

Reverify
Continue

Upgrade 128 square feet of  
1.5" Wood, 0.5" Wood

After clicking on arrow the measure section opens up and displays editable areas you can make changes to.

-NYSERDA: The r  
because the cost  
foot  
-Measure failed b  
-LOAN: No meas

Measure Type	Rim Joist Insulation
Measure Cost	\$2,195.00
\$ Savings	\$20.24
Heating MMBtu	0.14
Cooling kWh	0.00
Non-Cooling kWh	0.00
Measure Life	30
TRC Calculated Result	0.12
Insulation Post R-Value	15
Insulation Pre R-Value	4
Insulation Type	SPRAYFOAM
Location	Basement Ceiling
Insulation Section	Sill

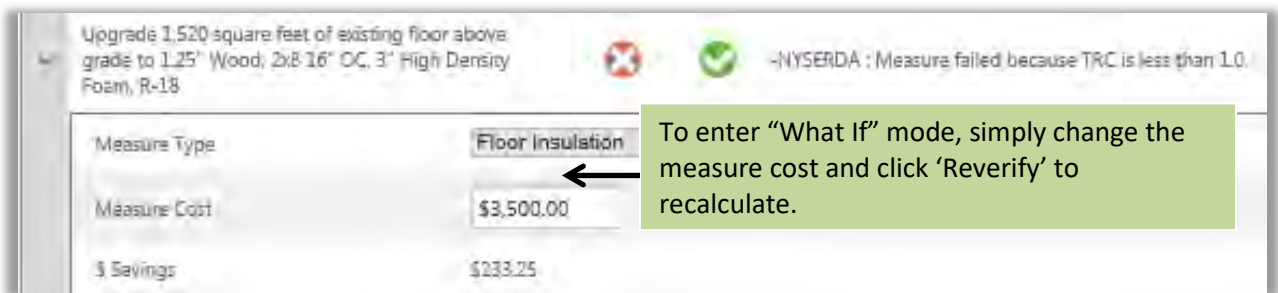
Add requested missing information.

Click 'Continue' to proceed to the Cost Effectiveness section



## What-if Analysis Mode

EST allows the user to check the eligibility of the measures in the project, as well as the project as a whole, in *What-If Analysis* mode.



The screenshot shows a software interface for a measure. At the top, the measure description is "Upgrade 1,520 square feet of existing floor above grade to 1.25" Wood, 2x8 16" OC, 3" High Density Foam, R-18". To the right of the description are two status icons: a red 'X' and a green checkmark. Further right, a status message reads "-NYSERDA : Measure failed because TRC is less than 1.0". Below the description is a table with three rows:

Measure Type	Floor Insulation
Measure Cost	\$3,500.00
Savings	\$233.25

A green callout box with a black arrow pointing to the "Measure Cost" field contains the text: "To enter 'What If' mode, simply change the measure cost and click 'Reverify' to recalculate."

Once the cost of a measure is changed, the header of the Eligible Measures section will indicate:

You have modified measure values. You can continue to modify values and use the Reverify feature to test for eligibility. You cannot submit with a status reason of Completed while in this mode. To clear this mode and load the original values, [click here](#).

As the message indicates, clicking the link will return the measure costs to the original ones found in uploaded contract package. After you clear the 'What if' mode and reload the original value go back to Portal project in Eligibility Screening by clicking back button on your browser. Click on 'This task can not be completed' and select option for 'Adding or removing measures and /or costs in the workscope.' RHA users will need to delete the old RHA contract and create a new one or other software users will need to create a new contract package with price changes. Once contract improvement pricing changes have been made the revised package will get uploaded and project will advance through EST once again.

**Important Note:** The user should not submit the EST with a "Reason" of "Complete" in the fourth section of EST, "Incentives," without first reverting the measure costs back to their original values. Before the project can go through EST again it will need to be reset to clear out the old information. Please contact Contractor Support to request that EST be reset for you project. Please include customer's name, address and Portal or HUB Project ID.

## Cost Effectiveness

The 'cost effectiveness' section is similar to the 'loan calculator' portion of the ProForma worksheet. Some sections are pre-populated based on previous selections that were made earlier in the portal. The customer's contribution can be changed in this section within 'project information' to help the project pass the loan cost effectiveness.

The screenshot displays the 'Cost Effectiveness' section of a ProForma worksheet, divided into four sub-sections: Project Information, Financing Information, On-Bill Recovery Loan Information, and Smart Energy Loan Information. The 'Project Information' section includes fields for 'Is the \$350 loan processing fee being financed?' (Yes), 'Total cost of project' (\$3,886.00), 'Total AHP amount' (\$1,943.00), 'Total Allowable Health & Safety Measure Costs' (\$0.00), 'Total amount of other utility incentives' (\$0.00), 'Customer Contribution' (input field), 'First year energy savings amount' (\$36.58), and 'Average measure life of the project (in years)' (20.00). The 'Financing Information' section shows 'Loan amount' and 'Dollar Savings'. The 'On-Bill Recovery Loan Information' section includes 'Loan Payment Amount', 'Net', 'Project Lifetime Energy Savings', and 'On-Bill Recovery Loan interest rate' (3.49%). The 'Smart Energy Loan Information' section includes 'Loan Payment Amount', 'Net', 'Project Lifetime Energy Savings', 'Smart Energy Loan interest rate' (3.49%), 'Length of loan term (in years)' (15), and 'Savings period' (Monthly). Three callout boxes provide instructions: 1) 'Enter 'Customer Contribution' payment only if the customer is financing the project and also paying a portion out-of-pocket to reduce the loan amount. Customer contribution amounts can be found on bottom of Cost Effectiveness Section.' 2) 'Warning messages will be displayed here if the loan does not meet the program requirements.' 3) 'The Smart Energy Loan interest rate can be changed to either the 3.49% rate or the 3.99% rate using the drop-down.' and 'The default "Length of loan term (in years)" is 15 years.'

Continuation of Cost Effectiveness screen shot shown below.

If Customer contribution is added and other options are changed click on 'Recalculate' to see how changes affected grid.

Recalculate ←

	On Bill Recover Loan at 3.49% APR			Smart Energy Loan at 3.49% APR			Smart Energy Loan at 3.99% APR		
	5 Year	10 Year	15 Year	5 Year	10 Year	15 Year	5 Year	10 Year	15 Year
Does loan meet cost effectiveness?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

Loan type and year term(s) that meets eligibility criteria.

	On Bill Recover Loan at 3.49% APR			Smart Energy Loan at 3.49% APR			Smart Energy Loan at 3.99% APR		
	5 Year	10 Year	15 Year	5 Year	10 Year	15 Year	5 Year	10 Year	15 Year
SIR	19.26	17.72	16.34	22.20	20.43	18.84	21.93	19.95	18.21
Required Customer Contribution	Required Customer Contribution section for SIR								
-or-									
Required FY Savings									
Cash Flow Eligibility	YES	YES	YES	YES	YES	YES	YES	YES	YES
Loans > \$13,000 Payback Must be <=15 Years	Row shows the Cash Flow eligibility for loans over \$13,000 and payback of 15 years or less and OBR rule. Eligibility requirements for cash flow also listed in OBR, Required Customer Contribution or Required FY Savings.								
OBR- 1/12th Rule Smart Energy- loan term <= average measure life									
Required Customer Contribution	N/A			N/A			N/A		
-or-									
Required FY Savings	N/A			N/A			N/A		

Required FY Savings section for SIR criteria

Continue

If EST determines that the project is eligible for a certain loan type it will show as 'YES' in the row of where the question 'Does loan meet cost effectiveness?' shows underneath the specified loan type and year of loan term. If certain criteria need to be met in order to use a particular loan type and year term it will show below in the grid in the rows for 'Required Customer Contribution' or 'Required FY Savings' for both criteria; SIR and Cash Flow.

If loan fails cost effectiveness, the options are:

- Choose a different loan term that does pass.
- Increase the project savings by adding some low cost measures to the workscope, like CFLs.
- Reduce or remove any high cost, low savings measures from the workscope, like windows.
- Ask the customer to pay the required out-of-pocket costs.
- OBR customers can switch to the Smart Energy Loan, which is less restrictive. Must change loan type selected in Questionnaire

## Incentives

The Incentives section shows the customer incentives amounts, project cost and other associated measure costs under Measure Costs/Other Incentives. The sections for Customer Utility Information and HPwES Contractor Incentives will be pre-populated based on previous selections you made. Corrections to incentives can still be made by jumping backwards to Questionnaire and when changes have been made you proceed through rest of EST screens until you get back to Incentives.

Eligibility Screening Tool

Questionnaire    Eligible Measures    Cost Effectiveness    **Incentives**

### Measure Costs/Other Incentives

Eligible measure incentive total: \$8,565.00 ⓘ

Contractor measure total cost: \$12,065.00 ⓘ

Measure costs receiving other utility incentives: \$0.00 ⓘ

What other incentives has the homeowner received?:

Other incentives total: \$0.00 ⓘ

Total customer contribution amount: \$0.00 ⓘ

	HPwES Home Owner Incentive Amounts	Lender	Claimed Incentive To Date	Program Caps
High Efficiency Measure(HEMI)	\$829.00		\$0.00	\$3,000.00
Smart Energy Loan	\$8,440.00	Energy Finance Solutions	\$0.00	\$20,000.00

Does the homeowner have any other approved work in-process: \$0.00 ⓘ

Other approved program work completed: \$0.00 ⓘ

### Customer Utility Information

The electric and heating provider are the same: Yes

Electric provider: National Grid Upstate

Electric account number: 11111111

Natural Gas provider: National Grid Upstate

Other fuel provider:

Heating fuel provider account number: 8523185

### HPwES Contractor Incentives

Advanced modeling incentive checked: Yes

Audit date: 6/23/2013

The contractor's company is working on this project alone: No

A subcontractor was used on this project: No

Subcontractor Name:

You referred work to another participating contractor?: No

Name of the participating contractor to whom you referred the work:

You submitted work referred to you by another participating contractor?: No

All the work is being done by your Company?: No

Name of the contractor who referred the work to you:

Reason:

Submit

Checks for previous incentives paid for the same site/customer. Customers can put multiple projects through the Program up to the lifetime caps.

Note:  
Choices in the list of reasons direct the project to the relevant stage:

- Submit → Completes EST and advances project to Contract Submission stage.
- Review final EST results before submitting workscope to ensure they are correct.
- Changes made after this point will require EST reset.
- Contractors can download the Home Performance Eligibility Summary Report from the Project Timeline after CLEAResult approval.
- The Home Performance Eligibility Summary Report will also be sent to EFS for Loan and AHP projects via the Portal after CLEAResult approval.

After successfully completing EST, the project will advance to the Contract Submission stage.

## Contract Submission

In this stage, you will answer several questions related to State Historic Preservation Office (SHPO) requirements, submit contract documents, and upload other relevant project documents. Upon successfully completing this stage, the project will advance to the Contract Submission Review stage. Upon passing the Contract Submission Review stage and passing the Financing Approval stage (if applicable), the project advances to the Final Project Submission stage.

Project will still advance to Contract Submission stage, but signed contract and CIF are no longer required documents to be uploaded at this stage. Contractors may attach any applicable supporting documents, such as the AHRI certificate.

**Complete Contract Submission** Due in 8 days

Assigned Oct. 6, 2014 [Jump to Timeline](#)

Due date: Oct. 13, 2014

[Extend Due Date](#) [This task can not be completed](#)

[Add Note](#)

[View Project Page](#)

Financing Summary:

Loan application

\* Required fields

Is the home more than 50 years old? \*

- Yes
- No

Year home built \*

Will original windows, replacement windows years ago, or doors be replaced as part of the

- Yes
- No

Is the home visible from a Right of Way? \*

- Yes
- No

Signed workscope contract:  [Browse...](#)

Contract customer information form:  [Browse...](#)

Appliance receipts:  [Browse...](#)

Fuel bills (if not submitted with audit):  [Browse...](#)

[More information...](#)

**Note: Document upload**

Each section can only have 1 file uploaded. If you upload additional files it will wipe out your previous copy. The maximum file size for a document upload is 10 MB.

Option to attach documents is available.

There will be another opportunity to attach the optional documents at completion.

**Signed contract and CIF are not required documents at this stage. No paperwork required for workscope approval unless the project is receiving a Renewable Heat NY Rebate.**

The documents that get uploaded for each section must be a single file. For example a signed contract could be 5 pages long but it will only be in one file that gets uploaded under the 'Signed workscope contract' section. There are many PDF programs available that allow you to scan documents and merge multiple pages together as one file.

**Lighting schedule**

**Technical review (Solar and Geothermal)**

**Cool homes rebate application**

**Storm relief declaration form**

**Project photos**

**Storm relief declaration form**

**Project photos**

**Other submission documents**

By selecting "Send Now" I agree to be bound by the terms of the 2012-2013 Home Performance with ENERGY STAR Contractor Partnership Agreement. I also acknowledge that I have been provided with a copy of the 2012-2013 Contractor Resource Manual, have read and understand its contents, agree to adhere to the procedures and requirements, and understand that submitting any false or manipulated data will result in disciplinary action, including but not limited to, permanent termination from the program.

Additional documents can be uploaded in the Contract Submission stage.

Click 'Send Now' to submit your workscope to CLEARresult.

**Complete Contract Submission**

Assigned June 18, 2013

Due date: June 25, 2013

If you can't complete the Contract Submission stage click 'This task can not be completed' button.

This stage has several options for incompletion and each option rolls back the project to the necessary stage for corrections:

- Adding or removing measures and/or costs in the workscope → Workslope Proposal stage
- Only changing customer incentive type(s) or loan amount → Eligibility Screening stage
- Making corrections to the existing building model → Modeling stage
- Referral work is being added to this project → Workslope Proposal stage
- Did not get business → Closed (project is terminated)
- Could not contact → Closed (project is terminated)

# NY HPwES Project Incentives and Financing Eligibility Summary Report/Home Performance Eligibility Summary Report

Upon successfully completing the Contract Submission stage, CLEAResult will receive a copy of the NY HPwES Project Incentives and Financing Eligibility Summary Report also known as the Home Performance Eligibility Summary Report. CLEAResult will be approving projects based on this report which is generated after submission of the EST results. Contractors will see this new report as the approval transmittal.

Home Performance Eligibility Summary Report generated by Portal replaces:

- ProForma worksheet
- CLEAResult Approval Transmittal
- Certificate of Completion (COC); both Statement of Work and Signature Page



**NYSERDA**



## NY Home Performance with ENERGY STAR Project Incentives and Financing Eligibility Summary Report

Participating in NY Home Performance with ENERGY STAR (HPwES) is an important step to reducing your energy costs and creating a healthier more comfortable home. This report provides a summary of your approved project, including the incentives you are eligible to receive and your selected financing package. Before signing, please review this entire report, including the terms and conditions.

### Section 1. Customer and Contractor Information

Customer Name: Joe Customer  
 Customer Building Address: 555 Address Ln  
 Somewhere NY 12345  
 Customer Mailing Address: 555 Address Ln  
 Somewhere NY 12345  
 Home Performance Contractor Name: ABC Contracting Inc.

### Section 2. Project Information and Scope of Work

HPwES Project Approval Valid Until: 10/4/2015 Existing Primary Heating Fuel Type: Natural Gas  
 Amount of Work Eligible for Incentives: \$18,375.00 Fuel Switch: (Yes/No): No

List of Energy Efficiency Improvements	Eligible for HPwES Incentives	Loan Eligible (if applicable)
Wall Insulation	No	Yes
Attic Insulation	Yes	Yes
Rim Joist Insulation	Yes	Yes
Air Sealing	Yes	Yes
Boiler	Yes	Yes
Windows	No	Yes
Indirect Water Heater	Yes	Yes
Health and Safety - Unspecified	No	Yes
Health and Safety - Unspecified	No	Yes

## Home Performance Eligibility Summary Report

The first four pages are customer-facing and must be presented to the homeowner prior to work commencing. A sample of the report can be found [here](http://hpwescontractorsupport.com/program-documents-2/2014-2015-contractor-resource-manual/section-8-operational-forms/). (<http://hpwescontractorsupport.com/program-documents-2/2014-2015-contractor-resource-manual/section-8-operational-forms/>)

Customer Facing Report:

### **Section 1. Customer and Contractor Information**

- Customer information. If the mailing address is different than the building address, please type the mailing address in the report to upload at project completion submittal. Mailing address is not captured in the Portal for customers who start with a contract project.

### **Section 2. Project Information and Scope of Work**

- Project details
- Workscope
- Measure eligibility
- Approval expiration date

### **Section 3. Customer Incentives**

- Details on customer incentives
- Customer payment assignment
  - Note: HEMI payment now defaults to Contractor unless customer indicates by initialing form.

### **Section 4. Financing Information (If Applicable)**

- Loan type
- Loan details
  - Loan term defaults in EST to 15 years. Please change loan term if customer would like a shorter term.

### **Section 5. Certificate of Completion- Read and Sign after Work is Completed**

- Section 5 is the Certificate of Completion, to be signed after all work has been installed.
- This document will be submitted at completion, along with a signed copy of the previous 3 pages (customer facing pages) and your signed contract with the homeowner

Administrative Facing Report Sections:

The last 3 pages are for Administrative Review. CLEAResult program staff spot checks this data for any red flags (such as unusually high or low savings). Contractors have the choice to share this section with their customers.



## Home Performance Eligibility Summary Report Exceptions

Most projects will show correct results in EST when all information is entered correctly by the user.

A few rare exceptions may require CLEAResult to edit the incentives on the Home Performance Eligibility Summary Report prior to approval.

- AHP multi-family, EST currently defaults all AHP projects to 50% up to \$5,000.
- Complex homes with more than one fuel switch of different types for multiple heating / hot water systems.

For these situations, submit the EST results “as is” and add a note to the Portal project.

A few project types cannot be submitted through the Portal / EST at this time. They will still require the old program forms to be faxed in and follow the full approval review process.

- Combined Solar PV & HPwES
- Phased Loans
- PSEGLI HPD / REAP follow-on work

These old process documents can be located [here](http://hpwescontractorsupport.com/program-documents-2/sample/old-process-documents/). (<http://hpwescontractorsupport.com/program-documents-2/sample/old-process-documents/>)

## Home Performance Eligibility Summary Report Review

CLEAResult will review the Home Performance Eligibility Summary Report for Program compliance.

- Verify BPI Certification, EFS pre-approval, review the savings and cost effectiveness results on the report.
- If no red flags are found, project will be approved.
- Issues caught during the expedited review process will trigger a full model review, which may result in the project being placed on hold and sent back to the contractor for revisions.

