

EmPower+

Program Manual

August 2026



NEW
YORK
STATE

NYSERDA

New York State Energy Research
and Development Authority

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1. General EmPower+ Program Information

1.1 What Is EmPower+

NYSERDA's Single Family Residential Program, EmPower+ (Program), provides 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 of the State or Area Median Income, whichever is greater. Households identified as Tier 3, are considered moderate-income, meaning the household earns less than 80% of the Area Median Income or State Median Income, whichever is greater. Section 2.5 of this Program Manual outlines how NYSERDA determines the household income of a program applicant to NYSERDA's low- to moderate-income programs.

EmPower+ assists New Yorkers in improving the energy performance, durability, comfort, and safety of existing one-to-four-family homes throughout New York State.

The objectives of EmPower+ are to enhance the delivery of building performance services by using 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.

1.2 Implementation and Contractors

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

- Intake Implementation Contractor- Currently TRC
 - Provide customer support for prospective customers.
 - Review and approve EmPower+ applications.
 - Oversee the call center and help desk ticketing intake and triage through the application approval step.
- Technical Services Contractor - Currently CLEAResult
 - Assign Participating Contractors to approved applicants.
 - Provide Program and technical support as needed to Participating Contractors.
 - Review and approve project work scopes.

- Oversee Participating Contractor customer concerns and quality assurance compliance.
- Review Participating Contractor performance in the Program.
- Review and approve Participating Contractor project completion paperwork for payment.
- Submit biweekly invoices to NYSERDA for review and processing.
- Loan Originator - Currently SlipStream (formerly Energy Finance Solutions or EFS)
 - Review and approve loan applications.
 - Review and approve loans for eligible EmPower+ projects.
 - Distribute loan payments to Participating Contractors for completed projects.
- Quality Assurance - Currently Honeywell
 - Schedule Quality Assurance inspections for project completions and for households who requested them within one year of project completion
 - Perform in-field quality assurance inspections and report findings to Participating Contractor and Technical Services Implementor

1.3 External Contractors

NYSERDA has external contractors that provide program support services.

- Loan Servicing - Currently Concord
 - Following the completion of a project with a loan, the loan and associated project completion paperwork is transferred from SlipStream to Concord, who will then collect the loan payment from the customer.
 - Maintains the loan and payment processing until the loan obligation is fulfilled.
 - Following loan fulfillment, loan servicer will return customer documents to NYSERDA.
- [Regional 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.
 - Work with households to complete Program paperwork and foster them through NYSERDA's residential programs.

1.4 How the Program Works

1.4.1 Intake Implementation Contractor

- [EmPower+ Application](#)- Households looking to participate in the Program must complete the application and provide any requested documents. The Intake Implementation Contractor reviews applications and those approved will be designated either Low-Income (Tier 1) or Moderate-Income (Tier 3) eligible, based upon the provided income documentation.

1.4.2 Technical Services

- 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 auto assigned. Participating Contractors can accept or defer assignments based on their current capacity.
- Home Energy Assessments- Following the assignment of a Participating Contractor, the Participating Contractor will coordinate with the household a time for performing a home energy assessment. The home energy assessment is at no cost to the household. As part of the home energy assessment, the Participating Contractor will assess the current building and identify eligible energy upgrades for the household.
- In addition to the home energy assessment, Direct Install measures, as explained in Section 3.2, are available at no cost to EmPower+ households.
- Workscope 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. A contractor will submit the proposed work scope for the customer's project. After it is approved by CLEAResult, it will proceed to the Pipeline Management Approval workflow step. When the work scope has been approved for installation, the project will move to final project submission and NYSERDA will send an auto generated email to the customer, contractor, and Hub letting them know the work scope has been approved and is ready for installation. Participating Contractor must have the necessary certifications per Section 6.6 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 install measures and work with the household to have required project completion documents signed.

- Project Close Out/Payment- Participating Contractor submits completion documents to the Program, who reviews and if complete approves project for payout. Invoice packages are processed by NYSERDA twice per week.
- Quality Assurance- If selected for Quality Assurance, Participating Contractor will be notified and will be provided with the opportunity to join the inspection (unless otherwise indicated by the Customer). A report on the field inspection will be provided, and the Participating Contractor will be required to address any significant deficiencies noted.

2. EmPower+ Application Process

2.1 EmPower+ Application Section

The first step is to apply for incentives through the submission of an EmPower+ Application, directions to apply can be found at www.nyserda.ny.gov/empower-apply or <https://myenergy.ny.gov>. Additional information regarding EmPower+ can be found at www.nyserda.ny.gov/empower. When possible, it is recommended that the applicant complete the online application through MyEnergy as paper applications must be manually entered, resulting in additional processing times.

To apply to the EmPower+ Program, you will need the following:

Income Documentation

- Copy of entire award letter for HEAP (Home Energy Assistance Program), SNAP (Supplemental Nutrition Assistance Program, sometimes called “food stamps”), TANF (Temporary Assistance for Needy Families) or Supplemental Security Income (SSI) dated within the past 12 months. No additional income documentation is required.
- If you do not have an award letter, then you will need to document household income using one of the two options below:

Option 1: Provide all the applicable income outlined below.

- Paystubs: Four consecutive weeks of paystubs dated in the last 60 days
- Social Security and/or Social Security Disability: Copy of award letter
- Documentation of all forms of income. This can include disability, worker's compensation, unemployment, pension, maintenance, annuities, Veteran's benefits, and all other incomes.
- Self-Employment: IRS Report of quarterly earnings for the last three months

Or Option 2: Tax Return Information.

- 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).

Utility Information

- A copy of your itemized electric utility bill
- A copy of your gas utility bill or a bill from a fuel supplier if heating by propane, oil, kerosene, wood, or coal.

The program guidelines and income requirements for both Low-Income (Tier 1) and Moderate-Income (Tier 3) households are listed below. Current income thresholds for EmPower+ households can be found in the Income Limits section of the appendix or at www.nyserdera.ny.gov/empower-income.

The utility customer (who is also the NYSEDA program participant) must complete and sign an application with utility attestations for submission to NYSEDA by NYSEDA's approved contractor to allow NYSEDA to undertake statutorily authorized or regulatorily approved responsibilities including supporting clean energy market development initiatives, and other clean energy program evaluation and measurement activities. The NYSEDA contractor must upload either a scanned signed copy of the application or a pdf of the application with the customer's digital signature. The application must be signed by the person whose name appears on the utility account. After uploading the scanned copy, the paper form should be shredded or otherwise securely disposed of. Projects completed without an application are not eligible to receive NYSEDA incentives.

In accordance with the Public Service Commission's Efficiency & Building Electrification (EE/BE) Order to focus on certain customer types and to maintain a steady project pipeline, applications from these types will be given preference during times of increased application submissions:

- Referrals from utilities of customers participating in Energy Assistance Programs
- Customers in geo-graphic DACs
- Customers with high energy cost burden.
- Customers in areas that have been historically underserved by the program (Capital District, Hudson Valley, New York City, North Country)

2.2 Customer Authorization Methods

The following outlines the acceptable methods for securing customer authorization on the EmPower+ Application. When uploading to the MyEnergy Application Portal <https://myenergy.ny.gov>, the entire application should be uploaded, not just the signature pages.

For applications initiated by the homeowner/renter, the signature options are as follows:

- Customer utilizes DocuSign to electronically sign their application within the MyEnergy Application Portal itself. DocuSign is a native functionality within MyEnergy and an approved method of collecting electronic signatures.
- 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 MyEnergy Application Portal.
- 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 contractor or a NYSERDA Regional Clean Energy Hub (Hub), the signature options are as follows:

Note: The application should be initiated from the contractor or Hub's MyEnergy Portal Account and **not** from the EmPower+ landing page.

- A contractor or Hub 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 MyEnergy Application Portal.
- A contractor or Hub 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 Shared Services Implementor for manual processing.
- A contractor or Hub 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 MyEnergy Application Portal.
- A contractor or Hub 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 MyEnergy 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 EmPower+ Application can be found www.nyserdera.ny.gov/empower-apply.

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 Program support at support.residential@nyserda.ny.gov

- To review customer income eligibility, please refer to Section 2.5 and 2.6

2.3 Customer Eligibility

A determination of applicant eligibility will remain in effect for one year from the initial date of determination, during which no new documentation will be required unless the program receives information indicating that the applicant is no longer eligible or is now eligible under a different income level (e.g., a household initially determined to be moderate-income is now considered low-income). If a work scope is not submitted within that one-year period, the application will be cancelled, and the customer will need to reapply even if their income does not change.

2.4 Income Eligibility Determination and Acceptable Documentation

The following outlines how NYSERDA determines the household income of a program applicant to NYSERDA's low- to moderate income programs. Collectively, program applicants from these income levels are considered to be low-to moderate income (LMI) households. Current Low- and Moderate-Income Limits can be found in the Appendix Section.

All proof of income must have an address that matches the address of the property on the application. If a customer has recently moved, they need to provide a copy of one of the following documents, with the applicant's name and application address:

- Lease
- Deed
- Driver's License or non-driver ID
- Mortgage
- Property Tax Bill
- Utility Bill

If an applicant provides multiple income documents to the Program, NYSERDA will use the most recent for purposes of determining income eligibility.

2.5 Income Eligibility Methods

There are multiple ways in which a household may qualify for NYSERDA low-to-moderate income (LMI) programs:

2.5.1 Referrals

NYSERDA receives referrals from multiple state agencies and utilities and performs outreach to these households informing them of program offerings. Customers referred through these sources are eligible for low-income incentives without providing additional proof of income documentation providing their application is received before the referral expires. NYSERDA provides referral codes that can be entered when completing the online application which allows the applicant to bypass further income verification. Referrals are valid for 12 months from the date they are received by NYSERDA.

2.5.2 Categorical Eligibility

Income-eligible customers who receive benefits from other select New York State organizations serving low-income residents are considered categorically eligible. These organizations include:

- HEAP (Home Energy Assistance Program)
- SNAP (Supplemental Nutrition Assistance Program/Food Stamps)/SNAP NYC
- SSI (Supplemental Security Income)- (this is different from Social Security Retirement or Disability benefits which are used as income sources for Standard Eligibility)
- TANF (Temporary Assistance for Needy Families)
- Weatherization Assistance Program
- Public Assistance

If a member of the applicant's household over the age of 18 currently receives benefits from these services and can provide an award letter or benefit statement dated within the last 12 months and demonstrates an active benefits window, the household is considered income eligible. A copy of the complete award letter/benefit statement must be included with the program application.

2.5.3 HEAP Award Letters

A HEAP award letter/benefit statement will come from the Office of Temporary and Disability Assistance (OTDA) and must be dated within the last 12 months and match the address on the

application to be valid for income documentation purposes. Both HEAP Cooling and HEAP Heating documentation is acceptable.

2.5.4 Standard Eligibility

Standard eligibility is determined by various forms of income documentation to determine gross annual income for all household members over the age of 18 (unless they are a dependent of the applicant on the most recent tax filing.) For household members without income who are married to another household member, the joint income tax return should be used if one was filed.

Full time students who are members of the household but who are not dependents of the applicant must list all sources of income. Loans (including student loans) will not be counted as income.

NYSERDA uses a household's overall gross income to determine program eligibility, not the net income. Gross income is the earnings that a household receives before federal and state taxes are taken out for the fiscal year. Net income refers to "take home" pay.

Refer to Table 1 to help you determine annual gross income from the appropriate forms.

In cases where a homeowner's gross income does not appear to provide enough income to maintain a home, the program may ask the homeowner to apply for the HEAP program prior to approving the NYSERDA program application.

