

Forms and Required Documents

The following provides an overview of required forms and paperwork depending on the project type and if heat pump equipment is being installed.

Key: Required Not Required Unless Specified in Notes

	Homeowner		Landlord		Notes
	Full Comp/ Muni	Audit Install	Full Comp/ Muni	Audit Install	
Workscope Submission Documents					
Test In Form	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Landlord Agreement (aka Rental Property Energy Efficiency Services Agreement)	n/a	n/a	<input checked="" type="checkbox"/>	n/a	Tenant occupied enrollments; proof of ownership if switched from Audit Install
Utility/Fuel Bills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Contractor Collects, required for all projects where projected savings are over 30%. Waiver is acceptable for delivered fuels only.
House Diagram	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	With dimensions
Appliance Exchange Agreement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Only required if appliance is recommended
Workscope Submission Photos ¹	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
SHPO Form	<input type="checkbox"/>	n/a	<input type="checkbox"/>	n/a	Only required when SHPO approval needed
For Heat Pump Project Only- In addition to the above required forms					
Manual J or other ACCA approved equivalent	Contractor Provides for Review				
Manual S or equivalent sizing software such as NEEP sizing or the manufacturer sizing software for the equipment being installed that shows the % of load covered by the unit and % covered by supplemental heater if applicable					
AHRI Certificate for GSHP and NEEP Certificate for ASHP					
Weather Protection/Sound Dampening Documentation					
Photos ¹ Showing Proposed Indoor/Outdoor Equipment Installation Locations					
Photos ¹ of the Existing System					
Copies of all utility bills, including delivered fuels					
For Heat Pump Projects seeking the additional incentive, the following must be provided in addition to the above required forms					
Manual D as per ANSI/ACCA 1 Manual D 2016 w/AHRI Certification Document	Contractor Provides for Review				Required for New Ductwork
Accurate measurements of the supply/return and any runoffs from those plenums is required. In addition, proof the new system will work effectively with the existing ductwork by providing us with ductolator or equivalent measurements based off the CFM of the proposed unit and the size of the existing ductwork.					Required for Existing Ducted Systems
Floor Plan indicating Internal Head Placement per Manufacturer's Specifications					Required for Mini Split Systems
Final Project Submission Documents	Full Comp/ Muni	Audit Install	Full Comp/ Muni	Audit Install	Notes
Test Out Form	<input checked="" type="checkbox"/>	n/a	<input checked="" type="checkbox"/>	n/a	Required if any measure other than DI measures were proposed
Signed Contract	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Required for all moderate and low income projects, including audit only. Signed contract needs to align with approved workscope and be signed prior to the start of work. Any workscope changes from the contract must be included in a change order. A copy of the signed contract is required as part of final project submission. Where EmPower+ funding is covering the entire cost of the project, contracts with the customer should contain the following statement: "The contract price is being paid by NYSERDA through the EmPower+ program, for and on behalf of the customer." Where EmPower+ funding is paying for a portion of the work, contract with the customer should contain the following statement: "Part of the contract price is being paid by NYSERDA through the EmPower+ program, for and on behalf of the customer."
Final Project Submission Photos ¹	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Contractor Invoice (Invoice ProForma Report)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Subcontractor Invoice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Only required if subcontractor working on the project
Appliance Exchange Agreement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Only required if appliance is recommended



	Homeowner	Landlord	Notes
For Heat Pump Project Only- In addition to the above required forms			
Fully Completed Manufacturer's Commissioning Form, including dates. Photo of the Installed Unit and Photo ¹ of the Name Plate	Contractor Provides for Review		
Heat Pump Equipment Invoices			Model and Serial Numbers must be clear
Photos of the decommissioning of the existing heating system and copy of the Decommissioning Form			Required if using a sub-contractor for the install
Static pressure testing of the system with the new unit in place.			
Completed NYSERDA Heat Pump Form			Required only for existed Ducted Systems seeking the additional incentive.

¹ Photos will need to be geo-tagged, time-stamped and aggregated into a single PDF document. Submissions can be made with a commercial product such as CompanyCam or using the PNNL [Quality Install Tool](#) . Alternately, a contractor can create a visible geo-tag/time-stamp for each photo individually and aggregate the photos into a single pdf.