While a 1 day turnaround is anticipated once all contractors are using the new process, it may take some time for all contractors to get up to speed. Contractor Support will be available to answer questions anytime during the process.

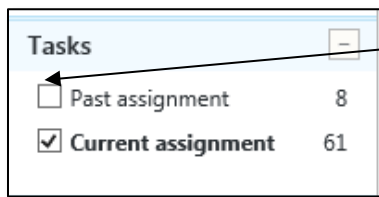
The Home Performance Eligibility Summary Report will be made available in the Project Timeline as the Approval transmittal form. If the customer created a Portal login, they will be able to view this document online.

The Portal also sends a notification email to the address in your partner profile when the project is approved.

The screenshot displays a 'Project Timeline' interface. At the top, there are options for 'Show archived tasks' and '+ Expand All'. The main task listed is 'Aug 20' with a green checkmark, titled 'Contract Review and Approval – Completed in less than a day'. Below the title, it says 'Review result: Passed' and 'Refers to: Contract Submission - Completed - Conservation Services Group'. A 'Completion Data' section is visible, containing a 'Download File' button with a PDF icon, which is highlighted with an orange box and an arrow pointing to a green callout box. The callout box contains the text: 'Click here to download the Home Performance Eligibility Summary Report'. To the right of the task, there is a sidebar with 'Csg Pm' and 'Last modified: 49 days ago by Automated Workflow'. Below that, it shows 'Assigned on: Aug, 20, 2014' and 'Closed on: Aug, 20, 2014'. At the bottom of the task list, there are three entries for 'Contract Review and Approval' with timestamps: '08/20/2014 4:50 p.m.', '08/20/2014 4:49 p.m.', and '08/20/2014 4:49 p.m.', with the last one assigned 'by System'.

## Contract Submission Review

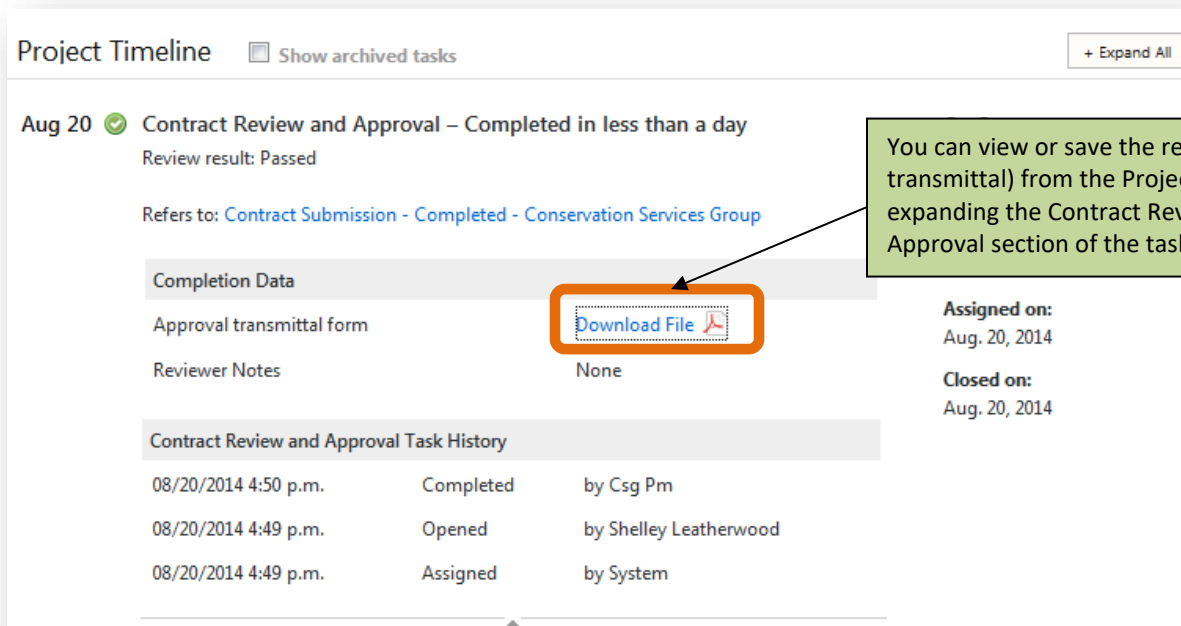
Once you complete the Contract Submission stage, the next task is assigned to CLEAResult for Contract Review and Approval. You can see projects with tasks currently assigned to CLEAResult or EFS by selecting 'Past assignment' on your active project view filtering options.



Task	Count
<input type="checkbox"/> Past assignment	8
<input checked="" type="checkbox"/> Current assignment	61

Click on 'Past assignment' to include projects not currently assigned to your company in the filtered project view.

When the approval is issued by CLEAResult, you will receive a notification from the Portal. The Home Performance Eligibility Summary Report (Approval Transmittal) will be available in the Project Timeline. If the customer created a login, they will also be able to view this document.




**Project Timeline**  Show archived tasks + Expand All

**Aug 20** ✔ **Contract Review and Approval – Completed in less than a day**  
Review result: Passed

Refers to: [Contract Submission - Completed - Conservation Services Group](#)

**Completion Data**

Approval transmittal form	<a href="#">Download File</a> 
Reviewer Notes	None

**Assigned on:**  
Aug. 20, 2014

**Closed on:**  
Aug. 20, 2014

**Contract Review and Approval Task History**

08/20/2014 4:50 p.m.	Completed	by Csg Pm
08/20/2014 4:49 p.m.	Opened	by Shelley Leatherwood
08/20/2014 4:49 p.m.	Assigned	by System

You can view or save the report (approval transmittal) from the Project Timeline by expanding the Contract Review and Approval section of the task history.

## Correcting a Failed Review Stage

In the event that any of the stages completed by you fail a subsequent review stage, you will receive an email notification of what needs to be corrected and the project will automatically be moved to the stage that needs correction. The notification will be sent to the email address established in the 'Settings' section under 'Task Options'. Your project can also fail the Modeling or Workscope Review stage if an error is found in your file. There will be an error message on the page under the upload section explaining what the error is. The file will need to be fixed and uploaded again.

In the screenshot below, the project was returned to the Modeling stage from the Modeling Review stage because a mistake in the participant's name was picked up by the Portal during error checking. After correcting the file it must be uploaded again and then the project can continue through the workflow.

The screenshot displays the NYSEDA project management interface. The top navigation bar includes the NYSEDA logo, a home icon, and menu options for Dashboard, Projects, Program Info, and Settings. The user's name 'Nora' and a 'Log out' button are visible in the top right corner. The main content area is titled 'Complete Modeling' and shows project details for 'Albany-7 Est-Test7' (Project ID: 1110). The project is assigned to 'June 21, 2013' with a due date of 'July 5, 2013'. A message states 'This task can not be completed'. The 'What modeling software are you using?' field is set to 'TREAT'. Below this, there is a section for 'Home Performance Comprehensive Recommendations File' with a 'Browse...' button. A red error message indicates: 'Participant Name Albany-7 Est-Test-7 from XML does not match Albany-7 Est-Test7 from the participant'. Two callout boxes provide instructions: one points to the error message stating 'Please correct the errors below' and 'Previous selections and uploads to this stage are saved. You just need to fix the areas that are highlighted.'; the other points to the 'Browse...' button stating 'You can upload a corrected .xml file.'

## Change Orders

At any point after your project has been successfully reviewed you can submit a change order. This will generally occur when your project is in the final project submission stage. Click on the button 'This Task can not be completed' and selection option for 'Adding or removing measures and/or costs in the workscope'. The change order file will get uploaded in the same section as the contract package. If you are doing referral work then the combined package will need to be updated as well. RHA users will need to delete the original RHA contract and create a new one. The project will then advance through Eligibility screening. Before the project can go through EST it will need to be reset to clear out the old information.

*Please contact Contractor Support to request that EST be reset for you project. Please include customer's name, address and portal or HUB project ID.*

The screenshot shows a task titled "Complete Final Project Submission" with a due date of August 20, 2013. Two buttons are visible: "Extend Due Date" and "This task can not be completed". A callout box points to the "This task can not be completed" button, stating: "To submit change order click 'This task can not be completed' button." Another callout box explains: "The option selected will send the project back to the corresponding stage in the workflow. **All change orders must re-complete the EST and Contract Submission stages again.** CLEAResult will approve and send the revised Home Performance Eligibility Summary Report to EFS and the contractor."

Select:

- Adding or removing measures and/or costs in the workscope → Workslope Proposal stage

## Financing Approval

Any project that is linked to an EFS loan number (either from an AHP or Loan application) will automatically enter this stage before proceeding to Final Project Submission. The job submission and approval documents are communicated to EFS via the Portal. EFS must then complete this task, which includes generating any loan documents, before the project will move to the next stage. You can see projects with tasks currently assigned to CLEAResult or EFS by selecting 'Past assignment' on your active project view filtering options.

## Final Project Submission

In this stage, the contractor completes the project work and submits completion data from the project to the program. Assuming the contractor successfully completes this stage, this is the last stage in the NYSERDA workflow that is the responsibility of the contractor.

**NEW YORK STATE OF OPPORTUNITY | NYSERDA**

Dashboard | **Projects** | ProgramInfo | Settings

HPwES Contract

Matthew Day  
Project ID: 1895

Next Action

Full Details

**Premise** View Details -  
48 Northern Tpke  
Johnsonville, NY 12094

**Participant** View Details -  
Matthew Day  
shelley.estr@csg.com  
518-000-0000

**Program Info**  
Stage: Final Project Submission  
Updated: 49 days ago

### Complete Final Project Submission

Assigned Aug. 20, 2014

Due date: Oct. 22, 2014

Extend Due Date | This task can not be completed

\* Required fields

Completion signature page/Signed project incentives and financing eligibility summary report \*

Browse...

Signed contract \*

Browse...

Post installation health & safety test results \*

Browse...

Completion package

Browse...

Please submit your modeling software completion package

Subcontractor work order

Browse...

Applicance receipts

Browse...

Upload your required completion documents.

Data required at completion:

- Signed and initialed Home Performance Eligibility Summary Report
- Signed contract with the homeowner (on company letterhead and compliant with NYS contract law)
- Post Installation Health & Safety Test Results
- Completion package from modeling tool with test-out results entered
- Signed Customer Information Form

Upload your .xml completion package. If you are using RHA you do not need to upload a package.

**Note:**

If there is an issue with your completion package after error checking has occurred you will be sent back to Final Project Submission. You will need to correct your file and upload again.

(Example: The completion package doesn't match the pricing or measures of the last approved package...)

You still have an opportunity to upload any other necessary documents at this time.

### Complete Final Project Submission

Assigned June 18, 2013

Due date: Aug. 20, 2013

Extend Due Date | This task can not be completed

Click 'Send Now' to send your project off for final review.

If you can't complete the Complete Final Project Submission stage click 'This task can not be completed' button.

This stage has several options for incompleteness and each option rolls back the project to the relevant stage for correction:

- Only changing customer incentive type(s) or loan amount → Eligibility Screening stage
- Adding or removing measures and/or costs in the workscope → Workscope Proposal stage
- Referral work is being added to this project → Workscope Proposal stage
- Making corrections to the existing building model → Modeling stage
- Updating workscope documents on file. Project costs and measures remain the same → Contract Submission stage
- Could not contact → Closed (project is terminated)
- Did not get business → Closed (project is terminated)

## Final Project Review

Once you complete the Final Project Submission stage, the next task is assigned to CLEAResult for Final Project Review. You can see projects with tasks currently assigned to CLEAResult or EFS by selecting 'Past assignment' on your active project view filtering options. When the completion is processed by CLEAResult, you will receive a notification from the Portal. The completion transmittal will be available in the Project Timeline. If the customer created a login, they will also be able to view this document.

The screenshot displays the 'Final Project Review' section. It includes a 'Completion Data' header, a 'Completion transmittal form' with a 'Download File' link and a PDF icon, and a 'Reviewer Notes' section. Below this is the 'Final Project Review Task History' table.

Final Project Review Task History		
03/25/2014 10:44 a.m.	Completed	by CSG PM
03/25/2014 10:44 a.m.	Opened	by CSG PM
03/20/2014 4:43 p.m.	Assigned	by System

A callout box on the right states: "You can view or save the completion transmittal from the Project Timeline by expanding the Final Project Review section of the task history." An arrow points from this box to the 'Download File' link.

## Financing Disbursement

Any project that is linked to an EFS loan number (either from an AHP or Loan application) will automatically enter this stage before proceeding to Closed - Complete. The completion submission and completion transmittal documents are communicated to EFS via the Portal. EFS must then complete this task, which includes authorizing payment to the contractor, before the project will be marked as complete in the Portal. You can see projects with tasks currently assigned to CLEAResult or EFS by selecting 'Past assignment' on your active project view filtering options.

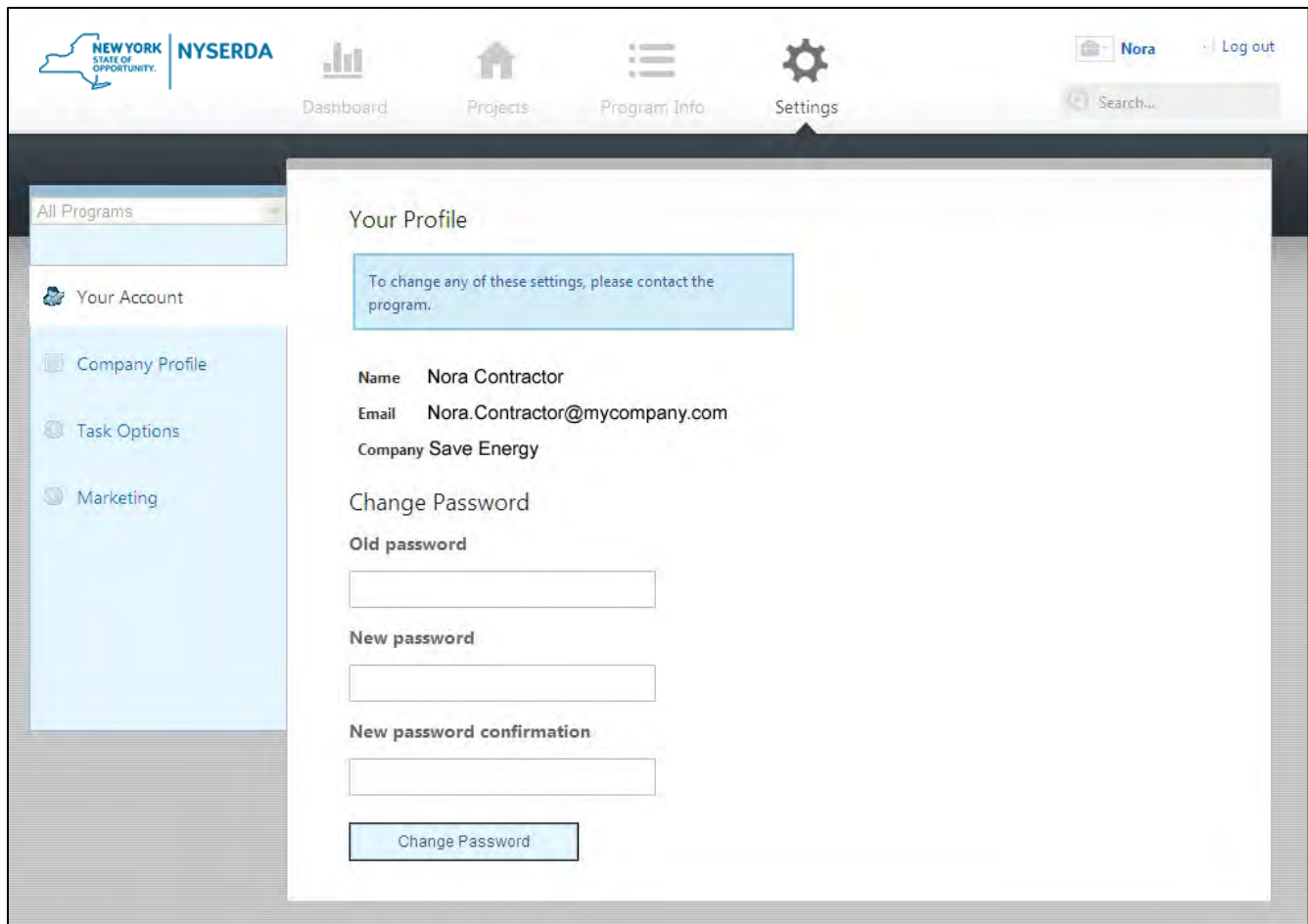
# Settings

## Your Account/Your Profile

Once logged in, click on the Settings tab found on the upper right hand side of the Portal.

Within the Settings page, you can take the following actions:

- Change your password (Your Account tab)
- Set the languages your company supports (Company Profile tab)
- Set the email and phone number for notification of new tasks (Task Options tab)
- Create marketing campaigns (Marketing tab)



## Company Profile

On the company profile section you have the option to change the languages that potential customers can see. The other information must be changed by NYSERDA HPwES staff. Contractors can request updates to their customer facing profile information by contacting Contractor Support.

**NEW YORK STATE OF OPPORTUNITY | NYSERDA**

Dashboard Projects Program Info **Settings** Nora Logout

Search...

**All Programs**

- Your Account
- Company Profile**
- Task Options
- Marketing
- API Access

### Your Company

These settings are visible to participants looking at your company profile. If you would like to change any of them, please contact the program.

<b>Tagline</b>	CSG
<b>Description</b>	CSG
<b>Address</b>	50 Washington Street Suite 3000 Westborough, MA 01581
<b>Customer-facing phone number</b>	508-555-2184
<b>Website</b>	<a href="http://www.powerwaynecorp.com/">http://www.powerwaynecorp.com/</a>
<b>Credentials</b>	GIGNY Audit Qualified
<b>Year established</b>	N/A
<b>Year joined program</b>	N/A

**Languages**

- Chinese
- French Creole
- German
- Greek
- Italian
- Russian
- Spanish
- Tamil

**Current Logo:**

**Save Changes**



## Task Options

The task options control which phone number or email gets tasks notifications. Only one email address can be used for task notifications. It is suggested that a group email account be set up for these purposes. This is based on the counties in which the contractor has a signed participation agreement. Contractors can request changes to add or remove individual user accounts by contacting Contractor Support.

**NEW YORK STATE OF OPPORTUNITY | NYSDA**

Dashboard Projects Program Info **Settings** Search...