Table 1. Gross Income Forms

Benefit	Form	Time Period	Calculation
Alimony	4 consecutive weeks of paystubs	Within the last 12 months	(Monthly Benefit) X 12 = Annual Income
Annuities	Bank Statement	Within the last 12 months	-
Business or Farm Income	Previous Year's Tax Return/ IRS Report of Quarterly Earnings for the previous three months Business records for three months prior to the date of the application	Within the last 12 months	-
Disability (Short Term or Long Term)	Benefit Statement or Award Letter	Within the last 12 months	(Monthly Benefit) X 12 = Annual Income
Estates or Trusts, as regular source of income	Fiduciary statement or current statement bank or brokerage firm.	Within the last 12 months	-
Gambling or Lottery Winnings (Net)	Statement of net winnings.	Within the last 12 months	-
Interest Income	Bank Statement	Within the last 12 months	-
Insurance Proceeds or Dividends, as regular source of income	Statement from insurance company (note: one-time insurance payments or compensation for injury is not considered income.)	Within the last 12 months	-
Pension, IRA or Retirement Account	Benefit Statement 1099-R Pension check stub letter from Pension Board	Within the last 12 months	(Monthly Benefit) X 12 = Annual Income
Rental Income	Income tax form; rent receipts; notarized statement from applicant listing each apartment and the rent received per month, as well as the description and amount of deductible expenses. When the tenant is a family member and is paying no rent to the owner, a notarized statement should be received from the tenant and signed by the owner stating that no rents are being collected.	Within the last 12 months	-

(Table 1, continued)

Benefit	Form	Time Period	Calculation
Royalties	Income tax return; current statement from company issuing checks	Within the last 12 months	-
Salaries/Wages	4 consecutive weeks of paystubs	Dated in the last 60 days	Weekly: (sum of 4 consecutive paystubs) X 13 = Annual Income Bi-Weekly: (sum of 2 consecutive biweekly paystubs) X 13 = Annual Income Twice Monthly: (sum of 2 consecutive bimonthly paystubs) X 12 = Annual Income (Month Total) X 12 = Annual Income
Self-Employment Income	Business records for 3 months prior to the date of application; IRS form for income from previous year; notarized statement of gross adjusted income, including list of deductions and amounts, for previous 3 months. NOTE: 1099 forms for contractors/self-employed individuals are not acceptable	Within the last 12 months	Quarterly AGI X 4 = Annual Income
Social Security	Award Letter, Benefit Statement, 1099 Social Security Benefit Statement, 1099-R	Within the last 12 Months	(Monthly Benefit) X 12 = Annual Income
Social Security Disability	Award Letter, Benefit Statement	Within the last 12 Months	(Monthly Benefit) X 12 = Annual Income
Tax Documentation	1040, 1040 A, 1040-SR, 1040-X, W2, IRS Tax Form Transcript	Most recent tax year (through May 31)	For 1040 variations, use Adjusted Gross Income. For W2 use Box 1 - Wages, Tips, and Other Compensation. For Tax Form Transcript use Adjusted Gross Income. Applicants who were granted a 6- month extension must provide Form 4868 along with their 1040 (which is what is filed with the IRS requesting the extension and shows their name, address, and estimated tax liability)

(Table 1, continued)

Benefit	Form	Time Period	Calculation
Veteran's Benefits	Award letter from Veterans Administration of Department of Defense; copy of check.	Within the last 12 months	-
Worker's Compensation	Formal letter from insurance company	Dated in the last 60 days	(Monthly Benefit) X 12 = Annual Income

2.5.5 Household Size

Household size is determined by the number of occupants living within a dwelling unit. The following situations can allow an individual(s) to be excluded from the household member count:

- For full-time students residing in rental housing, income documentation must be provided (income from student loans is excluded.) Students who can be claimed as a dependent on another's tax return are not considered part of the household for the rental unit, and any countable income would be counted at their parent/guardian's home. Households that consist solely of a single full time student occupant with no proof of income may be required to show proof of full-time student status.
- Roomers and boarders - a person who rents a room(s) within a dwelling unit - are excluded from the household count.

2.5.6 Non-Profit Applications

A non-profit that owns or rehabilitates housing for income-qualified individuals or families can apply to the program and provide a statement on the entity's letterhead indicating that the residence will be rented or sold to an income eligible household. The letter must specify whether the household is low or moderate-income and be included as part of the application submission package. For further information on the non-profit application process and additional project requirements, please refer to Section 5.5

2.6 Additional Income Eligibility Information

2.6.1 Program Eligibility Period

A determination of applicant eligibility will remain in effect and no new documentation will be required for **one year** from the initial date of determination, unless the program receives information that the applicant is no longer eligible or if the applicant is now eligible for a different income level (for example, a household was determined moderate-income eligible but

now is low-income eligible). If it is established that the applicant intentionally provided false information regarding eligibility, all work must be stopped and closed out at the cost incurred, and the contractor should contact their account manager.

2.6.2 Income Exclusions

The following income sources **should not** be included in total monthly income for purposes of determining eligibility:

- **Cash Over Which the Household Has No Control:** Cash, including, but not limited to, reimbursement for expenses incurred in connection with employment (e.g., gas mileage provided) and reimbursement for medical expenses (e.g., Medicare payment for doctor bills).
- **Child Support:** Child support payments, whether received by or paid by the applicant, are not added to, or deducted from applicant income in order to determine eligibility.
- **Dependent Student Income:**
 - Earnings of full-time high school students aged 17 or younger should not be included in the household's income.
 - Dependent students over the age of 18 and enrolled for at least 12 credit hours in an institution of higher education are to be included in the household count, whether they live at home or not
 - Income received by students from federal and/or state grants and/or loans is excluded as income.
 - Dependent students living away from home during normal periods of class attendance and recess are excluded as income in determining a household's eligibility
 - A student's status may be further tested by whether the student is claimed as a deduction on the household's income tax. Students 18 and over must submit documentation of student status and it must be placed in the applicant file.
- **Farm and Business Expenses:** Allowable deductions for farms and businesses include only the cost of doing business. If the enterprise is a partnership, the percentage owned by the applicant should be established by documentation. The adjusted gross income figure listed on an applicant's income tax return should not be used in determining income from small businesses/farms since the IRS allows deductions for depreciation, personal business and entertainment expenses, income tax, personal transportation, purchase of capital equipment, and payments on the principal loans. Business records

required by law should be used to document gross income and business costs for the three calendar months prior to the month of application and pro-rated for an average gross monthly income.

- **Holocaust Survivors Payments:** Restitution payments from foreign governments to survivors of the Holocaust are excluded as income.
- **Income Committed to Healthcare/Homemaker Services:** The amount which an applicant pays an employee for household work or health care is not an allowable deduction from gross income except in the following cases:
 - Health Care Services: Income used to pay for in-patient hospital care, in-patient care in a skilled nursing facility, or home health care, which is also counted toward Medicaid eligibility, is exempted as income. For income exclusion purposes, home health care means payments made for home nursing services rendered by a person (other than a family member) who is qualified to provide services such as assistance with personal hygiene, dressing, feeding, or household tasks, and who has been appropriately trained and is supervised by a registered professional nurse.
 - Housekeeper/Homemaker Services: Reimbursements for housekeepers or homemakers under Title XX of the Social Security Act are not considered as income for eligibility purposes. Those services include assessing the need for, arranging for, providing, and evaluating the provision of personal care, home management, and incidental household tasks by a professionally trained homemaker.
 - In-Kind Services: When an applicant has an employee residing in the household to assist in household work and health care, the employee's income should not be considered in determining the household's eligibility nor is the employee included in the household count. No monetary value may be attached to any in-kind contribution which the employee provides to the household.
- **Loans:** All are excluded, including reverse-annuity mortgage and home-equity conversion payments.
- **Lump-sum Payments:** Non-recurring lump-sum payments which are to be excluded from income in determining eligibility include but are not limited to: income tax refunds; rebates or credits; retroactive lump-sum insurance settlements; and lump-sum income from the sale of property. IRA disbursements are not considered lump sum payments and need to be declared as income.
- **Payment for Foster Children and Foster Care Adults:** Payments provided for care and maintenance of foster children or adults are not considered income. Foster children and foster-care adults (e.g., individuals 18 years of age or older, who are socially, physically,

or mentally handicapped and placed in a community-based care setting approved by appropriate state agencies or local social services agencies) are not counted as members of an applicant's household.

- **Rental Property Costs:** The following costs for rental property may be deducted from the owner's income, if documented:
 - Interest paid to purchase income-producing property.
 - Insurance premiums.
 - Taxes paid on income-producing property.
 - Heating and/or utility costs paid for income-producing property where rent includes heat and/or utilities.
 - Improvements and/or repairs necessary to maintain the property as income-producing.
 - Note: To determine the allowable deduction for an improvement, use the life expectancy of the improvement and pro-rate the cost (e.g., a new roof cost \$5,000 and has a life expectancy of 15 years). The \$5,000 roof would be prorated at \$333 per year or \$27.75 per month. To determine the allowable deduction for a repair, divide the cost of the necessary repair by 12 months, e.g., a \$500 repair to a roof would be \$41.67 per month.
 - If the owner/applicant also resides in the income-producing property, the applicant's allowable costs should also be prorated. For example, an applicant with a three-unit dwelling who resides in one of the units would receive two-thirds of the allowable costs deducted from his/her gross rental income. Applicants who do not reside in the income producing property would have 100% of their documented allowable costs deducted from their gross rental income.
 - Depreciation, payments on the principal of income-producing property, and net losses are not allowable deductions in determining income for eligibility.
- **Roomer and/or Boarder Payments:** Roomers and boarders are not counted as household members, and their gross income is excluded from the household's income; however, payments made by the roomer/boarder to the household are included in the household income.

- **Special Energy Assistance Payments:** Home energy assistance, either in cash or in-kind, provided by a private non-profit organization or by an entity whose revenues are primarily derived on a rate of return basis and regulated by a federal or state government body, is not to be considered as income.

3. Home Energy Assessments

3.1 Home Energy Assessments

EmPower+ offers free home energy assessments for eligible Low-Income (Tier 1) and Moderate-Income (Tier 3) households. The application can be completed online or downloaded at www.nyserda.ny.gov/empower-app. As part of a whole house approach, program requires that 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 the Eligible Measures List in Section 6.16. Through EmPower+ a household cannot receive more than one free home energy assessment on an annual basis.

The Program has adopted the published BPI-1100 Home Energy Audit Standard. The BPI-1100 Standard describes all elements necessary for a 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.

3.1.1 General Notes Regarding Home Energy Assessments

- Participating contractor must carry an ID and display it to an appropriate household member prior to entering the home for the first time.
- If the participating contractor is utilizing a sub-contractor to perform the home energy assessment, 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.
- Personnel completing the home energy assessment must be certified in accordance with Section 6.6.
- Participating contractors must provide and carry with them all necessary tools.
- If an adult is not home at the time of the home energy assessment, the Participating contractor must not enter the home but should attempt to contact the customer by close of business that day.

- 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.
- It is 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.
- The participating contractor shall provide Program participants with a finalized 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.
- To proceed with a home energy assessment:
 - In owner-occupied households, the participating contractor must attest to the review of documentation that proves home ownership (deed, mortgage book, tax bill, etc.)
 - In rental properties, the participating contractor must ensure that the building owner signs a Rental Property Energy Efficiency Services Agreement, is available on the [Contractor Support Site](#) 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.
- The participating contractor must evaluate the home for the opportunity to provide direct install measures in accordance with Section 3.2.
- Section 6.19 includes assessment related information regarding CO/smoke detectors, hot water heater adjustments, and air-sealing/insulation, and lighting measures.
- 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.

- Work performed must comply with BPI health and safety standards.
- The participating contractor must take digital photos to document pre-existing conditions. Please refer to Section 6.24 for photo requirements.

3.1.2 Home Energy Assessment Requirements

Home energy assessment must include:

- Completion of appropriate signoffs and permissions.
 - Refer to Section 6.23 for a list of required forms and documents and Section 6.25 for a list of required photographs.
 - For additional information on Low-Income (Tier 1) incentives for renters, please see section 5.9.
- An evaluation for the installation of direct install measures.
- Test of the ambient air for CO/combustible gas if a combustion appliance is present or if the building has an attached garage.
- For Low-Income (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:
 - Opportunity to reduce or eliminate electric space heater use by enhancing or repairing the main heating system's distribution system, air sealing or insulating.
 - Repairs to well pump systems that cycle continuously due to a leak in the system
 - Heat tape that runs continuously.
 - Leaking hot water pipes or faucets.
 - 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.
- Any measures/items not on the eligible measures list must be reviewed and approved by program implementation staff prior to installation

- If multiple units exist in the dwelling, the participating contractor should work with the tenants/building owner to ensure EmPower+ applications are obtained, and access is provided so the entire building can be evaluated. Notification to the building owner prior to home energy assessment can help in obtaining access.
- If EmPower+ applications are not approved for additional units or access is not otherwise provided by the building owner, participating contractor must decide whether to go forward with measures that impact air movement in the dwelling. Participating contractor should contact contractor support and make notes regarding the situation in the NY Home Energy Portal.

3.1.3 Home Energy Assessments Standards

- The assessment must conform to BPI Standards 1100 and 1200 as well as the following the below guidelines:

3.2 Direct Install and Comprehensive Measures

For Low-Income (Tier 1) and Moderate-Income (Tier 3) eligible households, participating contractors must evaluate and install select measures, where appropriate, during a home energy assessment at no cost to the household. For additional information, please refer to Section 3.1. Each unit approved for service through the Program will be eligible to receive no-cost direct install measures and contractors can claim a separate home energy assessment fee.

For comprehensive measures and select direct install measures that require landlord/building owner approval, a Rental Property Energy Efficiency Services Agreement, is available on the [Contractor Support Site](#) and must be completed by the landlord/building owner and submitted to the program.

Refer to Table 2 in section 3.22 for a list of eligible direct install measures.

All measure approvals are subject to program policy, cost, and energy savings requirements. Please refer to Section 6.17 Eligible Measures Guidance and Section 6.20 Measures and Installation Criteria for additional information.

3.2.1 Eligibility For Direct Install Measures

To receive Direct Install measures, customers will need to complete an EmPower+ Application found at nyseda.ny.gov/empower-apply and be determined a Low-Income (Tier 1) or Moderate-Income (Tier 3) customer. In addition, the household must not have received similar

measures from another participating contractor or the Weatherization Assistance Program within the last 1 year.

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. Table 2 represents the pre-qualified direct install measures, max install quantity, and pricing.

3.2.2 Eligible Direct Install Measures

Table 2. Eligible Direct Install Measures

Measure	Limit
CO Detector	1 per home
Combination CO/Smoke Detector	1 per home in place of a single Smoke & CO detector
DHW Safety Discharge Pipe ^a	1 per DHW
Furnace Filter Slot Cover ^a	1 per home
Furnace Filter ^a	1 per home
Pipe Wrap	Per linear ft, 9 ft max (limited to 6' max hot side and 3' max cold side)
Showerheads (handheld or regular) ^a	Quantity not to exceed the # of people in the home
Smoke Detector	1 per home
Sweep Only ^a	As needed, per door; to exterior or unconditioned space
Weather-stripping and Sweep ^a	As needed, per door to exterior or unconditioned space

^a. For renters, the installation of these measures requires landlord permission through the submission of a Rental Property Energy Efficiency Service Agreement is available on the [Contractor Support Site](#)

Current pricing of direct install measures are listed in Appendix A of this manual.

3.2.3 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 3.2

For Direct Install project submission, please refer to the NY Home Energy Portal User Guide.

3.3 Required Assessment Photos

As part of the energy assessment process, contractors must include geo-tagged photographs of the essential components outlined below. These photographs assist NYSERDA and implementation staff with determining the existing conditions on site, informing staff of potential health and safety concerns, and providing sufficient backup for making exception request determinations for the project.

The following photographs are considered the minimum amount needed to satisfy the energy assessment requirements of a project:

- All exterior sides of dwelling
- HVAC (Heating and Cooling Systems, Water Heater) and associated nameplates
- Pre-existing attic insulation levels
- Other targeted measure(s) for replacement
- Exception requests

4. Program Financing, Benefits and Incentives

4.1 Consumer Financing Options

To be eligible for NYSERDA Consumer Financing, all measures installed through [EmPower+](#) must meet the requirements of the program and BPI standards. Participating Contractors must install measures to manufacturer's specifications and measures must meet the requirements indicated in the eligible measures list found in Section 6.16.

4.1.1 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.

Participating Contractors who provide EmPower+ services to Low-Income (Tier 1) or Moderate Income (Tier 3) households have access to financing through the GJGNY Residential Financing Program. This will provide households with needs exceeding the Program funding caps with the means to pay for the additional work. For additional information on financing options, customer eligibility, and loan processing and eligibility, Participating Contractors can reference the [Residential Financing Implementation Manual](#) and NYSERDA's [Residential Financing Options](#) webpages.

Eligibility requirements for Program Financing can be found in the [Finance Program Manual](#).

For additional information about GJGNY Residential Financing including terms and conditions see the [Residential Financing Implementation Manual](#).

4.2 Funding Sources for Customers

EmPower+ is funded through multiple funding sources, each with different requirements and funding levels. Access to Program incentives may be impacted by the household's utility provider, participation in other income-eligible programs, and availability of funds at the time of application. In addition, certain funding sources may have terms or conditions that differ from standard program incentive cap amounts. Participating Contractors can work with their account manager who can assist with determining available Program funding on a given project.

4.3 Customer Incentives

EmPower+ provides incentives to offset the cost of energy efficiency improvements for income-eligible households. Access to incentives begins through the completion and submission of an EmPower+ Application as outlined in Section 2. 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.

- All EmPower+ Households Receive:
 - No-Cost Home Energy Assessments
 - No or low-cost energy efficiency improvements up to Program caps based on income eligibility tier.
 - No-Cost Direct Install Measures
 - Access to Quality Assurance for completed projects
 - Available to both renters and homeowners in 1–4-unit residential buildings
- Low-Income (Tier 1) Households
 - Incentive up to 100% of the project cost, subject to program caps. Any costs over the Program caps are the responsibility of the customer. In addition, select measures have incentive caps that may require customer contribution.
 - Set pricing has been established for some eligible measures with an Upstate/Downstate cost structure dependent on the customer's address. Please refer to the EmPower+ Contractor Pricing Document found in the Appendix Section.

- Moderate-Income (Tier 3) Households
 - Households are eligible for 50% of the cost of energy efficiency improvements up to the program caps per project. Costs over the Program caps are the responsibility of the customer.
 - Set pricing has been established for eligible measures with an Upstate/Downstate cost structure. Please refer to the EmPower+ Contractor Pricing Document found in the Appendix Section.

Access to low-interest financing- NYSERDA offers two loan options to help EmPower+ 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 \$25,000. For further information, please visit NYSERDA's [finance web page](#).

Please refer to Section 6.16 for a list of eligible measures for Low- Income (Tier 1) and Moderate-Income (Tier 3) Households.

4.4 Overview of Household Incentives

EmPower+ incentives are delineated by upstate and downstate regions. For the purposes of determining incentives, downstate counties include customer addresses in counties south of and including Dutchess and Ulster Counties, the remaining counties are considered to be upstate. Below is the breakdown of EmPower+ incentives by household size and income type.

Table 3. Single-Family Incentive Level Overview

Income level	Upstate	Downstate
Low-Income	\$12,000	\$14,000
Moderate Income	\$6,000	\$7,000

The total amount of incentives received from PSEG Home Comfort and Home Performance programs for Low- and Moderate-income customers will be deducted from the EmPower+ downstate incentive caps of \$14,000 for low-income households and \$7,000 for moderate income households.

- When proposing a project for PSEG customers, the contractor will be required to supply the awards letter or letters for the Home Comfort and Home Performance Programs when submitting documents to NYHEP. The contractor should also include the PSEG incentive amounts in the utility section of the individual measure. NYHEP will then

deduct these amounts from the possible incentive. This deduction in incentive will not affect the \$14,000 IRA project cap.

4.4.1 Moderate-Income (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 an incentive covering 50% of the cost of eligible measures up to the program caps for no-cost energy efficiency improvements.
 - For single-family owner/rental properties, the project funding cap is \$6,000 per project for upstate customers and \$7,000 per project for downstate customers. Costs exceeding the Program caps are the responsibility of the customer.
 - For 2-4 family rental units, project funding caps are based upon the following:
 - Upstate Rentals
 - \$6,000 for the initial unit and \$3,000 for each additional income eligible unit.
 - Downstate Rentals
 - \$7,000 for the initial unit and \$3,500 for each additional income eligible unit.
 - Please refer to Section 5.8 for additional information on rental property projects.
- Access to low-interest financing through Green Jobs – Green NY (GJGNY) Financing. Additional information on financing options can be found here:
<https://www.nyserda.ny.gov/All-Programs/Programs/Residential-Financing-Options>
- For additional information on Moderate-Income (Tier 3) offerings, please visit:
[nyserda.ny.gov/empower](https://www.nyserda.ny.gov/empower)

4.4.2 Low-Income (Tier 1)

- Households with a combined income less than or equal to 60% of the SMI or AMI, whichever is greater.
- Program provides no-cost measures up to the Program caps. Costs exceeding the Program caps are the responsibility of the customer, or in the case of a rental, the landlord/building owner.
- For single-family owner/rental properties, the project funding cap is \$12,000 per project for upstate customers and \$14,000 per project for downstate customers.

- For 2-4 family rental units, project funding caps are based upon the following:
 - Upstate Rentals
 - \$12,000 for the initial unit and \$6,000 for each additional income eligible unit.
 - Downstate Rentals
 - \$14,000 for the initial unit and \$7,000 for each additional income eligible unit.
 - Please refer to Section 5.8 for additional information on rental property projects.
- For No-Heat projects, please see Section 5.7.
- No-cost comprehensive home energy assessment.
- No-cost direct install measures available at the time of the home energy assessment.
- For additional information on Low-Income (Tier 1) offerings, please visit: nysenda.ny.gov/empower
- For a detailed breakout of incentive caps based on income levels and number of units in the building please see the One-to-Four-Unit Rental Properties chart in the Appendix section 7.

4.5 Additional Incentives

4.5.1 Other Available incentives

The EmPower+ receives funding from a variety of sources including state appropriations, bond funds, and federal programs. Some of this funding may be used to provide additional incentives for certain measures that are above the standard project level caps provided by the program.

4.5.2 Inflation Reduction Act Funding

Through EmPower+, NYSEDA allows Inflation Reduction Act (IRA) HEAR funding to be combined with current EmPower+ funding. Using the New York Home Energy Portal (NYHEP), your participating contractor can inform households of available project incentive levels following the energy modeling of a household. Vacant units are not eligible to receive IRA funding.

Customers on Long Island will be eligible for both HEAR and certain EmPower+ funding such as OTDA, RGGL, and State Legislature funding as budgets allow. Per Program rules, customers cannot use HEAR and OTDA funds or other DOE funds like certain WAP funding on the same project. Customers eligible for work through available PSEG or National Grid programs are required to apply through those programs first. If a customer is eligible for Low-to-Moderate

Income programs from PSEG/National Grid, that funding is required to be deducted from the project amount.

The EmPower+ program currently provides up to \$1,600 for insulation, ventilation, and air sealing measures through IRA HEAR funding. This funding can only be used on projects that do not have heat pumps or heat pump water heaters and will be applied to the following measures: Air Sealing, Additional Attic Measures, Bath Fan, Dryer Vent Repair, and Ventilation Fans.

Contractors can also access the Contractor Incentive Bonus of \$150 when installing IRA funded measures.

For HEAR funding, the following measures will be required to use ENERGY STAR® Certified equipment: insulation¹ and ventilation fans. Insulation must be installed in accordance with program rules. A list of ENERGY STAR products can be found at <https://www.energystar.gov/products>

Contractors will need to verify that the products they are using are ENERGY STAR by checking a box in the measure in NYHEP.

4.5.3 Sustainable Futures Program Funding

The Sustainable Futures program provides bond funding to EmPower+ for the purpose of electrification and electrification ready measures. The incentives provided for this funding are in addition to current project caps described in Section 4.4. A project may only receive one incentive for each measure (only one HPWH or panel box per project.) The incentives are the same for low- and moderate-income households and are as follows:

- Air Source Heat Pumps- \$10,000
- Ground Source Heat Pumps- \$10,000

¹ Insulation measures need to be installed in accordance with program rules.