All Programs

- Your Account
- Company Profile
- Task Options**
- Marketing

### Task Options

These settings control when and how we notify you about new tasks. If you have any questions, or would like to change your service area, please contact the program.

**Service Area Zip** Serving a 1000 mile radius around 12201

**Email for new tasks**  
notifications@mycompany.com

**Phone number for new tasks**  
555-555-5615

Save Changes

Service Area Coverage

## Marketing

Use the Marketing section to generate and track your marketing efforts via campaign codes. Contractors can create individual campaigns and track the number of leads generated from those initiatives. Campaigns might include a mailer, home show event, radio or print advertisement, etc. These are self-created so you can generate a campaign for anything you'd like to track. You can also choose start and end dates. Creating a campaign can generate a unique application URL and your company name will auto populate in the audit application. You can post a general application campaign URL to your own website. Therefore any customers filling out the audit application from your website will be tagged with your company name.

To generate the URL of the online audit application based on your unique company campaign code and marketing campaigns:

Create the URL: <https://nyserdera.energysavvy.com/start-your-project/hpwes/?src=PutYourReferralCodeHere>

*Example:*

Master Campaign Code: DDF86B

Marketing Campaign Code: DDF86B\_HOMESHOW

[https://nyserdera.energysavvy.com/start-your-project/hpwes/?src = DDF86B\\_HOMESHOW](https://nyserdera.energysavvy.com/start-your-project/hpwes/?src = DDF86B_HOMESHOW)

To enter an application with a Marketing Campaign Code, use the generated URL link. Fill out the application per the usual process and attach the paper copy of the audit application.

**Please note:** You must log out of Portal before you enter the application or the URL may revert to the contractor- generated Portal account and will not properly log the campaign code.

**Please note:** You must either click the hyperlink URL or type the URL into a web browser. If you copy and paste the URL from a document, the campaign code gets corrupted and will not tag properly in Portal.

The screenshot shows the NYSERDA Marketing Campaigns management interface. The top navigation bar includes 'Dashboard', 'Projects', 'Program Info', and 'Settings'. The user 'Nora' is logged in. The left sidebar shows 'Marketing' as the active section. The main content area displays 'Your referral code: DDF86B'. Below this is a table for 'Campaigns' with columns for 'Name', 'Code', and 'Priority Ordering'. A '+ Add a new Campaign' button is located to the right of the table. Three callout boxes provide instructions: one pointing to the referral code, one pointing to the table, and one pointing to the add button.

Master campaign code. Use this prefix for all campaigns.

Your referral code: DDF86B

Campaigns

Name	Code	Priority Ordering
------	------	-------------------

Click here to add a campaign

The screenshot shows the 'Add Campaign' form with the following fields and callouts:

- General**
  - Name:** Home Show. Callout: Create a name and description for a new campaign. You can have multiple campaigns running at the same time.
  - Description:** Customers that signed up for an audit at the June Home Show. Callout: All campaign codes must start with your referral code.
  - Tracking code:** DDF86B\_HOMESHOW. Callout: This code cannot be changed once the campaign is created, and it must start with DDF86B.
- Reporting**
  - Channel:** [Dropdown menu]. Callout: Select appropriate marketing channel.
- Advanced**
  - Start date:** 2013-06-01. Callout: Select date range.
  - End date:** 2013-06-30. Callout: Select date range.

At the bottom of the form is a 'Save Changes' button.

## Program Information

The program publishes information that is useful for partners. The newest posts are highlighted on the Dashboard when you log in, but you can always visit the Program Info section to learn more. You can read an entire post by clicking on the post title or on the 'Read more...' link.

The screenshot shows the NYSEDA Contractor Portal interface. At the top left is the NYSEDA logo with the text "NEW YORK STATE OF OPPORTUNITY" and "NYSEDA". The navigation menu includes "Dashboard", "Projects", "Program Info", and "Settings". The user "Nora" is logged in, with a "Log out" link. A search bar is located on the right. A callout box points to the "Program Info" menu item, stating: "You can view posts by category." The left sidebar contains a "Categories" section with links for "All Programs", "Blogs", and "All Posts". The main content area is titled "Posts" and lists two entries: "Portal Training" (dated May 20, 2013) and "Welcome!" (dated Feb. 18, 2013). Each entry includes a brief introduction and a "Read more »" link. A callout box points to the "Portal Training" entry, stating: "The message has a brief introduction to each post. Click on the headline or the 'Read more' link to read entire post."

## Glossary

<b>Affiliation</b>	A project may have an association with a Constituency Based Organization who is helping the customer with their energy efficiency work.
<b>CPA</b>	Subsidy CPA (Conditional Preapproval) means that the customer has been income-qualified for the subsidy, but there are additional documents required, in addition to project approval by CLEAResult.
<b>CSG / CR</b>	CLEAResult (CR) formerly Conservation Services Group (CSG)
<b>Eligibility Screening</b>	The process by which an improvement is deemed eligible for the HPwES program.
<b>FPA</b>	Subsidy FPA (Final Preapproval) means that the customer has been income-qualified for AHP and the only item needed to move forward is project approval by CLEAResult.
<b>HPwES</b>	Home Performance with ENERGY STAR®
<b>HPwES Audit</b>	A project type where the reservation number is claimed, audit report is uploaded, and audit incentive is claimed.
<b>HPwES Contract</b>	A project type that goes through various stages/tasks to bring it to a point for job review and ending with completion review. This stage tracks work that the contractor has submitted to the Program for approval until final financing disbursement.
<b>Participant</b>	The name and contact information of the Customer who is having the energy efficiency work done.
<b>Partner</b>	A Company that participates in the Home Performance with ENERGY STAR® Program.
<b>Portal</b>	The HP Portal is a web based Program workflow management tool that keeps track of projects for audits and retrofit work.
<b>Premise</b>	The physical address of the home where the energy efficiency work is being done (building address).
<b>Program</b>	Home Performance with ENERGY STAR®
<b>Program Manager</b>	CLEAResult manages the New York State Home Performance with ENERGY STAR® Program and oversees the Portal projects.
<b>Project</b>	A project can be of an HPwES Audit or an HPwES Contract program type.
<b>SLA</b>	A Service Level Agreement sets the maximum amount of time allotted to complete a certain task.
<b>Task</b>	Segment of work that needs to be done to move project to next stage

## Project Work Flow in Detail

### 1) HPwES Audit

- a) Audit application processing (HPwES Audit Call Center Task)
  - i) This is the first status for audit applications. This stage indicates that an audit application has been submitted through the Portal, either by customer, contractor, CBO, or Call Center Representative (CSR).
  - ii) Paper, faxed, or e-mailed paper applications take twice as long to process since they require manual data entry into the Portal by CSRs before completing normal processing steps.
  - iii) Applications in this stage have not yet been reviewed by CSRs
  - iv) Applications in this stage are not visible to contractors or CBOS.
- b) Audit application approval (HPwES Audit Call Center Task)
  - i) Applications are in this stage in Portal if they have been reviewed by a CSR but have been put on hold pending more information from the customer/contractor/CBO.
  - ii) On-hold reasons are currently first communicated to the customer via a telephone call. Subsequent follow-up is completed via e-mail, if a customer e-mail address is included on the application. Contractors and CBOs will be included on the e-mail communication to customers if they are listed on the audit application.
- c) Awaiting Contractor selection (Contractor Task)
  - i) Applications are in this stage in Portal if the application has been approved for a free/reduced cost audit
  - ii) An approval letter is issued by e-mail or paper mail to customer and contractor. This letter includes:
    - (1) Customer's unique reservation number
    - (2) Incentive amount (whether or not the audit is free or reduced-cost)
    - (3) Reservation number expiration date (90 days after the approval date)
  - iii) Contractor searches in Portal by reservation number and last name to claim the reservation
- d) Audit claim (Contractor Task)
  - i) Applications in this task have had the reservation number claimed by a contractor
  - ii) In order to claim the audit incentive, a contractor must:
    - (1) Affirm the audit report has been provided to homeowner
    - (2) Upload a PDF version of the audit report
    - (3) Upload utility usage documents
- e) Closed-Complete Inactive (no assignment)
  - i) Audit projects in this status in Portal have had the reservation number and audit incentive claimed. This closes the audit project. No further action is required for the audit portion of the Program.

### 2) HPwES Contract

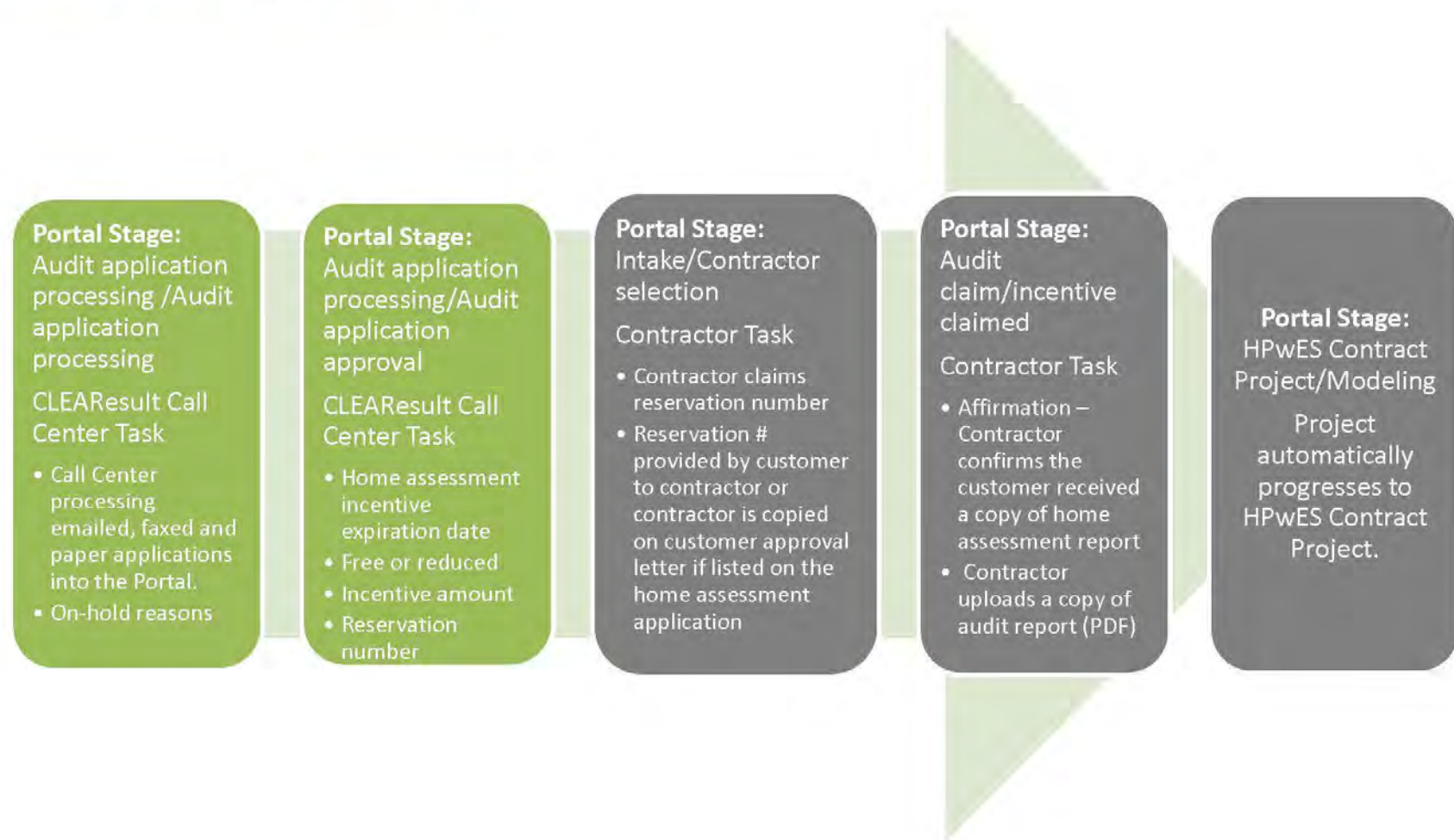
- a) Modeling (Contractor Task – formerly known as uploading the audit package or completing RHA building model)
  - i) Select which modeling software is being used for the project
  - ii) Contractor attaches XML or HPXML file for comprehensive audit package (RHA users skip this step)
- b) Model review (Automated Task – Portal sends the information to HUB where several data checks are run on the XML file and the results are communicated back to the Portal. Formerly part of the TREAT file import process.)
  - i) Reviewer notes – presents any failure messages or warnings from the data checks
  - ii) Review results – will pass or fail this stage automatically
- c) Workscope proposal (Contractor Task – formerly known as uploading the contract package or adding measures to a contract in RHA)

- i) Contractor indicates if they are working with another participating contractor as a referral (claims the referral incentive)
  - ii) Contractor attaches XML or HPXML file for contracted package (RHA users skip this step)
  - iii) Referral jobs are also required to attach a combined package for the purposes of cost effectiveness screening in the EST
- d) Workscope review (Automated Task – Portal sends the information to HUB where several data checks are run on the XML file and the results are communicated back to the Portal. Formerly part of the TREAT file import process.)
- i) Review result – will pass or fail this stage automatically
  - ii) Reviewer notes – presents any failure messages or warnings from the data checks
- e) Eligibility Screening Tool (Contractor Task – formerly known as the Claim Incentives screen, ProForma.)
- i) Questionnaire – claim customer incentives, advanced modeling incentive, and fill out utility information (formerly claim incentives screen)
  - ii) Eligible Measures - fill out measure details. Also, “What If” mode available here.
  - iii) Cost Effectiveness – loan cost effectiveness results (formerly ProForma)
  - iv) Incentives – displays summary of incentives claimed
- f) Contract submission (Contractor Task – formerly known as faxing job submission paperwork)
- i) Answer SHPO questions
  - ii) Signed Customer Information Form
    - (1) Note - Required at completion
  - iii) Signed workscope or contract
    - (1) Note - Required at completion
  - iv) AHRI certification
  - v) SHPO review form
  - vi) Appliance receipts
  - vii) Rebate and storm relief forms
  - viii) Fuel bills (For projects started as a Contract Project when the customer is utilizing OBR financing)
  - ix) Lighting schedule
  - x) Project photos
  - xi) Technical review
  - xii) Subcontractor work order
  - xiii) Signed change order
- g) Contract review and approval (CLEAResult Task – formerly known as job approval)
- i) Home Performance Eligibility Summary Report (Approval transmittal form) – CLEAResult will attach the report document in the Contract Project on the Portal when the job is approved. It will not be emailed to the contractor separately.
  - ii) Reviewer notes – presents reasons why the job was placed on hold by the CLEAResult Program Coordinator
  - iii) Review results – will pass or fail this stage depending on whether job was approved or placed on hold
- h) Financing approval (EFS Task – All projects with a loan or AHP application will be sent to this stage for EFS to generate the loan documents and/or issue final AHP approval. All conditions on the EFS pre-approval must be met at this stage in order for the project to move forward.)
- i) Final project submission (Contractor Task – formerly known as completion submission)

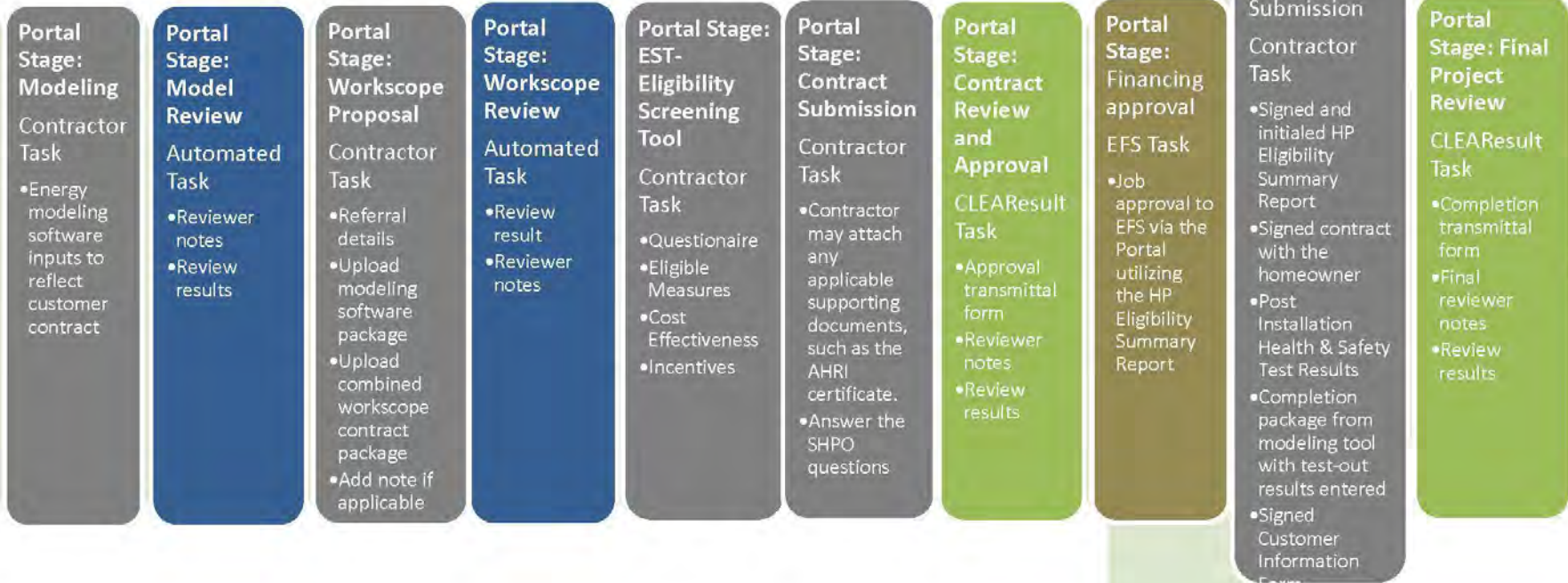
- i) Modeling software completion package (Formerly known as uploading the completion package or flagging the RHA measures as installed. Contractor attaches XML or HPXML file for completed package. RHA users skip this step.)
- ii) Completion signature page \*Now part of the Home Performance Eligibility Summary Report
- iii) Post installation health and safety test results \*Now part of the Home Performance Eligibility Summary Report
- iv) Appliance receipts.
- v) Data required at completion:
  - (1) Signed and initialed Home Performance Eligibility Summary Report
  - (2) Signed contract with the homeowner (on company letterhead and compliant with NYS contract law)
  - (3) Post Installation Health & Safety Test Results
  - (4) Completion package from modeling tool with test-out results entered
  - (5) Signed Customer Information Form
- vi) Other completion documents
- vii) Storm relief declaration form
- viii) Subcontractor work order
- j) Final project review (CLEAResult Task – formerly known as completion processing)
  - i) Portal sends the information to HUB where several data checks are run on the XML file and the results are automatically communicated back to the Portal.
  - ii) Completion transmittal form – CLEAResult will create and attach this document when the job is approved
  - iii) Final reviewer notes – presents reasons why the job was placed on hold by the CLEAResult Program Coordinator
  - iv) Review results – will pass or fail this stage depending on whether job was approved or placed on hold
- k) Financing disbursement (EFS Task – formerly known as loan closing. All projects with a loan or AHP incentive will be sent to this stage for EFS to release payment to the contractor.)
  - i) Contractors
  - ii) Final contractor payment dates
  - iii) Contractor loan amounts
  - iv) Loan specialist
  - v) Loan status
  - vi) Project loan amount
  - vii) Subsidy status and amounts paid
  - viii) Total amount financed



## HPwES Audit Project Workflow



## HPwES Contract Project Workflow



## FAQ/Troubleshooting

### Who do I contact for help?

To provide better software support services, CLEAResult has implemented a centralized ticketing system, ZenDesk, to track all HPwES Contractor Support requests. Whenever a support request is submitted, either through an email, ticket form, chat, or a phone call/voicemail message, an automated support ticket will be created. This system will provide greater transparency in the support process, providing insight into the status of all submitted support requests, from the time they are created, assigned, and resolved. Once a ticket is created, email notifications will keep you apprised of the progress of the ticket or you can log into your account and view via My Activities. The ticketing system will also keep a log of all the subsequent communication between CLEAResult and your company. When submitting a request for help always provide the customer's name, address and issue.

Ticket submission or chat via <http://hpwescontractorsupport.com/>.

Email: [contractorsupport@clearresult.com](mailto:contractorsupport@clearresult.com)

Call toll free: 800-284-9069 (option 2).

### Is there any link between the Portal project and the projects in the HUB (NYSERDA Home Performance application)?

Portal projects are directly linked to a project in HUB. You still have access to log into HUB to see both old and new projects. If you deactivate a portal project it will also deactivate the linked HUB project. If a project gets deactivated by accident it can be reactivated by contacting Contractor Support.

### How do I correct the customer's name or address?

You need to submit a correction request to Contractor Support. Please include the correct name and address as well as the incorrect name and address that were entered into the Portal.

### I audited a customer's home and discovered it is >3500 square feet. How do I adjust the audit incentive?

Since audit applications do not request square footage, the Portal assumes that all homes are < 3500 square feet. If you perform an audit in a home >3500 square feet, call or e-mail the HPwES Audit Call Center prior to claiming the audit incentive and a Call Center Representative will make the adjustment.

### What is a PDF and how I do create one?

PDF stands for Portable Document Format. For a greater explanation of what a PDF is there is a very informative article on Wikipedia ([http://en.wikipedia.org/wiki/Portable\\_Document\\_Format](http://en.wikipedia.org/wiki/Portable_Document_Format)). There are many software choices available for converting a document into a PDF document. A reliable place to research software choices is <http://www.cnet.com/search/?query=pdf+converter>.

### How do I start the HPwES contract project before I submit my customer's audit application?

You can add a new HPwES Contract project to start your contract work. After the audit reservation number is approved and you claim it on the dashboard, the Portal will show you 2 projects for the customer. One project is an HPwES Contract and the other is an HPwES Audit. The HPwES Audit project will be in the 'Audit Claim' stage. Once the audit documentation is uploaded and 'Audit Claim' stage is completed the Portal will automatically create a follow on project in the 'Modeling Stage'. This additional follow on project will need to be deactivated since there is already another HPwES Contract project in progress.

## How do I get an extension on my customer's expired reservation number?

Please contact Contractor Support.

## I have an old project that I was working on before the Portal. Where do I go to do work?

Pipeline projects fall into a few different categories:

- Projects where the audit reservation number has been claimed
- Projects that were approved and are waiting to be completed
- Projects that are on-hold

These projects must be finished in HUB. Paperwork for these projects will continue to be faxed in. If a reservation number has been claimed then you will continue to upload the audit documentation (either by TREAT/RHA audit package, PDF of audit report or Excel Quick Audit tool) in order to claim the HPwES audit incentive. This customer's follow-on project must also be completed in HUB.

## Do I still fax in my job approval or completion approval paperwork?

Contractors should only fax in paperwork for project which have started in HUB. Contractors should not fax in paperwork for new projects which start in the Portal. All paperwork for new Portal projects will be uploaded as individual files in the Portal. When submitting paperwork, the Portal will only allow for one file upload per section. If multiple documents are necessary, please compile these documents into a single file when uploading.

## Where do I find my customer's energy usage docs so I can true up my building model?

Energy usage will be collected by the contractor at the time of the energy audit.

The screenshot shows a 'Full Details' page with the following information:

- Payment type: Financing Program
- Income range: Up to 200% AMI
- Signed application: None
- Energy Usage Data
  - Electric utility: Con Ed
  - Electric utility account: [Redacted]
  - Electric utility data: [Download File](#) (with a PDF icon)
- Primary Heating Fuel
  - Fuel type: Oil
  - Fuel type (other):
  - Fuel vendor:
  - Fuel vendor:
  - Fuel account: None
  - Electric utility data: [Download File](#) (with a PDF icon)

A green callout box with the text "Click to download PDF file of usage" has an arrow pointing to the "Download File" link under "Electric utility data".

## I am in EST and it is telling me it is in 'Read Only' mode. What do I do?

The screenshot shows the top of the Eligibility Screening Tool (EST) interface. A red-bordered box highlights a message: "This project is being displayed in administrative review mode. It is read-only and cannot be edited." Below this message, the title "Eligibility Screening Tool" is visible. At the bottom, there is a navigation bar with four tabs: "Questionnaire" (highlighted in blue), "Eligible Measures", "Cost Effectiveness", and "Incentives".

You will need to contact Contractor Support so EST can be reset. Please provide customer's name, address and project id in your EST reset request.

### **Do I need to submit a certificate of completion (COC) with my completion paperwork?**

There will be no requirement to submit a certificate of completion in the 'Final Project Submission' stage, although customers will still be required to sign off on completed work.

### **I added a new project for my customer in the Portal and it is not showing up.**

If your customer does not show up a few minutes after entering it in the Portal do not add more projects again for the same customer. Invalid or duplicate addresses entered through the Portal will not show up in Portal until it is corrected. Customer's addresses that are outside of your service area will not show up. Please contact Contractor Support if your customer that has been entered into the Portal as a new project doesn't show up in your project list. Please provide the customer's name and address in your request.

### **I claimed a reservation number and my HPwES Audit project isn't showing up. What do I do?**

A Customer's address that is outside of your service area will not show up. Please contact Contractor Support and provide the customer's name and address in your request.

### **I deactivated my project and now the customer wants to do work. How do I reactivate my project?**

Projects that have been deactivated can be reactivated by Contractor Support.

### **Are there special instructions for RHA users?**

Once you receive your customer's reservation number you can log into the NYSERDA HP application and model your customer's building. After building is modeled the audit report can be saved a PDF file. The next step is to go back to the Portal and upload the audit report in the Audit Claim task.

After Audit Claim task has been completed log back into the NYSERDA HP application and create a RHA contract. When you are done creating your contract a message box will pop up stating 'This project originated in the NYSERDA HPwES Program Portal'. After clicking 'OK' continue your next steps in the NYSERDA HPwES Program Portal. You will no longer use the HPwES Incentive claim screen to claim incentives. Log back into the Portal to use the EST. When EST is completed and submitted you will proceed to next stage.





## **PSEG LI Cross program incentive claiming & HPD Projects**

Optimization projects in which the audit originates in NYSERDA will be started in the HPwES Audit Claim Program and the follow-on project will go through the HPwES Project Workflow and be pushed over to PSEG LI. The Portal will accommodate the PSEG LI incentives.

HPD projects which originate in PSEG LI will continue to use same current process for their follow-on work. You will continue to use the cross-program claim incentive screen to push these projects over to NYSERDA. The only difference is that the audit reservation number will be claimed on the Portal's dashboard and you will continue to follow HPwES Audit Claim Process to complete your audit project.

## Tips for EST (Eligibility Screening Tool)

There are two columns that will have either a green check mark, or a red “x,” indicating whether a measure is eligible or not for the rebate and loan incentives. The measure-level details for the project can be found by expanding the carrot next to the title of each of the proposed measures in the package.

	Measure Name	Incentive Eligible		Message
		NYSERDA	Loan	
>	Install new natural gas 40 gallon 225000 Btu/Hr hot water heater with energy factor of 0.76 and recovery efficiency of 76.0 %.			-NYSERDA : The proposed water heater is not eligible.
>	Insulate domestic hot water piping to R- 7.00 .			



### A. Error Messages

*“No measure qualification definitions found”*

This message means the measure is either ineligible for the incentive (rebate or loan) or the measure could not be interpreted from the software. If the measure is not mapped in the “Measure Type” the drop-down list, please select a similar measure from the list.

### B. Entering Measure Level Information

Often, more information is required for each measure. Notice that the “Existing Refrigerator Age” is blank below:

v	Removed Appliances: 1 Refrigerator-auto def top freezer, 1990 model				-NYSERDA : No attribute value found for attribute: EX_REFRIG_AGE -LOAN : No measure qualification definitions found.
	Added Appliances: 1 Refrigerator - auto def top freezer, 15 CF, max efficiency				
	Measure Type	<input type="text" value="Refrigerator"/>			
	Measure Cost	<input type="text" value="\$1,259.00"/>			
	\$ Savings	\$53.69			
	Measure Life	17			
Existing Refrigerator Age	<input type="text"/>				

The process for editing the measures populated in the “Eligible Measures” section is as follows:

1. If necessary, map the measure by selecting an item from the “Measure Type” drop down. Note, this was not required in the example above because EST correctly identified the measure as a “Refrigerator.”
2. Press the “Reverify” button on the bottom left hand corner of the tool. Improvements that need to be mapped to the measure type need to be reverified in order to tell the system important information that it needs to help determine the eligibility of the improvement. After the improvements are all mapped the system will tell you what other information it needs for each measure.

3. Enter the missing data for the measures (i.e. “Existing Refrigerator Age”). The missing data that the system needs will show up in red text toward the top of the page.
4. Press the “Continue” button on the bottom right hand corner of the tool.

### C. What-if Analysis Mode

EST allows the user to check the eligibility of the measures in the project, as well as the project as a whole, in *What-If Analysis* mode.

You have modified measure values. You can continue to modify values and use the Reverify feature to test for eligibility. You cannot submit with a status reason of Completed while in this mode. To clear this mode and load the original values, [click here](#).

As the message indicates, clicking the link will return the measure costs to the original ones found in uploaded contract package.

**Note:** the user should not submit the EST with a “Reason” of “Complete” in the fourth section of EST, “Incentives,” without first reverting the measure costs back to their original values. Before the project can go through EST again it will need to be reset to clear out the old information. Please contact Contractor Support to request that EST be reset for you project. Please include customer’s name, address and portal or HUB project ID.

# **NY HP Portal**

# **EmPower NY Workflow**

# **Contractor User Guide**



Last revised: 8/10/17

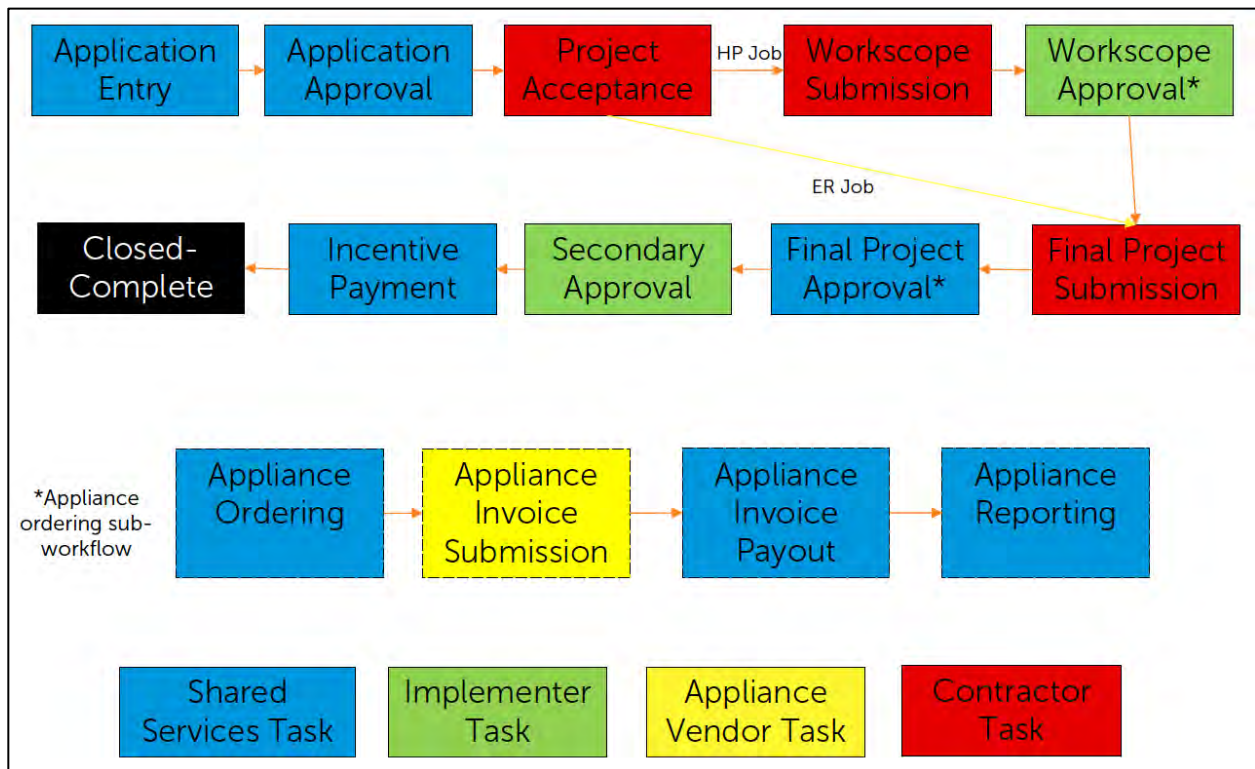


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## Introduction

- What is the EmPower workflow?
  - The EmPower workflow is a standalone, end to end solution created to enable project submission and management of EmPower New York projects. The workflow handles Home Performance (HP) and Energy Reduction (ER) jobs in addition to Appliance Ordering.
  - An overview of the EmPower workflow can be seen below



- Which tasks are completed by contractors?
  - If the project is an HP job, contractors are responsible for completing Project Acceptance, Workscope Submission, and Final Project Submission tasks.
  - If the project is an ER job, contractors are responsible for completing Project Acceptance and Final Project Submission tasks.
- How do contractors complete tasks in the EmPower workflow?
  - EmPower projects are created and assigned to contractors. Once the Application Approval task is completed by Program staff, and the contractor is selected for the project, the contractor will receive an email to their task notification email address notifying them of the new project. There is one task notification email address per contractor.



## New Project Acceptance Task

---

Hello Alex's Energy Buddies,

We've got a new Project Acceptance task for you!

Project ID: 10857

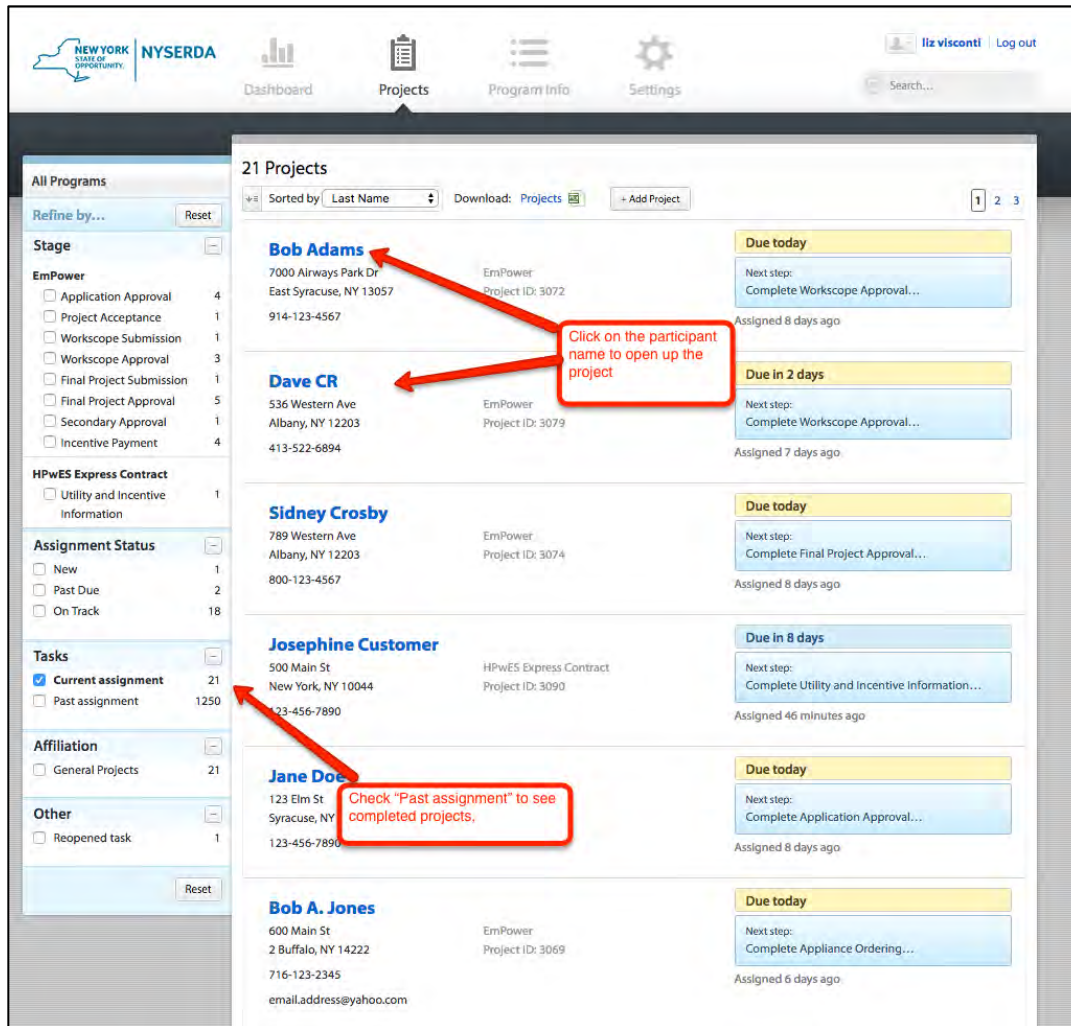
Name: Bob Builder

Phone: 123-456-7890

Location: Queens, NY 11105

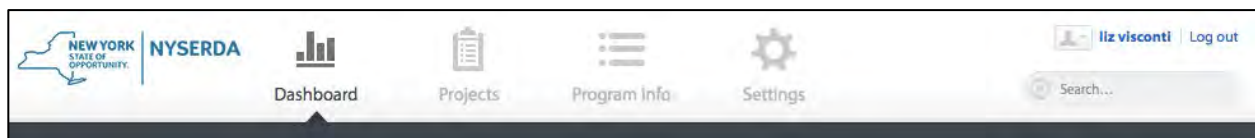
[View all project details here](#)

- The new project will also appear in the selected contractor's Projects list.