- Heat Pump Water Heaters- \$5,000
- Panel Box replacement- \$5,000
- Electrical Wiring Upgrade- \$2,500

Sustainable Futures Program funding cannot be used on a project that is also receiving IRA HEAR funding. The NYHEP system will automatically apply SFP funding to a project.

5. Program Eligibility for Customers

EmPower+ provides incentives and access to financing to promote the installation of eligible energy efficiency measures designed to increase the energy efficiency of eligible buildings.

EmPower+ provides financing incentives to households for the following building types:

- 1-4 family existing residential homes
- Manufactured Homes:
 - A structure, transportable in one or more sections, which, in the traveling mode, is eight body feet or more in width or forty body feet or more in length, or, when erected on site, is three hundred twenty or more square feet
 - Is built on a permanent chassis and designed to be used as a dwelling with or without a permanent foundation when connected to the required utilities, and includes the plumbing, heating, air-conditioning, and electrical systems contained therein
 - Include any structure that meets all the requirements above except the size requirements and with respect to which the manufacturer voluntarily files a certification required by the United States secretary of housing and urban development and complies with the standards established under Title 42 of the United States code; and except that such term shall not include any self-propelled recreational vehicle

EmPower+ does not provide financing incentives for the following:

- Stand-Alone Additions
- Extensive Gut Rehabilitation (i.e. demolition to bare walls)
- Motorized Vehicles (campers/recreational vehicles)
- Trailer-Mounted Structures Not Meeting the Manufactured Housing Requirements Outlined Above
- Energy Related Improvements that are Required by State or Local Building Code

A household at the given address can participate in the Program until the Program incentive cap is met. Once the Program incentive cap is met, the household cannot participate in the Program until one year has passed from the initial project completion date, which is the funding allocation date in NYHEP. If the household members move to a new address, then the one-year waiting period is cleared.

EmPower+ can only serve a primary residence. A primary residence is where a household spends the majority of their time and is considered the legal address listed for documents such as tax returns, award letters, a driver's license or State identification, and voter registration card.

Prior to approving financial incentives, NYSERDA may request a certificate of occupancy to ensure the property is safe to inhabit and meets all code and usage requirements.

5.1 Project Types

The ability to serve individual households with energy efficiency measures can be impacted by factors such as availability of funding source, landlord approval for projects at rental properties, and willingness of the household to participate in the Program. In general, there are five distinct project types:

- **Direct Install-** Typically occurs at the time of the energy assessment at no cost to the household, Direct Install projects include measures such as weatherstripping and furnace filters. Direct Install measures do not require prior Program approval; however, certain measures may require owner or landlord approval in rental units. For additional information on direct install, please see Section 3.2 of the Program Manual.
- **Comprehensive Project-** Includes whole house energy efficiency measures including electric and load reduction measures and, if necessary, health and safety. These projects are subject to funding availability, program approval of work scope and if a rental property, owner or landlord approval.
- **No- Heat –** A type of Comprehensive Project which occurs when a primary heating system fails during the heating season. In all instances, No-Heat projects require Program permission to proceed, and this project type has specific requirements that must be met prior to Program approval. For additional information on No-Heat projects, including requirements and Program incentive caps, please visit Section 5.7.
- **Muni-Install-** These projects typically occur in households where either the gas or electric service is provided by a municipality. For participating contractors serving households with a municipal utility, prior to submitting a work scope, check with the Program Implementor to verify the availability of funds.
- **Pilots-** These projects typically are reserved to evaluate new offerings or technologies, or are projects that have specific requirements including, but not limited to, funding source restrictions or serving limited geographic areas. Program will communicate pilot offerings to contractors as needed and may limit pilot participation to participating contractors meeting certain program requirements or serving certain geographies or project types.

5.2 Participating Contractor Non-Eligible Projects

Participating Contractors are prohibited from providing energy efficiency services, accepting Program referrals, or acting as a sub-contractor to another Participating Contractor on dwellings owned or occupied or by a Participating Contractor's employees, any principal, immediate family members, or associates with a financial interest in the Participating Contractor's business. In the event there is an existing relationship, as outlined above, with a Participating Contractor and an income eligible household, the household remains eligible to receive services through NYSERDA's programs and should work with the program implementation team to facilitate the project.

5.3 Substantial Renovation

The goal of a substantial renovation is to increase efficiency in one or more areas of an existing primary residence with the overall goal of having the home be "heat-pump ready." This goal may need to be achieved over time.

A substantial renovation is not new construction, a gut rehabilitation where there are changes (deconstruct or newly construct) to interior walls, or a renovation to turn an existing space into a primary residence. Any and all program measure incentive approvals for substantial renovation projects are at program staff or its designee's discretion.

Substantial renovation projects are considered "short term" and require the primary residence or a space within the primary residence to be unoccupied for less than 30 consecutive days. For shell measures installed in unfinished/open cavities, the building owner or designated representative, must attest the insulated areas will be finished within 30 days of project completion, unless Program approves to finish small areas as part of the eligible work scope or covering insulated materials sooner is required by code. Residences owned by Non-Profits undergoing substantial renovations prior to renting or selling residence to an income qualified household, may be unoccupied for more than 30 days to allow for coordination with other trades, as necessary.

5.4 Building Types Served by EmPower+

The following Building types are served by EmPower+:

Single family detached homes:

- Not connected to other housing units
- Have heating and water heating units dedicated to the building
- Has utility service not connected to other dwelling units
- Have a certificate of occupancy

Single family attached homes (town home, row house, condominium):

- Consist of one dwelling unit
- Have a dedicated exterior entrance
- Connected to other dwelling units with dedicated masonry firewalls on the vertical walls of the structure.
- Have heating and water heating units dedicated to the unit
- Have a certificate of occupancy

Manufactured homes:

- A structure built in a factory in one or more sections.
- Transportable on a permanent chassis and designed to be used as a dwelling with or without a permanent foundation when connected to the required utilities.
- Have heating and water heating units dedicated to the building
- Have a certificate of occupancy

2-4Unit buildings:

- A building with 2-4 units attached to each other, often sharing unitary space and water heating systems.
- May be designated with unit numbers or standalone addresses.
- These buildings may be attached to other buildings with vertical masonry firewalls, but should have separate foundations and not share heating, cooling, water, or any utilities with other buildings.
- These can include co-ops and condos with no more than 4 units.
- Have heating and water heating units dedicated to the building

- Have a certificate of occupancy

Mixed use buildings:

- Buildings with no more than 4 dwelling units that may also contain retail or other non-residential space. Non-residential space is not eligible for EmPower+ funding.
- The building must contain more than 50% residential space.
- Have heating and water heating units dedicated to the residential space.
- Have a certificate of occupancy.

5.5 Guidance for Not-for-Profits/Land Trusts

Not-for-Profit/Land Trust or similar organizations (entity) are able to receive Low-Income (Tier 1) or Moderate-Income (Tier 3) incentives when one of the conditions outlined below is met:

- A Not For Profit/Land Trust owns a property, rehabilitates the residence, and sells or rents it to an income-eligible buyer.
- A Not-For-Profit provides housing for disadvantaged residents, who are income eligible and/or are otherwise unable to maintain independent housing.

5.5.1 Not-for-Profit Selling or Renting Property to Income-Eligible Household

When a not-for-profit is rehabilitating a residence and selling or renting it to an EmPower+ eligible household, the below outlines the process the not-for-profit 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 not-for-profit wishes to participate in. For example, if the not-for-profit is looking to receive EmPower+ Low-Income (Tier 1) incentives, the residence must be sold or rented to a Low-Income (Tier 1) eligible household.

Not-For-Profit- selling to income qualified buyers- 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 occupancy certification, 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-e 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.

5.5.2 Not-for-Profit Submission Procedures

A completed EmPower+ Application in the name of the non-profit/Land Bank (entity) is required to be submitted for consideration for incentives. Submit an EmPower+ Application along with a letter on entity's letterhead.

- For Low-Income (Tier 1) households: Letter should indicate the home will be rented/sold to a household earning less than 60% of the State Median Income or Area Median Income, whichever is higher, within 180 days of the project completion date.
- For Moderate-Income (Tier 3) 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 participating contractor has been identified, the program implementer will refer the project to the identified participating contractor. If a project contractor has not been identified, Program Implementer will assign a contractor through the standard contractor assignment process.

5.5.2.1 *For All EmPower+ 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, available on the [Contractor Support Site](#), 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.

5.5.3 Not-for-Profit Guidance on Gut Rehabilitations

All existing 1-4 family homes will be eligible to use this process including gut rehabilitation. 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.

5.6 OTDA Eligibility Requirements

NYSERDA receives funding from the Office of Temporary and Disability Assistance (OTDA) for low-income EmPower+ households for energy efficiency and heat pump measures. To qualify under the current OTDA funding period, households must have an EmPower+ application approved and be on the OTDA referral list.

5.6.1 OTDA Funding

For this offering, the funding cap for a single-family residential home is \$20,000. Once approved, the project must be completed before September 15, 2026. This funding is available on a first come first-served basis. Approval of an EmPower+ application does not reserve funds for the project. Participating Contractors are encouraged to complete these projects in a timely manner while funds remain available.

The EmPower+ funding for HEAP recipients plus any utility incentive should cover the entire cost of the energy efficiency measures and source heat pump equipment installation. If the entire project cost cannot be covered with these incentives, the contractor should focus on envelope and air sealing measures which will make the home “heat pump ready.” OTDA funding and Inflation Reduction Act funding cannot be combined on the same project.

5.6.2 OTDA Project Requirements

Projects must meet program requirements as identified in the [EmPower+ Program Manual](#). Heat pump equipment installations must be completed in accordance with Section 6.11.

For any questions on the application process, please call 1-866-NYSERDA. For any questions on project eligibility, please reach out to contractor support at support.residential@nyserdera.ny.gov or 1-800-284-9069.

5.7 No-Heat Guidelines

EmPower+ is not an emergency services program. The program does, 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 heating season.

- No-heat equipment replacement project incentives are available for Low-Income (Tier 1) single-family households capped at \$6,000. Customers and contractors must complete

the No-Heat Attestation Form, available on the [Contractor Support Site](#) and state that the heating equipment is non-operational and unable to be repaired.

In the event program incentives do not cover the cost of the heating system replacement, the balance may be financed through Green Jobs Green New York (GJGNY).

The program will no longer subsidize fossil fuel HVAC equipment unless the home is in an emergency no-heat situation.

5.7.1 No-Heat Funding

For the 2025-2026 Heating Season, EmPower+ has allocated \$1,000,000 for no-heat projects. A tracking of the available funding is available on [the Contractor Support Site](#).

5.7.2 Heating Season

For the purposes of this guidance, the heating season is defined as the time period beginning September 15 of any given year through May 31st of any given year, or until the No-Heat budget is exhausted, whichever comes first.

5.7.3 No-Heat Project Eligibility

To qualify as a no-heat project, the primary heating system must have failed or be determined unsafe to operate and be non-repairable, resulting in the need for a replacement primary heating source. In order to qualify for NYSERDA's no-heat funding, the failure must have occurred at a primary residence of an income-qualified customer.

The household seeking no-heat equipment replacement funding must be served by an eligible utility.

In addition to meeting the guidelines above, EmPower+ projects seeking no-heat equipment replacement funding must meet the following criteria.

5.7.4 Low-Income (Tier 1) Households:

- The customer must apply for OTDA Temporary Assistance (TA) or, per OTDA guidance, if the customer is 60 or older, OTDA HERR. If denied, a copy of the denial letter must be submitted as part of the EmPower+ Application. If TA or HERR provides funding, a copy of the award letter indicating the funding amount must be provided. In the event the cost of the heating system is more than TA or HERR can provide, funding from Temporary Assistance or HERR can be stacked with EmPower+ to cover the whole cost

of a project. The cost of the project should not exceed average market costs and NYSERDA will evaluate costs to ensure reasonability.