## Partner Portal Orientation

The Partner portal is divided into four main sections, as shown in the screenshot below.



Each tab takes you to a different section of the Partner portal:

- **Dashboard**
  - View active projects and project statuses
  - View latest program updates

- **Projects**
  - Find, complete, and review assigned projects
  - Download list of projects as a .csv file
- **Program Info**
  - NYSERDA will post any relevant program information here
  - The latest posts will also be visible on Dashboard
- **Settings**
  - Edit password
  - Edit company info including the task assignment email, company profile, and service area.
  - In order to change a user's name or email or a add a user, please email [support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov).

If you have questions that are not answered by this guide, please reach out to [support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov).

## Dashboard

By clicking on the Dashboard tab, you can see a snapshot of tasks currently assigned to your organization. You can click into the various tiles of the dashboard to see the corresponding list of projects.

The screenshot shows the NYSERDA Contractor Support Website dashboard. At the top, there is a navigation bar with the NYSERDA logo, a search bar, and user information for 'liz visconti'. Below the navigation bar are five tabs: Dashboard, Projects, Program Info, and Settings. The main content area is divided into several sections:

- All Programs:** A section for 'EmPower Contractor' with contact information and a note that the company profile is incomplete.
- ACTIVE PROJECTS:** A large tile showing '15' active projects with a 'See all »' link.
- ASSIGNMENT STATUS:** Three stacked tiles: '1 HAS A NEW ASSIGNMENT', '0 ARE PAST-DUE', and '14 ARE ON-TRACK'.
- Latest Program Info:** A section for 'Blog 1' dated June 22, 2017, with a 'See all posts »' link.
- Claim a Reservation:** A form with fields for 'Reservation number' and 'Last name', and a 'Search' button.

Red callout boxes provide additional information:

- One box points to the '15 ACTIVE PROJECTS' tile, stating: "Access the list of all active projects for your company. You can also access this list by clicking the Projects tab at the top of the page."
- Another box points to the '1 HAS A NEW ASSIGNMENT' tile, stating: "Clicking on these tiles will take you to a pre-filtered list of projects corresponding to the option selected."
- A third box points to the 'Claim a Reservation' form, stating: "This pertains to the HPWES Audit program."

## Project Management

By clicking on the Projects tab, you can access the list of projects with tasks assigned to your organization. You can filter for tasks using the various filter options listed on the left side of the page.

The screenshot displays the NYSEDA Project Management interface. The top navigation bar includes 'Dashboard', 'Projects', 'Program Info', and 'Settings'. The user 'liz visconti' is logged in. The main content area shows a list of 21 projects, sorted by 'Last Name'. The left sidebar contains filter options for 'Stage', 'EmPower', 'HPwES Express Contract', 'Assignment Status', 'Tasks', 'Affiliation', and 'Other'. The 'Tasks' filter is currently set to 'Current assignment'. The project list includes details for Bob Adams, Dave CR, Sidney Crosby, Josephine Customer, Jane Doe, and Bob A. Jones. Annotations with red arrows point to the 'Download' button, the 'Filter projects' filter, the 'View current and past assignments' filter, and the project name 'Bob Adams'.

Name	Address	Phone	Project ID	Due Date	Next Step
Bob Adams	7000 Airways Park Dr East Syracuse, NY 13057	914-123-4567	3072	Due today	Complete Workscope Approval...
Dave CR	536 Western Ave Albany, NY 12203	413-522-6894	3079	Due in 2 days	Complete Workscope Approval...
Sidney Crosby	789 Western Ave Albany, NY 12203	800-123-4567	3074	Due today	Complete Final Project Approval...
Josephine Customer			3090	Due in 8 days	Complete Utility and Incentive Information...
Jane Doe	123 Elm St Syracuse, NY 13212	123-456-7890	3066	Due today	Complete Application Approval...
Bob A. Jones	600 Main St 2 Buffalo, NY 14222	716-123-2345	3069	Due today	Complete Appliance Ordering...

## Viewing Current and Past Projects

- **Current projects:** To see projects with tasks that your organization still needs to submit, use the “Current assignment” filter
- **Past projects:** To see projects with tasks that your organization has previously completed, use the “Past assignment” filter

## Detailed Project View

To see more information about an individual project, click on the homeowner name or the blue box labeled "View Details..." to open the detailed project view.

- Task status
- Project timeline
  - Who was assigned and completed each task
  - When each task was completed
  - Any information gathered in completed tasks
- Information about the participant, project, and premise

Here is the view of a single project:

The screenshot displays the 'Complete Final Project Submission' page in the EmPower system. The interface includes a left-hand navigation menu, a main content area with various submission steps, and a project timeline at the bottom. Red callout boxes with arrows highlight specific features:

- Next Action**: A blue button in the left sidebar.
- Full Details**: A blue button in the left sidebar.
- View project info**: A red callout box pointing to the 'Due date' section.
- Task SLA**: A red callout box pointing to the 'Due in 85 days' status.
- Move the project back or close the task**: A red callout box pointing to the 'Extend Due Date' button.
- Add a note to the timeline**: A red callout box pointing to the 'Add Note' field.
- View details about the premise and participant**: A red callout box pointing to the 'View Details' links for 'Premise' and 'Participant' in the left sidebar.
- Submit task**: A red callout box pointing to the 'Send Now' button.
- Add a note to the task**: A red callout box pointing to the 'Add a Note (optional)' field.
- Save inputs and submit task later**: A red callout box pointing to the 'Save & Send Later' button.

A variety of information about the project is accessible using the menu on the left side of the page:

- Next Action

- Overview of next step in workflow for project as well as access to project timeline
- Full Details
  - Marketing information
- Premise - View Details
  - View the project’s premise information and see other projects you have access to associated with the premise
- Participant - View Details
  - View the project’s participant information and see other projects you have access to associated with the participant

## Managing Tasks

### Submitting Tasks

To submit (i.e. complete) an assigned task, access the detailed project record for a project with an active task assigned to you and fill out all required information, review answers, and then click “Send Now.”

There is no “auto-save” in the NY HP Portal, so if you can only partially complete a task, make sure to click the “Save and Send Later” button.

### Service Level Agreements (SLA)s and Task Due Dates

Each task has a target due date that is displayed at the top right corner of the task. If the task cannot be completed in time, you can use the “Extend Due Date” button at the top of the task to choose a new due date and provide a reason for the extension.

The screenshot shows a task titled "Complete Final Project Submission" with a due date of "Oct. 27, 2017" and a status of "Due in 85 days". The task was assigned on August 4, 2017. There is an "Extend Due Date" button and a message that says "This task can not be completed". The "Review Failure Reason" is "No change order received" and the "Reviewer's notes" are "We need a change order".

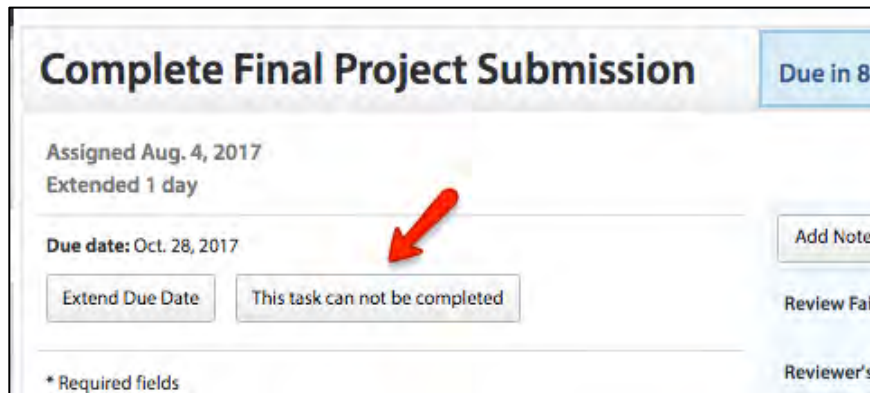
If a partner does not complete the task before the due date, the task will become past due. This does not close the task or the project. Affiliated partners and program managers will be able to see that a task is past due, but the task itself can stay past due indefinitely and can still be worked on and submitted after its due date. Partners can easily filter for past due projects using the filters on the project list.



- A task can only be extended a maximum of 90 days from the current date. However, the task can be extended as many times as needed.

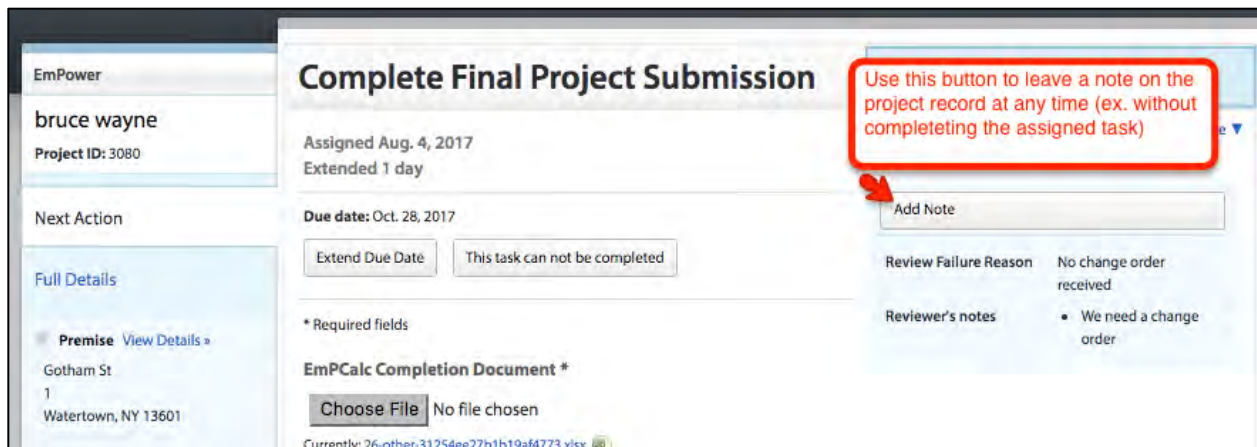
### Rejecting Tasks

If previous tasks need to be modified or the active task cannot be completed, use the “This task cannot be completed” button and select the appropriate reason to close the task. You can also leave a note explaining why you could not complete the task.



### Adding Notes

There are two ways to add notes to a project record. At any time, you can add a note to the project by using the “Add Note” button on the upper right of the task.



In addition, as part of submitting a task, you can use the “Add a Note (optional)” section at the bottom of the task.

The screenshot shows a web interface for a task assignment. At the top, it says "Assigned June 26, 2017" and "Jump to Timeline". Below that, the "Due date" is "June 27, 2017" with an "Extend Due Date" button. There is an "Add Note" button in the top right. A red callout box with a red arrow points to the "Add a Note (optional)" text area. The callout text reads: "Note can be submitted using this form as part of completing the currently assigned task for a project". Below the text area, there are radio buttons for "Who should see this note?": "Program Managers Only" and "All Users" (which is selected).

When you leave a note, you can make it visible to all users or to program managers only.

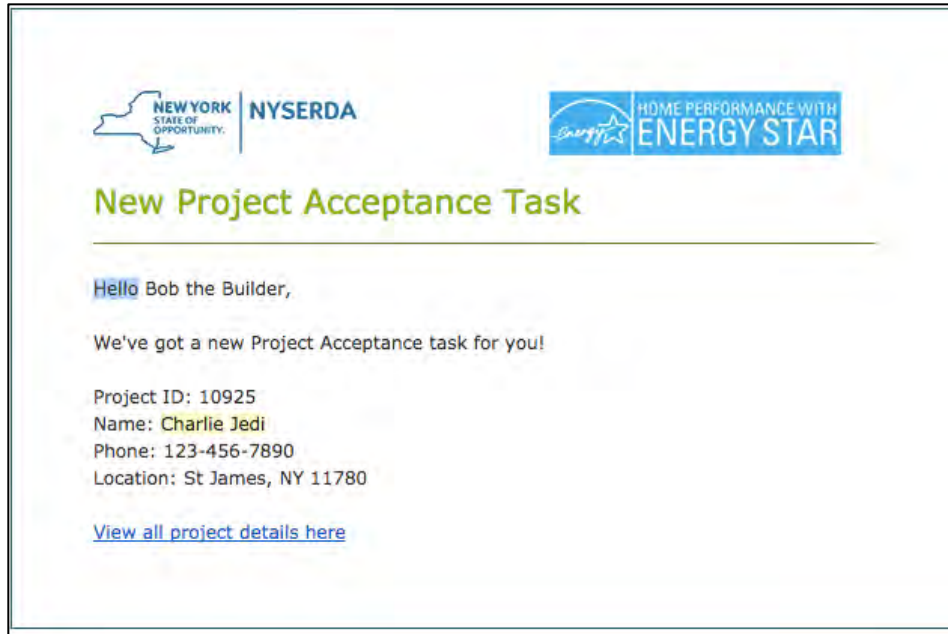
**Notes cannot be edited or deleted by a partner after they have been posted.** If you inadvertently leave a note that should be deleted, please contact [support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov) for assistance.

### Email Notifications

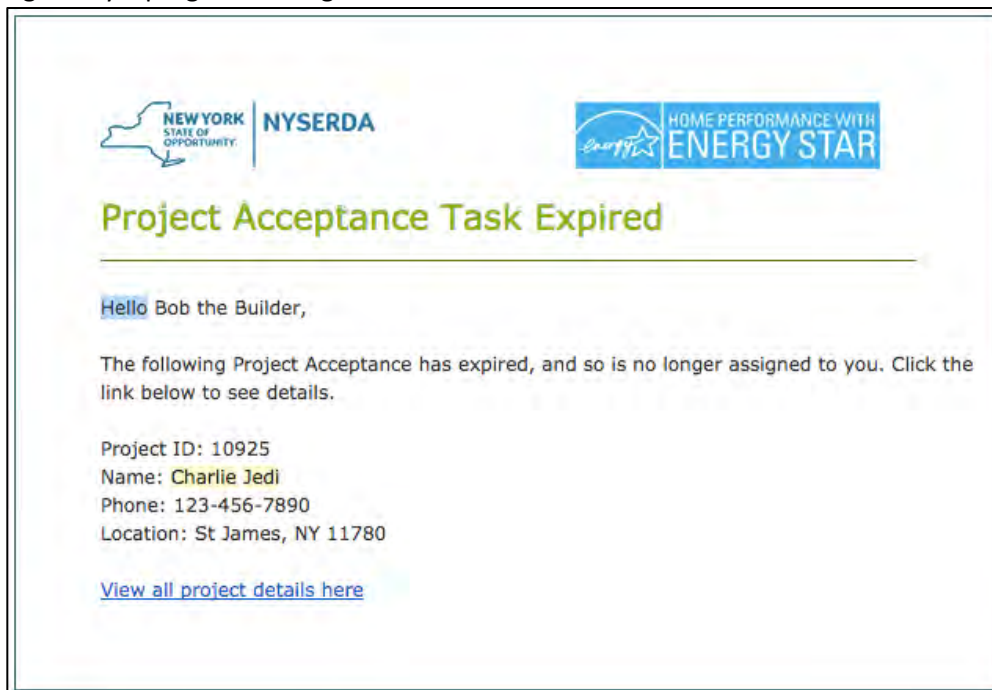
Email notifications are sent to the task assignment email address associated with your partner account whenever a task is assigned, expired, re-opened, or needs revisions. **There is one task assignment email per contractor company.** If multiple people need access to the task notification emails, you may want to create a group email inbox. You can create email filters to make sure these notifications are forwarded to the appropriate staff.

Please note that the emails will be sent *from*: [HPwESSupport@support.clearesult.com](mailto:HPwESSupport@support.clearesult.com), please do not mark the emails as spam.

- Task assignment notification: Your partner has been assigned a new task in the workflow.



- Task expiration: A project is removed, rolled back, or the assigned task is expired and re-assigned by a program manager.



- Task reopened: An expired task is reopened for your partner.



## Reopened Project Acceptance Task

---

Hello Bob the Builder,

You've got a Project Acceptance task that has been reopened and requires your attention. Click the link below to see details.

Project ID: 2356

Name: Dino Odon

Phone: [209-348-2039](tel:209-348-2039)

Location: Port Chester, NY 10573

[View all project details here](#)

- Task needs revision: If the project does not pass a review and is sent back to your partner for revision.



## A Workscope Submission Task Needs to be Revised

Hello Bob the Builder,

You've got a **Workscope Submission Task** that needs to be revised. Click the link below to see details.

Project ID: 10791

Name: test email

Phone: 123-456-7890

Email: [kate+dsafdasfsa@energysavvy.com](mailto:kate+dsafdasfsa@energysavvy.com)

Location: Southold, NY 11971

Reviewer's Notes:

Other

- Please re-upload workscope to reflect change order.

[View all project details here](#)

## EmPower Workflow

### Project Acceptance

After Program staff selects a contractor for the project in the Application Approval task, the Project Acceptance task is assigned to and completed by that contractor who can either accept or deny the project with one of the following reasons:

- No crews available at this time
- Cannot complete within Program deadlines
- Do not wish to serve this customer or location
- Other

## Complete Project Acceptance Task

D: Due in 12 days

Assigned June 26, 2017 [Jump](#)

---

**Due date:** July 10, 2017

---

\* Required fields

**Review result \***

✓ -----

Accept

Denied - No crews available at this time

Denied - Cannot complete within program deadlines

Denied - Do not wish to serve this customer or location

Denied - Other

Add Note	
Additional contact name	No response
Relationship to contact	No response
Additional contact phone number	No response
Referral ID Number	12345678
Date application received	June 26, 2017
Time at current residence (years)	10.0
Approximate age of home (years)	50.0
Home type	Single Family
Owns or rents	Own
Roof leaks	No
Own refrigerator	No
Second refrigerator	No
Separate freezer	No
Number of household members	3
Details provided by	No response

If the project is accepted, it will either move to the Workscope Submission stage (if an HP Job) or to the Final Project Submission stage (if an ER Job). If rejected, the project moves back to Application Approval so that Program Staff can reassign it to a different contractor.