- The household is owner-occupied.
- For 1-4 family rental units, the building must be owner-occupied, and the building owner must be income eligible.
- The primary heating system has failed or is determined unsafe to operate and is non-repairable.
- For list of eligible equipment please refer to the Eligible Measures List in Section 6.16 of the Program Manual.
- The customer has not exceeded their yearly EmPower+ incentive cap amount.
 - For example, if an upstate customer had \$12,000 worth of EmPower+ work performed in March 2026 and their primary heating system fails in November, the customer is not eligible for additional program funding until March 2027.
 - If the customer only used \$9,000 of the \$12,000 in the above example, the customer would still qualify for \$3,000 towards the no heat HVAC replacement.

5.7.5 No-Heat Ineligible Projects

The following factors would disqualify a project from being eligible for no-heat equipment replacement funding:

- Moderate-Income (Tier 3) households
- 1-4 family rental properties where the building is not owner occupied, or the building owner is not income eligible.
- 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
- 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 1-800-365-3234 M-F 7am-6pm or call the emergency line at 1-800- 444-3130 which is available 24/7. If NFG denies services to a customer, they must apply to OTDA following the process laid out above in the Low-Income (Tier 1) Households section.

5.7.6 No-Heat Project Submission Requirements

In addition to the criteria listed above, the project must also meet the following:

- Customers and Contractors must complete the No-Heat Attestation Form and state that the heating equipment is nonoperational and is unable to be repaired.
 - Participating Contractor must provide an explanation of 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. Photos supporting any visible damage should be provided.
 - When scoping 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 heat pump installation must meet all Program requirements.
 - The defective heating equipment must be replaced with equipment identified on the current eligible measures list.
 - 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.

5.7.7 No-Heat Project Submission Process

5.7.7.1 *Low-Income (Tier 1) Households*

1. Complete the online [EmPower+ Application](#) and upload required documentation. Note the application #.
2. Submit a Case to notify Program of No Heat Emergency.
3. Email support.residential@nyserda.ny.gov, use subject: **No Heat – Application #**
4. The Program will prioritize reviewing the project.

5.8 Services to One-to-Four-Unit Rental Properties

For Low-Income (Tier 1) and Moderate-Income (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; however, a Tier 1 unit will always be considered low-income even if the

remaining units in a building are Tier 3. Applications are required for each unit; one vacant unit application can be completed by the building owner.

- Example 1: A two unit building with one Tier 1 eligible household would make the entire project Tier 1 eligible regardless of the income of the second unit.
- Example 2: A three unit building with one Tier 1 eligible unit and one Tier 3 eligible household – this would be considered a project with one Tier 1 unit eligible and two Tier 3 eligible units.

A [EmPower+ 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.

For EmPower+ incentives in 1-4 family buildings, if there is one vacant unit in the building, the building owner's income will be used to qualify the vacant unit. If 50% or more of the units are vacant, only the units that are income qualified units can be served. IRA funding can only be applied to units that are occupied and income eligible. For owner-occupied buildings where a single family is occupying two units of a multifamily building, this will be treated as a single-family household and the single-family household caps will be enforced. Please refer to Section 5.8 for available rental unit incentives.

5.8.1 Additional Rental Unit Information

- For No-Heat projects please refer to Section 5.7.
- The building owner is directly responsible for costs exceeding any NYSERDA or externally funded incentives/grants and may be eligible for NYSERDA financing to pay for the balance of the work.

NYSERDA, at its discretion, may cap the total Low-Income (Tier 1) / Moderate-Income (Tier 3) incentives a landlord/building owner receives on an annual basis.

5.8.2 Landlord/Building Owner Contribution- Low-Income (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 Low-Income (Tier 1) incentive caps, the landlord/building owner will be responsible for all costs over the incentive amounts.

5.9 Rental Unit 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 home energy assessment, including heating system inspection and incentives toward energy efficient measures.

- 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 a home energy assessment.
- Upon completion of the home energy assessment, the participating contractor will propose a work scope to the program implementer.
- If comprehensive home performance services are considered, the program implementer will evaluate proposed measures and authorize a work scope.
- If the Rental Property Energy Efficiency Services Agreement is not returned within 30 days, the program implementer may assign the project for a non-invasive direct install home energy assessment 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, if any.
- The participating contractor is responsible to invoice and collect payment of any partial landlord/building owner investment.

6. Program Requirements for Contractors

6.1 EmPower+ Participation Requirements

Contractors interested in providing energy efficiency services to Tier 1 (Low-Income) and Tier 3 (Moderate Income) households through [EmPower+](#) (Program), must be approved by NYSERDA for program participation. It is highly recommended for contractors to review the current EmPower+ [Program Manual](#) prior to submitting an application to become a Participating Contractor.

For counties/regions selected, the participating contractor shall dedicate sufficient staff with Program approved certifications for each approved service territory. The participating contractor shall employ at least one individual meeting the certification requirements of Section 6.6 of the Program Manual per 75-mile radius. Prior to applying, interested contractors should review the current [Participation Agreement](#) and Section 6.5 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.

EmPower+ is supported by CLEAResult and TRC, who serve as NYSERDA's program implementors. Contractors interested in joining the Program should send an email to support.residential@nyserda.ny.gov with their company name, primary contact, address, and a request for information regarding EmPower+ participation.

Application Materials

Contractors meeting the participation requirements can complete and submit a [Residential Programs Contractor Application](#), along with all of the supporting documentation identified below.

The applicant must 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 [Residential Programs Contractor Application](#) 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 heat pump 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) during a typical installation.
- **Certificate of Insurance**
 - For information about the insurance required, refer to Section 3.7 of the Residential Contractor Participation Agreement [here](#).
- **DBA form** (if applicable)
- **The company's current W-9** that matches the Employer Identification Number (EIN) listed on the Residential Programs Contractor Application.
- **Certifications held by staff within the company.**

Refer to Section 6.6.1 of the Program Manual for a list of acceptable certifications.

- **Note:** Certifications related to services provided on the Residential Programs Contractor Application must be submitted. (i.e., if Heat Pumps are selected on the Residential Programs Contractor Application, the applicable Heat Pump certification(s) must be submitted as supporting documentation with the application.
- **Supplemental Information Form.** To be completed to identify and add other contacts to program records.
 - Refer to Section 2.6 of the Contractor Support Site for a copy of this form.

Application Process

1. Program review of Application and required supporting documents.
 - a. Once all required paperwork has been submitted, NYSERDA will confirm all necessary paperwork is complete, and review website (if provided), and crowd-sourcing websites.
 - b. Upon satisfactory review and submission of all required documents, a contractor on-boarding interview will be scheduled between CLEAResult, and the contractor. This interview may include staff representing other programs the contractor has applied to.
 - i) Contractor will be expected to provide an overview of their services and experience and answer any additional questions posed by Program staff or CLEAResult.
 - ii) Contractor will be provided with the opportunity to ask questions about the Program.
2. Contractor Review
 - a. Following on-boarding interview, the Program will determine if the contractor meets the Evaluation Criteria outlined below and is accepted for participation in the Program.

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. 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 Shared Services Implementor. 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 six 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 6.4 of the Program Manual.

New Contractor Onboarding Training

If approved, the contractor's primary contact will need to register for six (6) New Contractor Onboarding Training classes. The classes are hosted by the Implementation Contractors and attendance by at least one (1) (no more than two) member of the company is required. The classes typical schedule is as follows:

- Week 1, Class 1: Program Overview
- Week 1, Class 2: EmPower+ Customer Applications
- Week 2, Class 3: New York Home Energy Portal Live Demo, EmPower+
- Week 2, Class 4: New York Home Energy Portal Live Demo, Comfort Home (optional)
- Week 3, Class 5: Quality Assurance and Partner Portal
- Week 4, Class 6: Customer Concerns

Upon completion of all six (6) classes, the company will be provided with login credentials for the Workflow platform. Additionally, office hour sessions will be scheduled, and companies are encouraged to attend.

For additional questions about the Program or questions on how to join please reach out to support.residential@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>.

6.2 Expectations for Participating Contractors

Upon acceptance into the EmPower+ 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 failures listed in Section 6.5.

In all cases involving a Contractor's participation status, NYSERDA's written decision is final. Please refer to Section 6.5 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 contractor's 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 must successfully complete onboarding and training with the Program Implementation team and agrees to be an active contributor by providing high-quality and professional building performance services to Program participants. Participating Contractors are expected to provide all households with Home Energy Assessments which identify all energy efficiency opportunities at the home.

The Participating Contractor is required to report, annually, a minimum of twenty (20) completed projects or at least \$200,000 in completed, eligible work through NYSERDA's residential programs. This can include a combined 20 projects/audit completions through participation in one or more of the following programs; however, at least \$100,000 of completed work must be through EmPower+:

- EmPower+
- Comfort Home
- NY Sun

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 no longer be eligible for participation in these programs.

6.3 Benefits of Contractor Participation

- No-Cost Home Energy Assessments and Direct Install- Provides Participating Contractors with an opportunity to provide in-home services to households and potentially 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 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 NY Home Energy Portal for project submission and tracking and other NYSERDA platforms for Program communication and assistance.
- Prompt payment of eligible incentives upon successful approval of project completion paperwork.

6.4 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

Minimum Period of Performance

The Participating Contractor shall have the participation status of 'Provisional' during, at a minimum, the first 6 months of participation.

Provisional by Participation Level

a. Home Performance Contractors

- i) All project submissions are subject to manual review.
- ii) To be considered for "Full Status", contractor must have 5 project completions meeting minimum QA standards by the 10th inspected project or within one year. In addition, the contractor must have a minimum of two Quality Control (QC) visits with CLEAResult. 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.'
- iii) NYSERDA may limit the number of projects a Provisional Contractor can submit to the Program 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.
- iv) After the completion of the 20th project NYSERDA will place a Provisional Contractor on hold until a thorough review of their performance, including review of Quality Assurance inspections can be completed. Following the review, Program will decide in writing on future participation in the Program.
- v) After one year, or the 10th inspected project, whichever comes first, the Program will review Provisional Contractors not meeting the above requirements to determine future Program participation.

b. Audit Contractor

- i) Must have 5 audit reviews and/or project reviews meeting Program standards by the 8th reviewed audit or project or within one year.
- ii) After one year, or the 8th review, whichever comes first, the Program will review Provisional Contractors not meeting the above requirements to determine future Program participation.

Past Participants

- i) Contractors renewing Program Participation who have not completed a minimum of 20 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.

Program Benefits

- i) 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.

Quality Assurance/Quality Control (QA/QC)

- i) 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.
- ii) In addition to QA, contractors 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:

Audit Contractor-Standard Rate

- a. Target of 3 inspections per year or at least 10% of completed audits (home energy assessments) or projects on an annual basis.

Home Performance-Standard Rate

- a. Target of 4 QA inspections per year or at least 10-15% of completed projects, and up to 3 QC inspections of in-progress projects on an annual basis as determined by the program.

Home Performance-Reduced Rate

- a. For contractors in good standing, the QA inspection target is 5% or more of completed projects, and a minimum of 2 QC inspections 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. Disciplinary Action

A Full Status Contractor who fails to comply with any of the terms of the Consolidated Residential Participation Agreement, 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 place a Stop Work Order (Participation Agreement Section 7.6) on a contractor which includes a hold on 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 Participating Contractor may face probation, suspension or termination from the Program 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, Program participants, or other New York State agencies.
- 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-** NYSEDA 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.
- j. **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.
- k. **Contractor Staffing-** The Participating Contractor has staffing changes or staffing certification status changes resulting in the contractor not maintaining the minimum Program certification requirements.
- l. **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, and submission of photo documentation that does not correspond to the project for which it was submitted.
- m. Failure to maintain minimum credentials for participation
- n. Submits falsified documents or unauthorized signatures to the Program
- o. Commits illegal actions while participating in the Program
- p. 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
- q. Is in gross violation of Program standards
- r. Repeatedly bills for uninstalled measures

i) 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.

- 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.
- 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.
- 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.

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.

ii) 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 also include, but are not limited to, the following:

- **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.

4. Inactive - Terminated

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. Terminated contractors are prohibited from working as a subcontractor in the program without prior written approval from NYSERDA.

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 Inspector 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. Grounds for termination shall also include, but are not limited to, the following:

- i) Maintaining suspended status for more than 90 days and/or is unresponsive to or failed to adequately fulfill the terms of their suspension
- ii) Fails to meet the terms of the Provisional period
- iii) Fails to meet the terms of probation period

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.

5. Leaving the 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.

6.5 Contractor Participation Requirements

Contractors who have more than 20% of their projects older than 180 days since project acceptance will not be assigned any new enrollments, including their own. Thresholds will be monitored on a regular basis and once backlogs have been resolved, enrollment assignments will resume. Contractors can work with the CLEAResult Contractor Support Team for an approved exception if needed for projects with special circumstances. Contractors with questions can reach out to support.residential@nyserdera.ny.gov or call 1-800-284-9069.

6.6 Contractor Certifications

Participating contractors may only submit projects to the Program for which they have 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.

6.6.1 Certifications by Measure

Audit Contractor- Reserved for participating contractors performing audits (home energy assessments) and/or electric reduction, direct install projects only. Personnel completing home energy assessments through the program must maintain one of the following certifications below.

Home Performance Contractor- Reserved for participating contractors performing home energy assessments 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.

Table 4 lists the certification requirements for each specialty.

Table 4. Certification Requirements For Program Specialties

Acceptable Certification	Specialty
• BPI Building Analyst -or- • BPI Building Analyst Technician -or- • BPI Energy Auditor -or- • BPI Multifamily Building Analyst -or- • AEE Certified Energy Auditor -or- • ASHRAE- Building Energy Assessment Professional -or- • HERS Rater -or- • LEED Rater -or- • ICP Quality Assurance (QA) Assessor -or-	Energy Assessments
• BPI Envelope Professional -or- • BPI Building Analyst Professional -or- 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 Section 5 • BPI Crew Leader -or- • BPI Energy Auditor -or- • BPI Quality Control Inspector -or- • BPI Retrofit Installer Technician -or- • BPI AC/Heat Pump -or- • NATE AC -or- • NATE Heat Pump	Air Sealing & Insulation ^a
• EPA 608 Technician Certification in accordance with 40 CFR 82.161 and • Manufacturer heat pump installation training certificate and • BPI AC/Heat Pump -or- • NATE Heat Pump -or- • Approved Installer in NYS Clean Heat	Heat Pump Installation
• BPI AC/Heat Pump -or- • Manufacturer's training/specification -or- • Company is licensed plumber and/or electrician in the locality where the work will be performed -or- • Approved installer in NYS Clean Heat	Heat Pump Water Heaters
• BPI Heating Professional -or- • NATE Oil Heating -or- • NORA Oil Heat Silver -or- • NORA Oil Heat Gold	Oil Heat Work ^b

(Table 4 continued)

Acceptable Certification	Specialty
• BPI Manufactured Housing Professional Certification -or- • Provide documentation of your company's detailed procedures for serving manufactured homes. Details 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: ○ Type of work performed (Insulation/mechanicals) ○ Materials used ○ Number of manufactured homes served in the last 6 months ○ Installation methods ○ Any manufactured home-specific training received in the past 36 months	Manufactured Housing
• BPI Heating Professional -or- • NATE Gas Heating	Gas Heat Work/Domestic Hot Water Heaters ^b
• BPI Heating Professional -or- • Chimney Safety Institute of America (CSIA) – Certified Chimney Sweep® -or- • National Fireplace Institute (NFI) – Pellet Stove Specialist	Pellet Stove ^b

^a. Effective October 1, 2025, all Participating Contractors installing Spray Foam through EmPower+ must complete trainings per the requirements outlined in the table below.

^b. Not an option for specialties listing on the participating contractor website.

Contractors installing spray foam on Program projects must meet the following requirements:

- Contractors are required to keep documentation of all staff that attended the trainings. Documentation must include the training title, staff names, and dates when the training was completed.
- Participating Contractors using sub- contractors must ensure the subcontractor meets these requirements. At NYSERDA's request contractors must submit this documentation within 48 hours of the request.
- Contractors are required to submit a signed document stating that their company meets these training requirements. This document is available on the contractor support site at: <https://hpwescontractorsupport.com/program-resources/sprayfoamresources/>
- Contractors must notify NYSERDA in writing within 48 hours if and when their company no longer meets these requirements.

Table 5 lists the Spray Foam Trainings required by job title or equivalent job description.

Table 5. Spray Foam Training Classes

TRAINING CLASS	Field Employee	Applicator	Crew Leader	Auditor
CPI High Pressure Spray Polyurethane Foam Health & Safety	X	X	X	-
OSHA Hazard Communications Standard	X	X	X	-
Proprietary Manufacturer, Distributor, or Trade Association Training	-	X	X	-
PSD Don't Be Left Exposed Part 1 & Part 2	-	-	X	X
OSHA 30 or Confined Space/Fire Safety	-	-	X	-
BPI Building Science Principles	-	-	X	-

To access the trainings and for additional information, please visit the contractor support site at <https://hpwescontractorsupport.com/program-resources/sprayfoamresources/>

6.7 Marketing Resources and Policies For Contractors

6.7.1 Attribution Logo Usage

NYSERDA Attribution – For information on how to access the attribution logo, please review the “NYSERDA Logo Attribution Guidelines,” located in Section 6.6 of the Residential Contractor Participation Agreement located on the [Contractor Support Site](#).

6.7.2 Terminology Specifications

Please use the guidance in Table 6 in your company communications when referencing your participation in the EmPower+ program.

Table 6. Correct and Incorrect Program Messaging

Correct Messaging	Incorrect Messaging
We offer (or deliver) EmPower+ services	EmPower+ Contractor NYSERDA Contractor
Participating Contractor in the EmPower+ program	Department of Energy Contractor
Discounts incentives	Free money bounties

6.7.3 Recommended Language and Messaging – EmPower+

NYSERDA conducted research among lower-income New Yorkers to help understand the attitudes and behaviors related to household energy efficiency, perceptions of the EmPower+ 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+.

While marketing of EmPower+ 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 Uthman.aziz@nyserda.ny.gov

6.7.4 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+ 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.

6.7.5 Medium-Length Messaging

Option 1: Lower energy bills mean extra money in your pocket, month after month. Take advantage of no-cost or low-cost energy upgrades from EmPower+, 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+ provides income-eligible New Yorkers with no-cost and low-cost energy upgrades.

6.7.6 Short Messaging

Option 1: Raise your comfort level and lower your energy bill with no-cost energy available to income-eligible New Yorkers. EmPower+ - a better life begins at home.

Option 2: Energy efficiency is one of the easiest ways to save money. EmPower+ provides income-eligible New Yorkers with no-cost and low-cost energy upgrades.

6.7.7 Marketing Materials

As a contractor in the EmPower+ program, you have exclusive access to a variety of marketing materials. These materials include promotional and educational tools that have been designed to help you connect with your customers. Please see the available marketing materials on the contractor support site at www.hpwescontractorsupport.com

6.8 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:

- 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:
 - It is inappropriate to transfer one signature to another document.
 - 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.
 - Changing pricing or signature dates after the signature was obtained will be cause for disciplinary actions from NYSERDA.
- Authentic signatures are critical. Currently the only acceptable processes for obtaining signatures are as follows:

- The customer's physical signature on a paper document (a "wet signature").
- 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.
- If a customer is incapable of providing a signature according to the above, please document the reason on the form.
- For the EmPower+ Application, please see the acceptable signature process below.
- 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 Contractor support.

6.9 Pellet Stove Guidance

With the sunset of NYSEDA's Renewable Heat NY - Residential Pellet Stove program, NYSEDA is providing access to pellet stove incentives and financing for eligible EmPower+ Low-Income (Tier 1) and Moderate-Income (Tier 3) households.

6.9.1 Pellet Stove Incentive Caps Based On Income

Two incentive options, determined by income, are available to homeowners. Incentives are only available for primary residences. Income guidelines can be found in the Appendix Section and at: www.nyserda.ny.gov/empower-income

- For EmPower+ Low-Income (Tier 1) 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 EmPower+ Moderate-Income (Tier 3) households:
 - 100% 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

6.9.2 Eligible Pellet Stove Project Requirements

- The install location is used as a full-time residence (primary residence) that is currently not using natural gas.

- Incentives are to be used for the replacement of existing pellet or wood stove equipment.
- Resident must be EmPower+ income eligible.

6.9.3 Pellet Stove Financing

Pellet stoves can be financed to assist eligible EmPower+ 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.nyserda.ny.gov/All-Programs/Programs/Residential-Financing-Options>
- [Energy Finance Solutions](#)

6.9.4 Contractor Requirements

- Access to incentives and financing are reserved for participating EmPower+ contractors only.
- The pellet stove must be installed by a Participating Contractor or their sub-contractor meeting the certification requirements outlined in Section 6.6.

6.9.5 General Pellet Stove 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 [U.S. 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 deadload 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 are 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 resilience when grid electric power is not available. Where available, battery backup systems for a specific brand or series of stoves are the recommended option.

6.9.6 Pellet Stove 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.

6.9.7 Pellet Stove 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.

6.9.8 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).
- 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.
- This 4.5-ton outside residential bulk wood pellet storage bin has a ventilated soffit and two ports for pellet delivery.

Figure 1 Pellet Storage Example



Courtesy Vincent's Heating and Fuel Service, LLC

6.9.9 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.

6.9.10 Pellet Stove 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/scrapyard 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.

6.9.11 Project Submission Requirements

- Pellet Stove and Pellet Stove Recycling Fee measures will be modeled in the NY Home Energy Portal (NYHEP). The full equipment cost must be entered in NYHEP. 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.

For projects with NYSERDA financing:

- Prior to the start of work, Participating Contractor must provide a copy of the contract and Proforma to EFS/Slipstream.
- At project completion, a signed copy of the certificate of completion must be provided to EFS/Slipstream.

6.9.12 Modeling Pellet Stove Projects in NYHEP

1. Navigate to Workscope Submission | Usage & Fuel Information

Indicate fuel type, usage and cost.

*Utility Information | **Primary Heating Fuel Type*

- Select Wood or Wood Pellets

Delivered Fuel Information | Delivered Fuel

- Select Wood or Wood Pellets
- Enter Delivered Fuel Supplier
- Price Per Unit (fuel rate) will populate automatically based on NYSERDA fuel pricing

2. Navigate to Workscope Submission | Existing Conditions

3. Indicate that the *Wood or Pellet Stove* is the primary heating system:

*HVAC – Primary Heating | **Heating System Primary*

- Select Wood or Pellet Stove

4. Navigate to Workscope Submission | Measures

5. On the menu bar click Add Measures and check the box for Pellet Stove

6. Navigate to the Pellet Stove (PELSTV) measure and enter all required information, including whether the existing stove was recycled.

7. Navigate to the Notes tab to enter information related to the Pellet Stove install that needs to be communicated to Program
 - On the menu bar click New Note

Figure 2 Step 1

The screenshot shows a software interface for selecting a primary heating fuel type. On the left, a dropdown menu titled "**Primary Heating Fuel Type" is open, displaying a list of options: Electric, Coal, Natural Gas, Oil, Propane, Kerosene, Wood (highlighted with a mouse cursor), and Wood Pellets. On the right, a vertical sidebar contains a list of application tabs: Applicant Information, Usage & Fuel Information, Existing Conditions, Partner Information, Other Information, Notes (0), Documents (7), Measures (13), Overrides, Reports (0), and Application History.

The screenshot displays the "Delivered Fuel Information" section of the application. It includes a "Delivered Fuel" dropdown menu currently set to "Wood Pellets", a "Delivered Fuel Supplier" text field containing "ABC Pellet Supply", and a "Price Per Unit" label with the value "\$303.7500".

Figure 3 Step 2

The screenshot shows a vertical sidebar menu with the following tabs: Applicant Information, Usage & Fuel Information, Existing Conditions, Partner Information, Other Information, Notes (0), Documents (7), Measures (13), Overrides, Reports (0), and Application History.