There is also a “Notes” field available for the contractor to provide any relevant information about their decision to accept or deny the project.

If the task is open for more than 10 business days, it will automatically be declined with the reason “Contractor did not accept task” and moved back to Application Approval. At this point, the project will be assigned to a different contractor.

### Workscope Submission

If the project is an HP Job, upon accepting the project in the Project Acceptance task, the contractor will complete the Workscope Submission task by uploading the workscope (via EmPCalc, TIPS, or TREAT) and any necessary supporting documents.

# Complete Workscope Submission Task

Due in 45 days

Assigned June 26, 2017

[Jump to Timeline](#) ▼

**Due date:** Sept. 18, 2017

[Extend Due Date](#)

This task can not be completed

[Add Note](#)

Homeowner's Agreement document

[Download File](#) 

\* Required fields

## Modeling output \*

[Choose File](#) No file chosen

For EmPCalc, upload entire Excel file. For TREAT upload summary report in PDF format.

## Is this project receiving additional incentive funding (including Assisted HPwES, WAP, utility rebates, or other grant funding)? \*

- Yes  
 No

## Are you recommending a workscope package? \*

- Yes  
 No

Selection of no will move this project to the Final Project Submission Stage.

## Combustion appliance form \*

[Choose File](#) No file chosen

## House diagram worksheet \*

[Choose File](#) No file chosen

## Appliance Exchange Agreement \*

[Choose File](#) No file chosen

## Pictures

[Select files...](#)

All file types accepted. Can upload multiple photos (5-10 recommended) at once, up to 50 photos total. High resolution photos are not recommended.

## Initial Interview form

[Choose File](#) No file chosen

## Notification of possible presence of asbestos

[Choose File](#) No file chosen

## Field data form

[Choose File](#) No file chosen

## Supplemental data collection form

[Choose File](#) No file chosen

[Add a Note \(optional\)](#)



[Send Now](#)

[Save & Send Later](#)

The answers to the following questions will drive the logic that determines whether the project proceeds to the Workscope Approval or to the Final Project Submission:

1. "Are you recommending a workscope package?"
2. "Is this a completed Direct Install only project?" (shown only if the answer to 1. is "Yes")

Depending on the answer combination below, the project will either move to Final Project Submission or to Workscope Approval:

Recommending Workscope?	Pursuing only Direct Install?	Stage Transition
Yes	Yes	Final Project Submission
Yes	No	Workscope Approval
No	Question not asked	Final Project Submission
No	Question not asked	Final Project Submission

If the project proceeds to final project submission, re-upload the final project modeling document.

## Workscope Approval

A project in Workscope Approval is currently being reviewed by Program Staff. When this is completed, your project will be moved forward to Final Project Submission (is approved) or back to Workscope Submission (if edits are needed).

If the project:

- is an HP Job
- is recommending a workscope package
- is NOT pursuing only Direct Install measures

then the Workscope Approval task is completed by Program Staff who will review the Workscope and supporting materials to determine whether the project passes approval.

If the project does not pass approval, the project will be sent back to the contractor with review notes.

- The contractor will receive an email notifying them that the project has been returned to the Workscope Submission task and needs revision. The email will also include the reviewer's notes.





## A Workscope Submission Task Needs to be Revised

Hello EmPower Contractor,

You've got a Workscope Submission that needs to be revised. Click the link below to see details.

Project ID: 3067

Name: Jane NYSERDA

Phone: [518-772-4685](tel:518-772-4685)

Location: Albany, NY 12205

Reviewer's Notes:

Missing information

- Modeling input incomplete. Please include information about x, y, and z.

[View all project details here](#)



- The reviewer can reject the project with one the following reasons:
  - Missing Information
  - Modeling Errors
  - Program Rule Violation
  - Other

The notes will also appear in the task that was sent back.

## Complete Workscope Submission

Due in 64 days

Assigned Aug. 9, 2017 [Jump to Timeline](#) ▼

---

**Due date:** Oct. 11, 2017

---

\* Required fields

**Modeling output \***

Choose File

 No file chosen
 

Currently: 14-other-8a252220719e47bbc18b.xlsx

For EmPCalc, upload entire Excel file. For TREAT upload summary report in PDF format.

**Is this project receiving additional incentive funding (including Assisted HPwES, WAP, utility rebates, or other grant funding)? \***

Yes  
 No

**Are you recommending a workscope package? \***

Yes  
 No

Add Note

<b>Homeowner's Agreement document</b>	Not uploaded
<b>Review Failure Reason</b>	Missing information
<b>Reviewer's notes</b>	<ul style="list-style-type: none"> <li>Modeling input incomplete. Please include information about x, y, and z.</li> </ul>

## Final Project Submission

The Final Project Submission task is completed by a contractor who will upload the EmPCalc Completion Document (a TREAT PDF can also be uploaded in the EmPCalc Completion Document field) and any additional supporting documentation needed.

## Complete Final Project Submission

Due in 60 days

Assigned June 27, 2017

---

**Due date:** Sept. 19, 2017 Add Note

Extend Due Date
This task can not be completed

---

\* Required fields

**EmPCalc Completion Document \***

Choose File
No file chosen

**Certificate of completion \***

Choose File
No file chosen

**Invoice**

Choose File
No file chosen

Required if not using EmPCalc

**EmPower clean & tune checklist and certification form**

Choose File
No file chosen

**Pictures**

Select files...

**Add a Note (optional)** +

Send Now
Save & Send Later

### Change Orders and Changing Project Type

If the final project submission has changed by more than \$200 from the workscope that was approved, OR if the project was originally designated as an Electric Reduction project but needs to be changed to a Home Performance job, use the “this task cannot be completed” button.

This button is available to you in all stages and provides reasons for you to select if you cannot complete the task. Choosing an option other than “Changing the workscope” will alert the program staff that you were unable to complete the task and they will take appropriate next steps. If you need to close the project, please see the Pipeline Cleanup section.

EmPower

**bruce wayne**  
Project ID: 3080

Next Action

Full Details

**Premise** View Details »  
Gotham St  
1  
Watertown, NY 13601

**Participant** View Details »  
bruce wayne  
imaybebatman@wayne.com  
323-123-1234

**Program Info**  
Stage Final Project Submission  
Updated 4 days ago

## Complete Final Project Submission

Due in 81 days

Assigned Aug. 4, 2017  
Extended 1 day [Jump to Timeline](#) ▼

Due date: Oct. 28, 2017

Extend Due Date **This task can not be completed** Add Note

\* Required fields

**EmPCalc Completion Document \***  
Choose File No file chosen  
Currently: 26-other-31254ee27b1b19af4773.xlsx

**Certificate of completion \***  
Choose File No file chosen  
Currently: 26-other-25ee76ee7f6efe30203d.pdf

**Invoice**  
Choose File No file chosen  
Required if not using EmPCalc

**EmPower clean & tune checklist and certification form**  
Choose File No file chosen

**Pictures**  
Select files...

Add a Note (optional)

Send Now Save & Send Later

Then choose, “Changing the workscope,” and leave a note as to what is being changed.

Why couldn't this task be completed?

Changing the workscope

Could not contact

Did not get business

Changing the job from Electric Reduction to Home Performance.

Who should see this note?

Program Managers Only

All Users

Send Now Cancel

The screenshot shows a web form with a title "Why couldn't this task be completed?". It has three radio button options: "Changing the workscope" (selected), "Could not contact", and "Did not get business". Below these is a text area containing the text "Changing the job from Electric Reduction to Home Performance." At the bottom, there is a section titled "Who should see this note?" with two radio button options: "Program Managers Only" and "All Users" (selected). At the very bottom are two buttons: "Send Now" and "Cancel". Two red arrows point to the "Changing the workscope" option and the text area.

## Final Project Approval

The Final Project Approval is completed by Program Staff who will review the final project submission documents and will:

- approve to move the project to Incentive Payout task
- approve to move the project to Secondary Approval task, if technical review is needed
- deny project completion moving it back to Final Project Submission task

If the project does not pass, the project will be sent back to the contractor with review notes.

- The contractor will receive an email notifying them that the project has been returned to the Final Project Submission task and needs revision. The email will also include the reviewer's notes.

## Secondary Approval

The project is sent to Secondary Approval if technical review of the project is needed. The Secondary Approval task is completed by Program Staff who will review the measure and incentive information to determine whether the project passes approval.

If the project does not pass it will be sent back to the contractor with review notes.

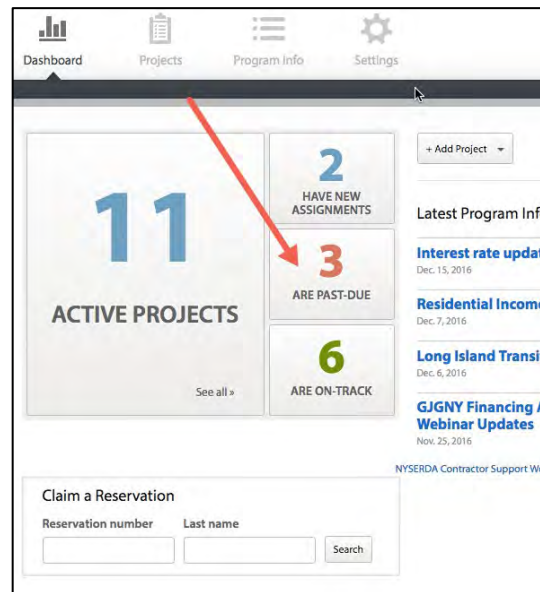
- The contractor will receive an email notifying them that the project has been returned to the Final Project Submission task and needs revision. The email will also include the reviewer's notes.

## Appendix

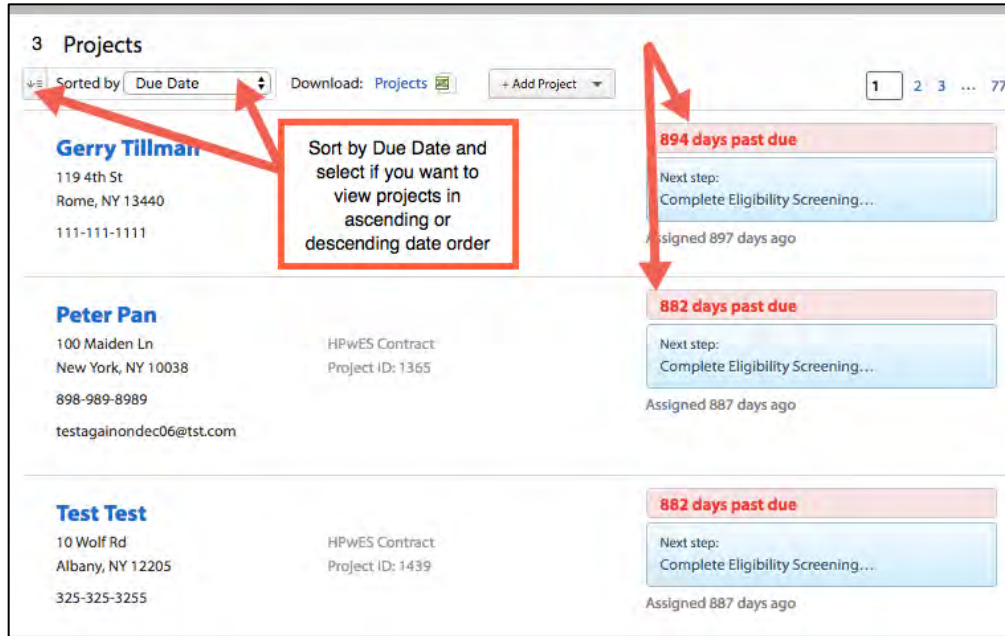
### Pipeline Cleanup

Participants may cancel projects and projects may stop progressing forward in the workflow for a variety of reasons. It is important that these projects be appropriately handled so that the program pipeline is accurate and funding can be better planned. Please follow the steps below to close out past due projects that are known to have been abandoned.

1. From your dashboard click to view all past due projects.



2. Sort by due date and view how many days past due each project is.



3. Click into each project and determine if it has been abandoned. Check comments in the timeline to refresh your memory.
4. If you determine that a project should be removed, select “This task cannot be completed” and select the appropriate reason. Ensure that you are closing only projects that were abandoned. Note: you can also send projects back to prior stages by selecting the appropriate reason.
5. Each contractor is responsible for keeping their project pipeline up to date and deactivating their dead leads on a regular basis. Please do not simply extend the due date repeatedly. Projects can be reopened if the customer changes their mind by contacting support.residential@nyserda.ny.gov.

**Why couldn't this task be completed?**

- Changing the completion package (return to Final Project HPXML task)
- Providing additional information about workscope (return to Workscope Screening and Approval task)
- Changing the workscope (return to Workscope HPXML task)
- Updating the utility and incentive information (return to Utility and Incentive Information task)
- Modifying the comprehensive recommendations (return to Modeling HPXML task)
- Did not get business (close project) ←
- Could not contact (close project) ←

**Who should see this note?**

- Program Managers Only
- All Users

## Additional Resources

Please contact [support.residential@nyserda.ny.gov](mailto:support.residential@nyserda.ny.gov) with questions.



## APPROVED ENERGY MODELING SOFTWARE FOR TIER 1 AND TIER 3 PROJECTS AND AUDITS

The [Combined Residential Application](#) determines program eligibility for incentives based on household income. Households identified as Tier 1, are considered low-income households and are eligible to receive incentives through EmPower New York. Tier 3 households are considered moderate income households and are eligible to receive incentives through Assisted Home Performance with ENERGY STAR®.

### **Project Modeling**

For Tier 1 and Tier 3 projects submissions, NYSERDA makes available, at no cost to the Participating Contractor, the EmPCalc modeling tool. EmPCalc is an Excel-based tool and is available for download on the contractor support [site](#). This HPXML compliant tool incorporates Program pricing and required energy savings calculations based on the New York State [Technical Resource Manual](#) and Program requirements. Program makes updates and improvements to the EmPCalc as needed, and Participating Contractors should review Program Announcements routinely to ensure they are using the latest version.

### **Project Comprehensive Home Energy Assessments**

For Tier 1 and Tier 3 projects, it is recommended to use the EmPCalc modeling tool to generate the comprehensive home energy assessment for the household. Utilizing the EmPCalc at the time of the audit will simplify the project modeling process by collecting the necessary inputs required for project submission for Program review and approval. For Participating Contractors who also participate in the [Residential Audit Program](#), the Residential Energy Audit Program Tool, may also be used to generate Tier 1 and Tier 3 audits. This tool is only made accessible to approved Residential Energy Audit Contractors. If the Residential Energy Audit Program Tool is utilized for the comprehensive home energy assessment, the project will still need to be modeled using EmPCalc for submission to the Program.

## Marketing Resources and Policies

### Logo Usage

The use of NYSERDA's and the Home Performance with ENERGY STAR® Logos are a privilege reserved only for Participating Contractors. To report misuse of logos, either through incorrect usage or by a non-participating contractor, please send an email to [hpwes@nyserdera.ny.gov](mailto:hpwes@nyserdera.ny.gov).

- NYSERDA Attribution - Participating Contractors who are active in the program may use NYSERDA's attribution logo in accordance with the "NYSERDA Logo Attribution Guidelines", located in Section 6.6 of the Residential Contractor Participation Agreement located in Section 2 of the [Program Manual](#).
- All Participating Contractors are under NYSERDA's sponsorship of Home Performance with ENERGY STAR and may use the Home Performance logo. Details are available at: <https://www.energystar.gov/about/energy-star-brand/energy-star-brand-book>
  - Additional specifications: Use the ® at the first mention of ENERGY STAR in a document. Make sure the ® is superscripted, i.e., Home Performance with ENERGY STAR® and always type ENERGY STAR in all capital letters.

### Terminology Specifications

When referencing your participation in Assisted Home Performance with ENERGY STAR or the EmPower New York program:

<b>Correct Messaging:</b>	<b>Incorrect Messaging:</b>
We offer (or deliver) Assisted Home Performance with ENERGY STAR or EmPower New York	ENERGY STAR Contractor
Participating Contractor in the Assisted Home Performance with ENERGY STAR® program or EmPower New York program	Assisted Home Performance with ENERGY STAR Contractor
	EmPower Contractor EmPower New York Contractor
	New York's Home Performance Contractor
	NYSERDA Contractor
	Department of Energy Contractor
Discounts Incentives Grants Rebates	Free money Bounties

### Recommended Language and Messaging- Assisted Home Performance with ENERGY STAR

NYSERDA conducted in-depth research with homeowners across the state. Based on those insights, NYSERDA has developed Assisted Home Performance with ENERGY STAR Program messaging that is more likely to motivate homeowners to take advantage of the program. This

messaging can be used freely in your own outreach to build awareness and — most importantly — understanding of Home Performance benefits. We encourage you to use this messaging on your website, in advertising materials, or anywhere else you would like to include it. Repetition and consistency build the effectiveness of marketing messages; the more we can collectively educate our target audiences, the easier the final sale will be.

The following are recommended messaging and wordings to use in promotional and marketing materials.

### **Long Messaging**

**Option 1:** Lower energy bills and a more comfortable home start with a comprehensive home energy assessment. The energy assessment analyzes how each element of your home works together to provide a top-to-bottom look at where you're wasting energy — and what you can do to fix it. It's just one of the ways the Assisted Home Performance with ENERGY STAR® program makes it easy and affordable for homeowners to upgrade the energy efficiency of their homes and improve their quality of life.

**Option 2:** Take control of your energy bills with a comprehensive home energy assessment through the Assisted Home Performance with ENERGY STAR® program. An energy assessment analyzes how all the elements of your home work together as a system to uncover where the biggest energy efficiency gains can be made. It makes it easy and affordable for the savvy homeowner to invest in a more energy-efficient home. Thousands of New York State residents have already lowered their energy bills — and so can you.

### **Medium-Length Messaging**

**Option 1:** Lower energy bills and a more comfortable home start with a comprehensive home energy assessment through the Assisted Home Performance with ENERGY STAR® program. The energy assessment analyzes how each element of your home works together to provide a top-to-bottom look at where you're wasting energy — and what you can do to fix it.