Figure 4 Step 3

The screenshot shows the "HVAC - Primary Heating" section. It contains two dropdown menus: "**Heating System Status" set to "Safe to Operate" and "**Heating System Primary" set to "Wood or Pellet Stove". The second dropdown menu is highlighted with a green rectangular border.

Figure 5 Step 4

Applicant Information
Usage & Fuel Information
Existing Conditions
Partner Information
Other Information
Notes (0)
Documents (0)
Measures (11)
Overrides
Reports (0)
Application History

Figure 6 Step 5

Workspace Submission - Measures - New

Process
 Save
 Close
 Enrollment Profile
 Add Measures
 Double Dip Report

Add Measures

☐	No. to Add	Measure Code	Measure Name
☐			pellet
☒	1	PELSTV	Pellet Stove

Save Close

Figure 7 Step 6

9	^	X	Pellet Stove (PELSTV)	Each	1	\$4,000.00	\$4,000.00	\$2,500.00	\$2,500.00
Is this recommended for the assessment only (no incentives or loans)?: ** Was existing stove recycled?: ** Heating Device Type Being Replaced: ** Manufacturer: ** Model: ** AFUE: Capacity BTU/h: ** Cost: Dollar Savings: Lifetime Savings: Alternate Funding: Estimated Customer Contribution: ** Will the Customer Contribution be overridden?:									
No Yes Pre-NSPS Stove / 1988 NSPS ... Toasty Stoves ABC123 0.80 60000 \$4,000.00 \$296.39 \$5927.73 ☐ Utility ☐ WAP ☐ 3rd Party \$2000.00 No									

Figure 8 Step 7

Workscope Submission Workflow Step - Notes

New Note Close

Workflow Step Note

Create New - Note

Save Delete Close

Note Date: 06/20/2023 Note Time: 10:00 AM

Notes

Enter any information that would assist with the review of project.

Who can view this note?

☐ Users with access to this enrollment

☒ Users with access to this workflow step

☐ This is an Interaction

Applicant Information

Usage & Fuel Information

Existing Conditions

Partner Information

Other Information

Notes (0)

Documents (0)

Measures (11)

Overrides

Reports (0)

Application History

6.10 Air Source/Ground Source Heat Pump Project Requirements

6.10.1 Customer Requirements for Heat Pumps

To be eligible for heat pump incentives, the home must be an income-eligible 1-4 family with the residents/tenants paying the utility bills including for electricity, utility natural gas, propane, oil, kerosene, wood pellets, or wood.

6.10.2 Heat Pump Project Eligibility Requirements

To be eligible for heat pump equipment incentives, the following criteria must be met:

- Projects cannot receive both EmPower+ and NY Clean Heat Funding. Participating Contractors must inform the program if ANY additional funding is being utilized on the project.
- The home must meet the building envelope standards outlined in 6.11. The standards can be met either prior to the heat pump project or by the completion of the project.
- The existing primary HVAC system must be older than 5 years.
- Program funding is for the addition of heat pump technology to an existing home and not for updating or replacing existing heat pumps and heat pump water heaters.
- Heat pump systems shall be designed following the [NEEP Guide To Installing Air-Source Heat Pumps in Cold Climates](#).
- All projects with air source and ground source heat pumps must meet a 20% energy cost savings requirement. The savings will be calculated using the fuel usage and cost of the

pre-existing heating fuels and electricity compared to the estimated electricity usage and cost for the home after the project is complete as calculated by the TRM calculations in NYHEP. If a project has less than 20% savings there will be a tertiary review process for possible approval. Contractors should include any extenuating circumstances such as health and safety in the project notes that will help with the tertiary review.

- Savings calculations (with NYHEP data field titles)

(Annual fossil fuel use x price per unit) + (electric usage x electric rates) = Annual fuel cost

First Year Dollar Saving/Annual Fuel Cost x 100 = first year savings percentage

- NYSERDA will prioritize the conversion of homes that heat with delivered fuels such as oil and propane to heat pumps, and electric resistance heating, which present the best economic case for the customer. Homes with existing natural gas heating equipment are not eligible for replacement with a heat pump.
- The cost of the heat pump may include any of the following system components:
 - Distribution system installation, modification, and repair.
 - Controls and control systems.
 - Racking, mounting, and shielding components necessary to meet code and manufacturer's installation requirements.
 - Line set insulation and conduit.
 - Electrical upgrades to the service panel and/or other wiring repairs and improvements necessary to install the heat pump may be included in the overall work scope but costs for these measures should be itemized separately from the heat pump system itself.
- Participating Contractor must complete an ACCA Manual J or other approved heating and cooling calculation methodologies.² Applicable exceptions shall apply.³ Heat pump systems must be designed using the ACCA weather station closest to the project. Contractors shall provide a copy of the house drawings used to generate the Manual J calculation showing measurements used to generate room-by-room or Block load

² 2020 Residential Code of NYS, Chapter 14, Section M1401.3 Equipment and Appliance Sizing

³ One alternative sizing methodology resource, Alternate Methodology to Demonstrate Energy Code Compliance: Heat Pump Sized to Meet Heating Design Load, can be found under the Resources page <https://cleanheat.ny.gov/resources-for-applications/>

calculations including orientation and rough sizing of windows and doors. Software generated diagrams are acceptable.

- Participating Contractor shall refer to the Residential Heating and Cooling Load Analysis Quality Control Checklist as a best practice. At the end of the project, the Participating Contractor must attest on the Heat Pump Form, they followed this guidance for the heat pump installation.
- The proposed heat pump system must be designed sized to meet 100-110% of the building's heating load. The proposed heat pump system may include use of a supplemental heating source to reach 100% of the building heating load. Supplemental heat sources may be designed to provide up to 20% of peak heating load up to 5kw or equivalent supplemental.
- The existing whole house fossil fuel heating system (oil, propane, etc.) must be decommissioned. If equipment is left in the home, it must be rendered inoperable per the [Decommissioning Checklist](#). Existing wood or wood pellet stoves and electric baseboards with heating capacity greater than 50% of the home's heating load may remain as supplemental heat.

6.10.3 Air Source/Ground Source Project Documentation

6.10.3.1 Pre-Installation Requirements

When submitting a work scope for heat pump projects, in addition to the standard required Program paperwork, the following documents will also be required:

- Detailed summary page generated by Manual J sizing software or spreadsheet designed to the ACCA weather station closest to the project.
- House drawings that show rough measurements of windows, doors, walls either room-by-room or block drawings will be accepted.
- Manual S or equivalent sizing software such as NEEP advanced sizing tool or the manufacturer sizing software or manufacturer specification sheet showing unit btu output at design temperature. This also must show what % of the building is covered by the installed unit(s). This % of the unit coverage can be calculated and written directly onto an uploaded document if software or specification sheet being used does not show that value.
- AHRI certificate for GSHP's and NEEP certificate for ASHP's. Products must be AHRI and
- NEEP listed.
- Photos of the existing system

- Copies of all utility bills including delivered fuels
 - A minimum of 12 months of energy usage must be documented. When receipts for un-metered fuels such as wood, pellets, or kerosene are unavailable a customer attestation may be used to estimate consumption and cost of those fuels.

6.10.3.2 Post-Installation Requirements

- Fully completed manufacturer's commissioning form of the NYS Clean Heat ASHP Commissioning Checklist with dates.
- Photo of the unit installed and photo of the name plate with clear view of the model and serial numbers.
- Heat Pump Equipment Invoice(s) if using a subcontractor for heat pump installation.
- Photos documenting that the removal or disabling of the existing system was completed and a copy of the decommissioning form.
- Completed NYSERDA Heat Pump Installation form.

6.10.3.3 Building Envelope Standards

The program will use the insulation levels in Tables 4 and 5, which list minimum levels of insulation a home 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. If there are areas of the home that cannot be accessed, i.e. structural set up of the home or lack of space, the contractor must add a note to the project in NYHEP or submit a ticket to contractor support.

Table 7. Minimum Insulation Requirement, 1-4-Family Homes, Prior Heat Pump Installation

Building Assembly	Minimum Requirement	Application Notes
Infiltration	10 ACH50 max ^a	Contractor must verify the home is at or below this level. If the contractor cannot perform a blower door test, they must use NYHEP to estimate the air leakage.
Infiltration – homes <1,000 SF CFA	14 ACH50	
Attic Insulation	R-40 min ^b	Area-weighted average R-value of all horizontal attic floor areas in the home must be ≥ R-40. This area includes attic hatches and pull-down stairs.
Above Grade Exterior Wall Insulation	R-11 min	Fill wall cavities to capacity.
Rim Joint Insulation	R-14 min	Rim joists must be sealed and insulated.
Foundation Wall Insulation	R-14 min	Insulation of foundation wall to cover above grade areas only

^a. Average insulation of total attic area- some areas might have less than R-40 if the total average of the combined attics is R- 40.

^b. Prior to the installation of heat pump heating equipment, the contractor must verify the home is tightened to at least 10 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 NYHEP to estimate the air leakage.

Table 8. Minimum Insulation Requirement, Manufactured Homes, Prior to Heat Pump Installation

Building Assembly	Minimum Requirement	Application Notes
Infiltration	12 ACH50 max ^a	Contractor must verify the home is at or below this level. If the contractor cannot perform a blower door test, they must use NYHEP to estimate the air leakage.
Attic Insulation	R-19 min	Area-weighted average R value of all horizontal attic floor areas in the home must be ≥ R-19. This area includes attic hatches and pull-down stairs.
Above Grade Wall Insulation	R-11 min	Fill wall cavities to capacity
Belly	R-23 min	

^a. Average insulation of total attic area- some areas might have less than R-40 if the total average of the combined attics is R- 40.

^a. Prior to the installation of heat pump heating equipment, the contractor must verify the home is tightened to at least 10 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 NYHEP to estimate the air leakage.

6.10.3.4 Project Considerations

Any additional work needed for distribution systems should be itemized and included in the work scope proposal.

6.10.3.5 *Distribution System*

The current distribution system should be considered when selecting a system. Distribution costs, if required, will be included in the cost of the heat pump. In some homes, major distribution improvements will have to be made. Incentives will have to be balanced with the overall system cost and operational affordability (for instance, it may be more economical to install mini splits rather than a central system with duct improvements, but the mini split system may be more expensive to operate). In addition, a homeowner should be informed about the installation costs, operational costs, complexity of systems operation, and overall capacity to deliver comfort as needed when deciding on the type of system to be installed.

6.10.4 Heat Pump Cooling

With rising temperatures from climate change, heat pumps can provide efficient cooling, which can prevent heat-related illness. For homes that did not have access to cooling, once installed, this equipment can increase operating costs. The Participating Contractor must provide the customer with an estimate of how their operating costs could increase, and have the customer sign the Heat Pump Installation Acknowledgement Form before installation begins. Mandatory recycling that follows EPA guidelines of existing A/C window units is required when installing heat pumps.

6.11 Heat Pump Water Heater/Electric Water Heater Conversions

Criteria

- Only heat pump water heater (HPWH) and electric resistance domestic hot water equipment will be incentivized. Fossil fuel water heaters are not eligible for incentives except in instances where there are health and safety reasons or where a mobile home rated. It is recommended that electric resistance heaters only be used in those cases when a HPWH cannot be installed, and the existing water heater is non-functioning.
- Rental units are not eligible for replacement unless a Rental Property Energy Efficiency Services Agreement is completed.
- HPWHs must be installed in accordance with manufacturers specifications and local and State codes.
- The incentive will include all electrical upgrades associated with the HPWH including the following:
 - A new breaker, running a new electrical line, and other associated costs

- The existing panel box must have sufficient capacity to meet the household's needs in addition to the replacement electric hot water heater. The HEAR electrical service panel box upgrade measure will still be eligible when installing a HPWH.

Procedures

- The Participating Contractor must discuss options with the household and verify their interest in converting to electric. The household must be informed that in a "fuel-switch" scenario, the electricity usage will increase, but the new water heater will decrease the cost of the existing fuel type.