**Option 2:** Take control of your energy bills with a comprehensive home energy assessment through the Assisted Home Performance with ENERGY STAR® program. It makes it easy and affordable for the savvy homeowner to invest in a more energy-efficient home.

### **Short Messaging**

**Option 1:** Lower energy bills and a more comfortable home start with a comprehensive home energy assessment through the Assisted Home Performance with ENERGY STAR® program.

**Option 2:** Take control of your energy bills with a comprehensive home energy assessment through the Assisted Home Performance with ENERGY STAR® program.

### **Recommended Language and Messaging- EmPower New York**

NYSERDA conducted research among lower-income New Yorkers to help understand the attitudes and behaviors related to household energy efficiency, perceptions of the EmPower New York program, and motivators and barriers to program participation. Based on those insights, NYSERDA developed messaging to speak directly to those most likely to engage with EmPower New York.



While marketing of EmPower New York should be limited, if you promote the program, we encourage you to incorporate the messaging below into your outreach. Any advertisements via mass media (such as TV, radio, print, online) must first be approved by NYSERDA by contacting [David.Friello@nyserdera.ny.gov](mailto:David.Friello@nyserdera.ny.gov).

### **Long Messaging**

**Option 1:** Make your home or apartment more energy efficient. Income-eligible New Yorkers can get no-cost upgrades that reduce energy bills. Upgrades may include air sealing, added insulation, and new energy-efficient light bulbs. Now you don't have to choose between paying utility bills and other necessities.

**Option 2:** Want to stay warm and lower your energy bills? EmPower New York helps income-eligible New Yorkers improve the energy efficiency of their homes through no-cost energy upgrades. Upgrades may include air sealing, added insulation, and new energy-efficient light bulbs.

### **Medium-Length Messaging**

**Option 1:** Lower energy bills mean extra money in your pocket, month after month. Take advantage of no-cost energy upgrades from EmPower New York, available to income-eligible New Yorkers.

**Option 2:** High Energy Bills making you uncomfortable? Lower your energy costs with no-cost energy upgrades. Everyone should be comfortable at home. That's why EmPower New York provides income-eligible New Yorkers with no-cost energy upgrades.

### **Short Messaging**

**Option 1:** Raise your comfort level and lower your energy bill with no-cost energy available to income-eligible New Yorkers. EmPower New York- a better life begins at home.

**Option 2:** Energy efficiency is one of the easiest ways to save money. EmPower New York provides income-eligible New Yorkers with no-cost energy upgrades.

### **Marketing Materials**

As a contractor in Assisted Home Performance with ENERGY STAR and EmPower New York, you have exclusive access to a variety of marketing materials. These materials include promotional and educational tools that have been designed to help you grow your Home Performance contracting business. To review available materials, please visit:

<https://services.nyserdera.ny.gov/clearesult/>.



## Sample Contract and Work Scope

After the Participating Contractor and the homeowner agree upon the work to be performed, the Participating Contractor must present the homeowner or a duly authorized representative with a written contract that clearly itemizes all work to be performed and the corresponding price for each measure. A sample contract template has been provided for **reference purposes only**. This template is not an Assisted Home Performance with ENERGY STAR® form. Participating Contractors are free to use their own standard contract; however, any contract must be signed by both the Participating Contractor and the homeowner/representative. The signed contract must be submitted to the Program.

It is important to emphasize to any prospective customer that Participating Contractors are **independent** home improvement contractors. Participating Contractors are required to maintain certifications for the work they are performing through the Program.

NYSERDA, through its Quality Assurance Implementer inspects a sample of completed Assisted Home Performance with ENERGY STAR projects to ensure quality, consistency and compliance (including adherence to BPI health and safety standards). Participating Contractors must warrant their own work. Neither NYSERDA, the Program Implementation Contractor, nor the Quality Assurance Implementer warrants the products and/or services of the Participating Contractor.



**NYSERDA**

**Sample Contract/Work scope**

**HOME IMPROVEMENT COMPANY**

**ADDRESS**

**CONTRACT**

Homeowner's

Name \_\_\_\_\_ Date \_\_\_\_\_

Address \_\_\_\_\_

Job Location \_\_\_\_\_

City, State, Zip Code \_\_\_\_\_

Home Phone # \_\_\_\_\_ Cell Phone # \_\_\_\_\_

Home Performance Contractor's Representative Name \_\_\_\_\_

Approximate Project Start Date \_\_\_\_\_

Approximate Project Completion Date \_\_\_\_\_

Does the project need to be completed by a certain date? Yes \_\_\_ No \_\_\_

**DESCRIPTION OF LABOR/MATERIALS & PRICES (subtotals preferred)**

**Insulation (specify surface type, approximate sq ft, material, depth, and scope of work)**

Insulate 800 sq ft of attic floor

\$COST

Blow cellulose, 12" loose fill on top of existing 3" fiberglass (R-50)

Baffle as needed to keep insulation out of soffit vents and deter windwash

Includes building foam board retaining wall around attic hatch

Includes weather stripping and attaching 2" foam board to attic hatch

Installation of 3 roof vents

Insulate 200 sq ft of floor behind the knee wall

\$COST

Drill holes into attic floor to access uninsulated floor cavities

Blow 6" dense packed cellulose (R-19) into all accessible cavities of the attic floor

Use wooden plugs to patch drilled holes



Insulate 1000 sq ft of exterior sidewalls

\$COST

Install 3.5" dense packed cellulose (R-12)

Includes remove & reinstall siding, drilling, filling, and clean up

Crawlspace – spray approx 100 sq ft of crawlspace walls with 3" closed cell spray foam

\$COST

General attic air sealing

\$COST

Seal visible air leaks with spray foam or other appropriate material

Seal plumbing and electrical penetrations

Seal other significant leaks as determined by blower door testing

**Windows (specify quantity, type, and where being installed)**

\$COST

Install 2 double hung, triple pane, Low-E Argon windows in MBR

Install 1 ENERGY STAR rated double pane picture window in dining room

Install 4 hopper windows in basement

Install 1 double pane patio door in kitchen, U-.32

**Doors (specify quantity, type, and where being installed)**

\$COST

Remove existing front door and install 1 new ENERGY STAR rated entry door

Install 1 new storm door in front entry

\$COST

**HVAC (include make, model, system specifications, and scope of work)**

Install (Make) natural gas furnace (Model#) 90,000 Btus, 95% AFUE, with ECM motor

\$COST

Furnish and install new supply and return air ductwork

\$COST

Provide and install 1 programmable thermostat

\$COST

Provide and install new chimney liner

\$COST

Install (Make) natural gas (Model#) 40 gallon hot water heater with energy factor of 0.67

\$COST

Install (Make) (Model#) 2.0 ton 14.5 SEER air conditioner

\$COST



**Health & Safety (must specify each measure being performed by contractor)**

Vent existing bath fan

\$COST

Provide and install new CO detector

\$COST

**Lighting (specify type and quantity)**

\$COST

Provide and install 8 20-watt CFLs

**Appliances (include make and model number)**

ENERGY STAR clothes washer (Make) (Model#)

\$COST

ENERGY STAR refrigerator (Make) (Model#)

\$COST

<p>SCHEDULE OF PAYMENTS (Contractor to show amount of each payment and specifically identify the state of completion of the works or services to be performed including any materials to be supplied before each such progress payment is due.)</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
---

Sub Total \_\_\_\_\_

Tax \_\_\_\_\_

Total Price \_\_\_\_\_

**NOTICE OF CANCELLATION**

The homeowner may cancel this contract at any time prior to midnight of the third business day after the date of this transaction. See the attached notice of cancellation form for an explanation of this right.

**ACCEPTANCE OF CONTRACT**

The condition specifications and prices stated on both sides herein are satisfactory and are hereby accepted. The Contractor is authorized to do the work as specified. Payment will be made as outlined above. A copy of this agreement will be furnished to the homeowner upon signing.

\_\_\_\_\_  
Homeowner's SIGNATURE Date

\_\_\_\_\_  
Contractor's SIGNATURE Date





(Continued)

### ADDITIONAL TERMS, PROVISIONS AND CONDITIONS

1. Any contractor, subcontractor, or materialman who provides home improvement goods or services pursuant to your home improvement and who is not paid may have a valid legal claim against your property, known as a *Mechanic's Lien*. Any Mechanic's Lien filed against your property may be discharged. Payment of the agreed upon price to the Home Performance Contractor prior to filing of a Mechanic's Lien may invalidate such lien. The homeowner may contact an attorney to determine his/her rights to discharge a Mechanic's Lien.
2. The homeowner may require the recipient or Contractor to deposit the initial advance in an escrow account. In lieu of such deposit, the Contractor may post a bond or contract of indemnity with the homeowner guaranteeing the return of such advance.
3. The Contractor will clean up and remove from the homeowner's property all project-related debris and unwanted materials when the work is completed.
4. The Contractor will carry Workman's Compensation and Contractor's Liability Insurance.
5. The Contractor agrees to procure all required permits in accordance with all applicable local laws. The Contractor is responsible for knowledge of and compliance with all applicable laws, ordinances, rules, and regulations.
6. Any additional home performance work not specified in the original contract must be agreed upon in advance, in writing, signed by both parties. The revised contract must be provided to the homeowner prior to commencing the additional agreed upon work. Prior to work commencing the revised work scope must be approved by the Program. The terms of the original contract shall be incorporated into any additional agreements.
7. In the event that any defects in workmanship or equipment is discovered within one (1) year after payment authorization, the Contractor will remedy, repair, correct, or cause to be remedied, repaired, corrects, or replaced at the Home Performance Contractor's expense. The Contractor shall disclose all terms, conditions and the period of time covered thereby of any guarantee or warranty it offers to the homeowner. The following guarantee/warranty is applicable:

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(Continued)

### NOTICE OF CANCELLATION

\_\_\_\_\_  
(Enter date of transaction)

The homeowner may cancel this transaction without any penalty or obligation, within three business days from the above date.

If the homeowner cancels, any property traded in, any payments made by the homeowner under the contract or sale, and any negotiable instrument executed by the homeowner will be returned within 10 business days following receipt by the Contractor of the homeowner's cancellation notice, and any security interest arising out of the transaction will be cancelled.

If the homeowner cancels, they must make available to the Contractor at the homeowner's residence, in substantially as good condition as when received, any goods delivered under this contract or sale; or the homeowner may, if they wish, comply with the instruction of the Contractor regarding the return shipment of the goods at the Contractor's expense and risk.

If the homeowner does make the goods available to the Contractor and the Contractor does not pick them up within 20 days of the date of the homeowner's notice of cancellation, the homeowner may retain or dispose of the goods without any further obligation. If the homeowner fails to make the goods available to the Contractor, or if the homeowner agrees to return the goods to the Contractor and fail to do so, then the homeowner remains liable for performance of all the obligations under the contract.

To cancel this transaction, mail or deliver a signed and dated copy of this cancellation notice, or any other written notice, or send a fax to: (Name of Home Performance Contractor : \_\_\_\_\_)

At (address of Home Performance Contractor's place of business: \_\_\_\_\_)

Not later than midnight of \_\_\_\_\_.

I HEREBY CANCEL THIS TRANSACTION.

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Homeowner's signature)

## Alternatives to Duct Pressurization Testing for Determining Duct System Efficiency

Duct pressurization tests are the most common tests performed on duct systems. They are similar to pressure testing of building envelopes in that the test measures airflows at specified pressure differences. To perform a pressurization test all the registers in a system must be covered and a measured amount of air is blown into the ducts using a duct pressurization device, essentially a small blower door. The measurement of the duct pressure, or the amount of “pressurization”, indicate how leaky the ducts are. Historically, duct pressurization testing has been the only testing method recognized by the Program and is considered the most accurate and preferred testing method.

However, duct pressurization testing can be time-intensive, and impractical in some cases. As a result of the difficulties in testing, duct sealing and duct insulation improvements are not always quantified or reported to the program, which has resulted in a lost opportunity for the program to report energy savings. The Program is striving to maximize savings, especially the kWh savings that can be achieved through quantifying duct sealing and insulation benefits related to cooling systems.

To address the difficulties in performing duct pressurization testing, the following methods for quantifying duct leakage and duct improvement will be recognized in the Program:

1. A method complying with the ASTM standard for measuring duct leakage (ASTM E1554-94 (1994)), which includes:
  - a. duct pressurization; and
  - b. blower door subtraction
2. *Delta Q* method as developed by Lawrence Berkeley National Laboratory described in document ([LBNL 47308](#))
3. Use of the [Distribution Efficiency Look-up Table](#) as published on Page 7 of the Building Performance Institute (BPI) Technical Standards for the Heating Professional (Revision: 11/20/07 mda).

Information related to the ASTM standard methods and the *Delta Q* method may be found online and by consulting the user manuals of the various duct diagnostic equipment.

Of all the methods, the Distribution Efficiency Look-up Table method is considered to be least complex, and requires no specialized testing equipment. Furthermore, once determined by using the look-up table, the distribution efficiency can be input directly into the program modeling software, readily quantifying the benefit of duct sealing or insulation improvements and the related savings. Program contractors are encouraged to use the Look-up table method whenever duct system improvements are being performed, and other testing methods are considered impractical.



For more information on any of the duct system testing methods, please contact your Account Manager.

Example:

Using the Distribution Efficiency Look-up Table in the BPI Heating Professional standards, a house with 50% or more of the ducts inside the building envelope, some observable leaks, and the ducts are uninsulated would have an estimated distribution efficiency of 78%.

Distribution Efficiency	90% or more inside envelope	50% or more inside envelope	less than 50% inside envelope	Connections sealed w/mastic	No observable leaks	Some observable leaks	Significant leaks	Catastrophic leaks	Ducts outside envelope R-8 or greater	Ducts outside envelope R-4 - R-7	Ducts outside envelope < R-4
90%		XXX		XXX					XXX		
89%		XXX		XXX						XXX	
88%		XXX		XXX							XXX
84%		XXX			XXX				XXX		
83%		XXX			XXX					XXX	
82%		XXX			XXX						XXX
80%		XXX				XXX			XXX		
78%		XXX				XXX				XXX	

Once the connections are sealed with mastic, the new distribution efficiency would be 88%.

Distribution Efficiency	90% or more inside envelope	50% or more inside envelope	less than 50% inside envelope	Connections sealed w/mastic	No observable leaks	Some observable leaks	Significant leaks	Catastrophic leaks	Ducts outside envelope R-8 or greater	Ducts outside envelope R-4 - R-7	Ducts outside envelope < R-4
90%		XXX		XXX					XXX		
89%		XXX		XXX						XXX	
88%		XXX		XXX							XXX
84%		XXX			XXX				XXX		
83%		XXX			XXX					XXX	
82%		XXX			XXX						XXX

In TREAT, the duct sealing improvement could then be modeled as 78% existing estimated total distribution efficiency, being increased to 88% proposed estimated total distribution efficiency. The duct test leakage would be left at the default (50 CFM25) since the duct leakage to outside was not actually tested.

Estimated Total Distribution Efficiency, %	88	78
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## **Tips and Solutions to Solve Water Heater Venting Issues**

In situations where a water heater is found to have draft spillage into the combustion zone or fails Combustion Appliance Zone (CAZ) testing, Building Performance Institute (BPI) standards require that the situation be remedied. While the replacement of the water heater with a power-vented unit is sometimes an appropriate solution, other measures must be considered and implemented as appropriate.

1. Inspect and clear the flue pipe of any blockage: Typically this can be accomplished by unscrewing and disconnecting the flue pipe from the appliance and chimney. Use of a telescoping mirror is an easy and effective method to inspect the condition of the chimney for any blockage. A second inspection from the top of the pipe may determine whether the pipe is crushed or rotted, or identify blockages such as bird nests. Removal of such blockages is often an easy repair.

2. Vent reconfiguration: If the issue has not been resolved after inspecting and clearing the flue pipe of any blockage, the contractor should examine the flue pitch and orientation of the appliance. If the pitch is incorrect, or if the flue configuration consists of more than two elbows, long runs or other elements that may cause air resistance, improvements to the flue should be considered.

At junctions where the heating system vent merges with the water heater vent, problems may be caused by pressure differences in the exhaust gasses. If the water heater vents into the chimney below the heating system, or if the water heater vents into the heating system flue at a 90-degree angle, back drafting may sometimes be the result. Adjustments to the flue arrangement or installation of a 45-degree angle junction may solve the problem.

3. Power vented heating systems: If the home has a power vented heating system with an open air intake to the basement, this may cause a decrease in CAZ pressure and the draft of the water heater may fail as a result. Extending the air intake to the outside may solve this problem. In situations where the power vented heating system shares a vent with the water heater, the power vented heating system may cause a positive pressure in the water heater vent. Adjustments may be made to the vent to ensure the water heater vent is under negative pressure when the heating system is operating.

4. Relocating the unit: Sometimes the water heater is located too far from the chimney; relocating the unit closer to the exhaust point may improve the pitch and shorten the run before exhaust.

5. Installation of a weighted damper into the CAZ: This approach creates an additional path for air to enter and may improve CAZ depressurization. This opening serves as the “path of least



resistance” for fresh air to flow into the CAZ, typically correcting a draft issue. (In some situations, however, it may not address a spillage issue.)

6. Install a chimney liner: If a chimney is not lined, lining may enhance the draft. The installation of a chimney liner is a code requirement in most areas when a water heater is orphaned. The lining must be appropriately sized. The chimney must be inspected for stability: a crumbling or deteriorated chimney is not a good candidate for chimney lining.

In evaluating the options above, age of the water heater and relative cost of measures must be taken into consideration. Keep in mind that local building codes must be followed. In some instances, specific codes related to mobile homes may also apply. Please be sure to consult with your Regional Rep/Account Manager when proposing these strategies.



NYSERDA

## **Disposal of Mercury-Containing Thermostats**

Since 2005, New York State has prohibited the disposal of mercury-containing thermostats in the trash. On December 18, 2013, the [Mercury Thermostat Collection Act of 2013 \(Act\)](#) was enacted which will provide for the mandatory and sound management of out-of-service mercury-containing thermostats by providing homeowners and contractors with more convenient opportunities for the safe drop off and recycling of mercury thermostats, thereby diverting them from being disposed of in landfills and municipal waste combustion facilities.

The Act requires thermostat manufacturers to establish and maintain a program for the collection, transportation, recycling, and proper management of out-of-service mercury thermostats at no cost to contractors or other persons participating in the program. Manufacturers are required to:

- By July 1, 2014, compile a list of thermostat wholesalers in the state, offer them collection containers and make collection containers available to all qualified contractors, thermostat wholesalers, retailers, and local governments that request containers.
- Beginning July 1, 2014, conduct education and outreach efforts, including establishment of a website that provides for the identification of collection sites and the development of materials for distribution by wholesalers, retailers, contractors and local governments.

The Act also requires state agencies such as NYSERDA, which administer programs that promote energy efficiency through upgrade, replacement, and/or removal of heating, ventilation, and air conditioning (HVAC) systems, to inform contractors of their statutory obligation to deliver removed or replaced mercury-containing thermostats to a mercury thermostat collection site as well as the prohibition of disposing of mercury-containing thermostats in a solid waste management facility.

Contractors can locate authorized mercury-containing thermometer collections sites through <http://www.thermostat-recycle.org/>, by contacting local HVAC wholesalers, or their local solid waste authority. For additional information on the Act, frequently asked questions and the proper procedures for the cleanup of small mercury spills, please visit the New York State Department of Environmental conservation website at <http://www.dec.ny.gov/chemical/92655.html>.

## Guidance on Oil and Petroleum Spills

In the event you come across an oil or petroleum spill, the NYS Department of Environmental Conservation recommends that anyone with knowledge of a spill, contacts the NYS Spill Hotline at 1-800-457-7362 except meeting all criteria noted below:

- The quantity is known to be less than 5 gallons; and
- The spill is contained and under the control of the spiller; and
- The spill has not and will not reach the State's water or any land; and
- The spill is cleaned up within 2 hours of discovery.

A spill is considered to have not impacted land if it occurs on a paved surface such as asphalt or concrete.

For more information about oil spills and reporting please visit the DEC's website at <http://www.dec.ny.gov/chemical/8692.html>.



## **Combustion Efficiency Test Labels**

It is highly recommended to provide combustion efficiency test results to the homeowner at the post inspection. These results are best displayed on a highly visible surface of the tested system. The combustion efficiency labels attached are an optional tool for displaying these results. These labels are designed to print on printer label paper, such as:

- Avery shipping label, 6 per sheet – 3 1/3\*4
- World Label WL-150 | Shipping Label
- Jam® Paper 3 1/3" x 4" Mailing Address Label, White, 6 Labels per Page
- or other comparable products.

**NOTE: When printing, make sure to print only page 2 of this document to avoid wasting sticker paper.**

<b>CONTRACTOR:</b>		Date
Stack Temp	C02/02	Smoke
CO	Draft, Breech	Over Fire
Auditor:		SSE
Address/Ph		
Signature		
Filter Size:		
Notes		

<b>CONTRACTOR:</b>		Date
Stack Temp	C02/02	Smoke
CO	Draft, Breech	Over Fire
Auditor:		SSE
Address/Ph		
Signature		
Filter Size:		
Notes		

<b>CONTRACTOR:</b>		Date
Stack Temp	C02/02	Smoke
CO	Draft, Breech	Over Fire
Auditor:		SSE
Address/Ph		
Signature		
Filter Size:		
Notes:		

<b>CONTRACTOR:</b>		Date
Stack Temp	C02/02	Smoke
CO	Draft, Breech	Over Fire
Auditor:		SSE
Address/Ph		
Signature		
Filter Size:		
Notes		

<b>CONTRACTOR:</b>		Date
Stack Temp	C02/02	Smoke
CO	Draft, Breech	Over Fire
Auditor:		SSE
Address/Ph		
Signature		
Filter Size:		
Notes:		

<b>CONTRACTOR:</b>		Date
Stack Temp	C02/02	Smoke
CO	Draft, Breech	Over Fire
Auditor:		SSE
Address/Ph		
Signature		
Filter Size:		
Notes		

## Estimated Water Waste from a Dripping Faucet/DHWT

Drips in 30 seconds	Estimated Yearly Waste (gallons)	Estimated kWh Yearly Loss	Estimated therm Yearly Loss
1	105.5	18	0.6
2	211.0	36	1.2
3	316.5	54	1.8
4	421.9	72	2.5
5	527.4	90	3.1
6	632.9	108	3.7
7	738.4	126	4.3
8	843.9	144	4.9
9	949.4	162	5.5
10	1,054.9	180	6.1
11	1,160.3	198	6.7
12	1,265.8	215	7.4
13	1,371.3	233	8.0
14	1,476.8	251	8.6
15	1,582.3	269	9.2
16	1,687.8	287	9.8
17	1,793.3	305	10.4
18	1,898.7	323	11.0
19	2,004.2	341	11.6
20	2,109.7	359	12.3
21	2,215.2	377	12.9
22	2,320.7	395	13.5
23	2,426.2	413	14.1
24	2,531.7	431	14.7
25	2,637.2	449	15.3
26	2,742.6	467	15.9
27	2,848.1	485	16.5
28	2,953.6	503	17.2
29	3,059.1	521	17.8
30	3,164.6	539	18.4

Gallons wasted and energy loss is rounded. For Informational Purposes Only.

Information Source: Water Audits and Leak Detection © 2009 American Water Works Association.

Energy loss calculation assumes 70 degree difference in hot water temperature at 120 degrees and annual average outdoor temperature of 50 degrees. Calculation derived from TecMarket Works

Manual: New York Standard Approach for Estimating Energy Savings from Energy Efficiency Programs June 16, 2009.

**Q: How does lowering your thermostat save you money?**

**A:** For every degree a thermostat is set back for 8 hours, you save approximately 1% of your heating bill.

It actually costs less to warm up a cool house than it does to keep the house at a constant higher temperature.

Calculate how much you can save below:						
	8-Hour Period	Current Temperature		New Temperature		Degrees Reduced
<b>Step 1</b>	Mornings and Evenings	°F	–	°F	=	
	Day-time Hours (Work and School)	°F	–	°F	=	
	Night-time Hours (Sleeping)	°F	–	°F	=	
<b>Step 2</b>	Total Percentage Savings: Add the degrees reduced (step 1) and divide by 100 (ex: if degrees reduced equals 5, use 0.05)					
<b>Step 3</b>	Estimated Heating Costs: Refer to your utility or fuel bill(s) and estimate cost to heat home for one season					\$
<b>Step 4</b>	Savings: Multiply your Total Percent Savings (step 2) by your Estimated Heating Costs (step 3) to see how much you may save by adjusting your thermostat					\$

# ENERGY SAVINGS ACTIONS



To reduce my monthly energy costs, I will take the following actions:

Actions	Results
1	
2	
3	
4	
5	
6	
7	

Name: \_\_\_\_\_

Every small action can lead to BIG energy savings and money in your pocket.

## **Gas Leak Safety Procedure for Contractors**

1. When conducting audits or work and a gas leak is found, the Contractor should determine immediately if the natural gas or propane odor is “strong” or “weak”.
2. If the odor is strong, advise everyone in the home to exit the premises immediately and the Inspector should exit also. Do not strike a match, use telephones, switch on or off electrical appliances, lights, or even a flashlight in the area where you smell gas. These items can produce sparks that might ignite the gas and cause an explosion.
3. If the odor is weak, open windows to air out the area and mark the location of the gas leak. Report the information to the household.
4. In all cases of natural gas, advise the household to call the appropriate number below to report the gas emergency (from a phone outside of the home). If propane, the household should call their propane supplier.

### **NATURAL GAS UTILITY**

Consolidated Edison Company of NY, Inc.  
Keyspan Energy Delivery (National Grid)  
National Fuel Gas Company  
New York State Electric & Gas Corporation  
Central Hudson Gas & Electric  
National Grid  
Orange and Rockland Utilities, Inc.  
Rochester Gas & Electric Corporation  
St. Lawrence Gas Company, Inc.

### **24-HOUR EMERGENCY PHONE NUMBER**

1-800-752-6633  
1-718-643-4050  
1-800-444-3130  
1-800-572-1121  
1-800-942-8274  
1-800-892-2345  
1-800-533-5325  
1-800-743-1702  
1-800-673-3301

# Internal Quality Management: Contractor Best Practices

**Internal Quality Management (IQM) is the system of Quality Assurance activities undertaken by a contractor to ensure that work is performed in a manner that is safe and efficient, fulfills the conditions of the contract, meets program requirements, and maintains profitability.**

**Balancing these needs can be a challenge. To assist, here are a number of suggestions for effective IQM. These ideas come from Participating Contractors in NYSERDA's Home Performance with ENERGY STAR and EmPower New York programs, during the 2017 NY Residential Existing Homes Contractor Regional Meetings. There are also a few added suggestions from Program staff. While some of the suggestions may seem very basic and obvious to business owners and managers, having practices and policies in one place is a good way to ensure everyone on your team is on the same page about how your business operates and what your expectations are of your crews.**

**Not all of these strategies work for all contractors; choose the ones that help you succeed. Then create an Internal Quality Management plan that suits your needs.**

**Thanks to all who contributed their ideas and expertise!**

## **Setting yourself up for success**

- **Ensure quality suppliers**
  - **Install materials and equipment with a proven track record, from suppliers with a demonstrated capability to respond to the needs of the customer, should a problem occur.**
  - **Review product literature carefully, and share relevant information with the customer.**
  - **Check product reviews.**
  - **Verify that technicians capable of servicing the equipment are available in the area to respond to the customer's needs in a timely manner.**
- **Make sure that your equipment is well maintained. Set up a regular schedule for calibration of all test equipment and make sure staff understand why it is important to stick to it.**
- **Review Program requirements and develop a standardized plan for collecting, reviewing and submitting required documentation.**

## Hiring

- Make a list of the core competencies of your business - the skills and certifications that you need to succeed and determine how they apply to each position in your organization.
- Job hunter Websites can be useful in finding prospective applicants.
- Some useful ways to evaluate skills before you hire:
  - Aptitude testing
    - Math problems similar to the math used in your work
    - Handing the job applicant a tape measure and a note pad and having them calculate the square footage of your building
  - Test a prospect's abilities by having them perform common tasks, such as caulking, or weather-stripping and insulating an attic hatch.
  - Collaborate with a training organization, and use one of the training pressure houses or another training facility to have the prospect perform skill testing, such as blower door diagnostics or identification of common ventilation issues.
  - On an application, include questions that might normally be taken for granted when someone applies for a job with your company, such as:
    - Do you own a hammer and a pry bar? (Or other tools that indicate some experience)
    - Are you comfortable working on ladders?
    - Are you comfortable working in confined spaces?
- In addition to calling listed references, look at online ratings and customer feedback from places of prior employment. This is particularly useful if the candidate was previously self-employed.
- Consider multiple points of contact before hiring. One contractor does the following:
  - A preliminary screening phone interview
  - A follow-up informal lunch meeting, to get a sense of the interpersonal style of the applicant
  - A final meeting
- Establish a probation period for new hires. Some options for components:
  - An initial review after 30 days, to check in on work quality and offer corrections
  - An initial start at a lower salary, to be increased after a successful review
  - A final determination after 90-days
  - New hire shadows more experienced staff
  - New hire is asked what they learned each week
  - New hire completes a "self-review"
  - New hire proposes a work scope to be critiqued by more experienced staff



- Implement a mentor program until staff member is fully trained. Ensure mentors are open to questions, regardless of how fundamental they may be, and understand how being mentors also benefits them.
- If it is your policy, letting staff know that you typically promote from within the company can be a strong motivator for existing or potential new staff.

### **Training**

- Do not assume that a worker with years of experience and training is at the top of his game. Contractors have been known to say, “I did this work a certain way for years, and I thought I was doing the best work possible for my customers. Once I learned about building science, I realized I had been doing it wrong all this time, and I immediately changed my practices.” One contractor even stated, “I even went back to previous customers to make some changes.” In other words, while technicians may have received good training in the past, the performance of cutting-edge energy efficiency work requires a constant search for new and innovative approaches, and updating of skills.
- Crew members may not always understand the importance of the task that they are completing--especially in a hot attic on a summer day! Motivate staff by explaining:
  - The rationale for doing things in a specific way from a technical perspective
  - How their work will impact the home and those living there
  - The “big picture” of saving energy, fighting global warming, reduction carbon
- Hold weekly/bi-weekly/monthly meetings to provide training – include all staff (sales, installers, office and auditor) to make sure everyone is on the same page.
- Training options to consider:
  - Manufacturers
  - Building Performance Institute (BPI)
  - Trainings available through the Program
  - NYS Weatherization Director’s Association (NYSWDA)
  - The Association of Energy Affordability (AEA)
  - Green Jobs Training Center
  - Community College building science programs
  - BOCES
  - Northeast Energy Efficiency Partnerships (NEEP)
  - Building Performance Contractors Association (BPCA)
  - Efficiency First of New York
  - Home Performance Coalition
  - On-line videos—often short and sometimes viewable in the field

- Create guidelines, with pictures and diagrams, that can be read from a tablet.
- Cross train staff so that they are knowledgeable in many areas. This can not only help ensure efficiency for your business, but also motivate crew members, and give them a break from routine.
- Support workers who improve skills through training by providing rewards, such as bonuses, recognition, pay raises, gift certificates, etc.
- Make sure that staff are familiar with standards and guidelines; give short quizzes of challenging areas.
- Train your staff in appropriate customer interactions. Some topics to consider:
  - Appropriate language, dress and decorum
  - Sensitivity to cultural differences
  - Active listening
- Make sure that your staff is trained not to make promises that will not be fulfilled.
- Some workers do excellent work but hate paperwork. If possible, consider aligning skills and preferences with worker capabilities.

### **Auditing/Selling**

- Ensure that the proposal offers an answer to the concern that caused the customer to reach out to you. Look for their real need; it may not be exactly what they think they want. You may have a measure available that suits their needs better than the one they asked for, and you will need to explain why that is a better solution. If so, be sure to explain why it is a better solution in language that is clear to the customer.
- Ensure that savings estimates are realistic.
- Be sure to offer the customer a full range of options, but be sensitive when their need or desire is more selective. Suggest creating options for the customer, with a good explanation of the expected results each option.
- Be well versed in the impacts of your work on comfort, savings, property value, safety, and the environment.
- Prepare a thorough work order.
- Take pictures during the audit to print out for crew members and show what they will be working on. Create a map of where the pictures fit into the drawing of the jobsite.
- Review the [Selling Efficiency Series](#) offered through NYSERDA and developed by industry expert Mike Gorman.

## Preparing for a Job

- Assess the likelihood and impact of risks to project objectives, both to the customer and to your business.
- Determine the necessary safety precautions
  - Identify possible jobsite hazards
  - Identify appropriate personal protective equipment (PPE), such as respirators or fall protection
- Familiarize yourself with all safety requirements and manufacturer's requirements related to equipment/materials to be installed and ensure that requirements are met.
- Ensure that work conforms to all appropriate guidelines, and obtain all permits required by law.
- Inform the customer **BEFORE THE CONTRACT IS SIGNED** of any long-term maintenance required on the equipment you install. Include the estimated cost. Provide the customer with a print-out of maintenance requirements.
- Clearly explain the use of any sub-contractor to the homeowner prior to signing a contract. Provide subcontractor name and contact information. Emphasize your role in ensuring the quality of the subcontractor's work.
- Consider a single point of contact with customer, such as the crew chief. This will reduce the risk of multiple staff members providing the customer with different information.
- Double check all calculations and ensure building specifications are correct.
- Create a visual timeline that you can use to plan tasks, and dates for completion of each step in the project, such as:
  - A spreadsheet
  - A blackboard for tracking each project
  - Software designed for project tracking
- Develop a checklist that can be used to monitor completion of specific tasks during and at the end of the project. Include sign-offs and photo requirements.

## Work Process

- Keep work area as clean as possible during the project, and clean up after completion.
- Keep all employees in the loop on progress in the project, and notify them of any changes.
- Be on time at the start of every work day, and after breaks.
- Do your best to stay within the original budget.
- Customer Communication
  - Gauge customer satisfaction throughout the project, and inform the crew of your findings throughout
  - Give progress reports to customers and keep them involved in the process

- Any changes to the contract should be identified in a field change order and signed by the homeowner
- Keep track of repeat mistakes or quality issues:
  - If a staff makes the same mistake more than once or twice discuss the issue. Explore why it is happening, and be clear on what they need to do to avoid making the mistake again.
  - If more frequent, reassign, or use repeated failures as training opportunities.
- Record the results to all diagnostic tests performed, including date-stamped photos of blower door readings.
- Keep a record of the calculations used to arrive at a price proposal. Be sure they are available to crew members, and adjusted as needed if changes in the workscope occur.
- Have senior staff drop by the job site whenever practical.
- Skype or facetime to the job site when you can't be there in person.
- Use sign off sheets: have crew members initial the tasks that they complete each day and have a senior staff member review it every day.
- Track what is done each day on a tablet or document.
- Have crews take lots of pictures. Give crews cameras rather than having them rely on their cell phones—this can be more reliable when it comes to storing/downloading photos.
- Look into photo storage systems, with a photo file for each project. One contractor reported a system that, once set up, saved uploaded photos to date- and location-stamped files automatically.
- Seek out an app that allows for storing video files, maps, diagrams, and photos.
- Use scheduling software to track changes in scope/contract, with date stamps for changes.
- Develop an internal communication system that ensures that the right information is getting to the right people. For example, create a general company email account that all appropriate staff have access to. Then, assign a single staff member to monitor staff responses, to ensure that all appropriate follow-up takes place. Or create a company-wide secure on-line discussion board that allows multiple workers on a project to see discussions related to the project.

### **Project Completion**

- At the end of the project, perform a quality control inspection to evaluate the work and ensure that all components listed in the work order were actually installed.
  - If possible, have the inspection done by someone other than the crew members (who are sometimes very tired at the end of a project) such as a designated inspector, energy auditor or senior staff member.
  - Ensure that test out staff is able to make small repairs if needed. This will reduce sending the install crew back.



- To ensure a complete review, consider the use of a checklist, or a copy of the draft invoice in verifying that all work is done prior to billing. A sample checklist is provided below.
- Consider any missed opportunities for improvement.
- Repair any work-related damage you or your staff may have caused.
- Ensure all critical data regarding the project, such as contact data, project documents, photos, signoffs and critical communications is stored in an easily accessible database. Keeping a record can be invaluable in reducing future misunderstandings.
- Create a “lessons learned” log to be used as a guide for future projects or business policies.
- Host post completion staff meetings to highlight good work and learn from mistakes.
- Perform an internal audit - assign a person to look for discrepancies between how the company functions in comparison to your IQM plan. Is it being executed, or just a paper document? Make sure it is real. Stick to the strategies that help your work process, and discard the ones that get in the way.