6.11.1 Heat Pump Water Heater Guidelines

Heat Pump Hot Water Heaters should be installed in accordance with manufacturers' installation guidelines and contractors should use their professional discretion when citing them. The following are conditions for determining suitability of a project for a heat pump water heater:

- Electrical capacity present in the current panel box or the panel box can be upgraded to this capacity when the HPWH is installed.
- Adequate ceiling height in the basement for a HPWH.

The heat pump incentive includes all electrical upgrades associated with the HPWH including:

- A new breaker, running a new electrical line, and other associated costs.
 - Contractors will need to include these costs in the measure.
 - Contractors should not use the HEAR electrical upgrade measure for HPWH associated costs.
 - The HEAR electrical service panel box upgrade measure will still be eligible when installing a HPWH.

Electric resistance water heaters should only be installed when the current system is non-functioning and installation of a HPWH is not possible. Projects cannot receive both EmPower+ and NY Clean Heat Funding.

6.12 Inspection and Service to Water Heaters Fueled by a Fossil Fuel

Criteria

- Unless a health and safety issue are identified, incentives are not available for the installation of water heaters fueled by natural gas, oil or propane. Program will incentivize heat pump water heaters (HPWH) and electric resistance domestic hot water

equipment. It is recommended that electric resistance heaters only be used in those cases when a HPWH cannot be installed, and the existing water heater is non-functioning.

- Repairs may be made for health and safety reasons and are subject to program caps. Please refer to section 6.16.3 and 6.16.4 of the Program Manual for additional information on health and safety. Conditions in dwelling are appropriate for change-out (i.e., no flooding in basement, adequate conditioned space etc.).

6.13 Heating Systems Replacement Guidelines

6.13.1 Heating System: Eligibility Criteria

- Propane, Kerosene, Oil and Natural Gas Heating Equipment
 - Not eligible for incentives unless the home is in a no-heat situation during the heating season. See Section 5.7 for additional information.
 - Customers with delivered fuels should be informed about clean heating options with heat pump technology. See Section 6.11, Heat Pump Installation Requirements, for additional information.
- Pellet Stoves
 - The pellet stove offering is outlined in Section 6.9, Pellet Stove Guidance.
- In addition to the above, please refer to Section 6.16, Eligible Measures Guidance, for additional information on eligibility requirements.

6.13.2 Heating System: Available Incentives

- Costs above the measure or program caps must be paid directly by the household and may be financed through available NYSEDA sponsored loan options or private lenders.
- Incentives for the heating system conversion include necessary distribution repairs, fuel tank decommissioning and removal.
 - Participating Contractors serving income eligible rental units should also reference Section 5.8, Services to 1-4 Unit Rental Properties.

6.13.3 Heating System: 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 uninsulated areas in addition to any required program documentation.

6.14 Heating Equipment Measures

6.14.1 Heating System Repair and Replacement

Criteria for installation

- Ownership by household has been established and written owner permission has been obtained.
- For Low-Income (Tier 1) households, heating system replacements with combustion appliances will only be considered in No-Heat situations. Please see Section 6.13 for additional information.
- Air Source Heat Pumps are prequalified measures for Low-Income (Tier 1)
- and Moderate-Income Tier 3 projects when replacing propane, oil, kerosene, electric resistance, and wood-fueled equipment. Ground source heat pumps must pass cost effectiveness regardless of existing fuel type. See Sections 6.11. for additional information on heat pump equipment.
- Pellet Stoves are eligible for incentives for Low-Income (Tier 1) and Moderate-Income (Tier 3) households. Please refer to Section 6.9 for additional information.

General Procedures

- Work performed must comply with all State and local codes and must be completed in accordance with BPI standards, manufacturer's recommendations, and program requirements.
- Contractor must discuss the heating system operation with an appropriate household member to:
 - Identify problems and concerns expressed by the household
 - Educate the household on appropriate use and maintenance of the heating system.
- Adjustments to the heating system that are deemed to be health and safety related may be part of the inspection/servicing. Please refer to section 6.10.11 for incentive caps. Such measures may include replacement of a furnace filter, opening of restricted ductwork, bleeding an air-bound radiator, or adjustment of a gas burner.
- For existing fossil fuel heating equipment, furnace filter slots must be covered according to the manufacturer's specification.
- Completion of any heating system work which affects the efficiency of the heating system, another steady-state efficiency test must be performed. Final documentation,

descriptions of specific repairs completed, and specific costs must be provided along with invoices.

- Warranty, instruction manual and Participating Contractor contact information must be provided to the household.

Procedures related to secondary heating systems must be performed in accordance with BPI standards.

6.15 Fossil Fuel Conversion Policy

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.

6.15.1 Fuel Conversion: Eligibility Criteria

- Households with existing propane, kerosene, oil heating and natural gas equipment are only eligible to receive incentives in the following situations:
 - Equipment is being replaced as part of a no heat situation (see Section 5.7 for Low-Income (Tier 1) and Moderate-Income (Tier 3) project requirements.
 - Equipment fueled with a delivered fuel is being replaced with an air source heat pump. When heat pump equipment is being installed and the existing heating system is oil-fired, the contractor must ensure the oil tank and fill pipe are decommissioned per code.
 - Equipment fueled with delivered fuels is being replaced with a ground source heat pump and meets cost effectiveness criteria
- The full cost of installation for a fuel conversion must be submitted as part of the work scope submission for review and approval.
- Fuel conversions of secondary heating systems are not allowed.

For additional information, please see Section 6.16, Eligible Measures List.

6.15.2 Oil Tank Removal

Additional funding for both Low-Income (Tier 1) and Moderate-Income (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.

6.15.3 Fuel Conversion: Incentive Structure

Table 9. Oil Tank Removal Incentives

Tank Location	Incentive Cap
	Low Income/Moderate Income
Above ground	\$2000/\$1,000
Below ground	\$5000/\$2500

Incentive Information: Both Low-Income (Tier 1) and Moderate -Income (Tier 3) are covered 100% up to the incentive cap. Example: Below ground tank removal at cost of \$3600. For Low-Income the incentive covers the \$3600 and leaves no customer contribution. Same example for Moderate-Income (Tier 3) with an incentive cap of \$2500, the customer contribution would be \$1100 in this example.

If you have any questions regarding this requirement, please reach out to Contractor Support at 800-284-9069 or support.residential@nyserda.ny.gov

6.15.4 Considerations in Developing a Workslope

- Heat pump technologies should be considered for the replacement of a fossil fuel heating system.
- Participating Contractor must consider the household's ability to maintain the installed system according to manufacturer's recommendations, including timely replacement filters, when proposing high efficiency equipment.
- NYSERDA reserves the right to obtain additional bids for all proposed work.
- Contractor must consider options for the home's hot water heater, including but not limited to:
 - 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.

- 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.
- Incentives are available for Heat Pump Water Heaters (HPWH) and electric resistance hot water heaters
 - 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

6.15.4.1 *Special Considerations for the National Fuel Gas Conversion Program*

- Participating Contractors should call (716) 686-6123 (Monday-Friday 7am-6pm) or for after hour emergencies (800) 444-3130 for National Fuel Gas (NFG) offerings for EmPower+ eligible households.
- More information about the program and the application can be found at <https://www.fuelingtomorrowtoday.com/residential-customers/about-the-residential-program/>

6.16 Eligible Measures Guidance

This is a general guide to measures eligible for incentives available for Low-Income (Tier 1) and Moderate-Income (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 in the following tables, measures marked with a “□” below are “Prequalified” and eligible for Low-Income (Tier 1) and Moderate-Income (Tier 3) project incentives with no additional cost-effectiveness screening. Measures facilitating the installation of a project for up to 30% of the project cost are “Enabling Measures” and are deducted from the project cost per the Project Lifetime Savings Review formula described in Section 6.16. 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 in Section 6.16. In addition to project incentives, NYSEERDA

also offers several financing options through NYSED's Green Jobs Green New York (GJGNY) Residential Loan Fund: Smart Energy 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.

6.16.1 Eligible Measures List

Table 10. Primary Heating and Cooling System

Primary Heating and Cooling System Notes ^{a,b,c}

Eligible Measures	Minimum Efficiency Requirements	Prequalified	Incentive Cap (Tier 1/Tier 3)
Air Source Heat Pump (electric split systems) ^d	Listed on NEEP Cold Climate and ENERGY STAR Qualified. Program approval required if dollar savings are not positive.	-	-
Ground Source Heat Pump ^d	See NYS Clean Heat Program for requirements.	-	-
Furnace– Natural Gas	No-Heat Emergency Only AFUE 96% with ECM (Mobile Home: AFUE 95% with ECM). Only replacing existing Natural Gas furnace with efficiency of 80% or less.	-	Financing Only
Furnace– LP	No-Heat Emergency Only AFUE 95%	-	Financing Only
Furnace– Fuel Oil, Kerosene	No-Heat Emergency Only AFUE 85%	-	Financing Only
Boiler – Natural Gas Condensing	No-Heat Emergency Only AFUE 90%. Includes combi-boilers. Only replacing existing Natural Gas boiler with efficiency of 80% or less.	-	Financing Only
Boiler – LP Condensing	No-Heat Emergency Only AFUE 90%	-	Financing Only
Boiler – Fuel Oil/Kerosene Condensing	No-Heat Emergency Only AFUE 87%	-	Financing Only
Boiler – LP/Natural Gas Non-Condensing	No-Heat Emergency Only AFUE 85%. Project must include boiler reset control; tank-less coil DHW is not allowed.	-	Financing Only
Boiler – Steam	No-Heat Emergency Only AFUE 82% (size must be matched to cumulative capacity of connected radiators, per Institute of Boilers & Radiator Mfrs (IBR) standards).	-	Financing Only
Pellet Stove ^e	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 ^e	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) ^{f,g}	AHRI Certificate Required. 14.5 SEER and ENERGY STAR Qualified.	-	Financing Only

(Table 10, continued)

Eligible Measures	Minimum Efficiency Requirements	Prequalified	Incentive Cap (Tier 1/Tier 3)
Room Air Conditioner ^h	ENERGY STAR Qualified. Health & Safety only with a doctor's note.	-	Financing Only
Distribution Improvements ⁱ	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.	-	-
Programmable Thermostat	5+2 day programmable thermostat including smart thermostat. Limited to one thermostat installed per zone.	✓	Financing Only

Table 11. Building ShellTable 11. Building Shell

Eligible Measures	Minimum Efficiency Requirements	Prequalified	Incentive Cap (Tier 1/Tier 3)
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 ^k	See Table 1A for specific R-value requirements. Must be accompanied by blower door assisted air sealing per BPI and program guidelines.	-	-

(Table 11, continued)

Eligible Measures	Minimum Efficiency Requirements	Prequalified	Incentive Cap (Tier 1/Tier 3)
Air Sealing ^l	Supervised by professional; blower door assisted per BPI and program guidelines. Some measures not prequalified.	✓	-
Exterior Doors ^c	ENERGY STAR Qualified. May be subject to SHPO review.	-	-
Replacement Windows ^m	U Value 0.28, SHGC .032, Air Leakage ≤ 0.3 CFM/ft ² . Including Jalousie window. May be subject to SHPO review.	-	\$2,000
Movable Window Insulation	R-3	-	-

Table 12. Hot Water Heater*Hot Water Heater Notes^{b,n,o}*

Eligible Measures	Minimum Efficiency Requirements	Prequalified	Incentive Cap (Tier 1/Tier 3)
Heat Pump Water Heater	ENERGY STAR Qualified. Installed per manufacturer specifications, use professional discretion when citing.	✓	\$5,000/\$2,500
Electric Resistance Storage Tank	Replacement for Health & Safety only. As high an efficiency (UEF) as possible based on product availability.	-	\$1,250/625
Mobile Home Storage Tank ^o	Replacement for Health & Safety only. Electric: 0.92 UEF, Mobile Home Rated. Sealed Combustion (Direct Vent): Mobile Home Rated.		\$2,000/1,000

Table 13. Lighting

Eligible Measures	Minimum Efficiency Requirements	Prequalified	Incentive Cap (Tier 1/Tier 3)
LEDs	ENERGY STAR Qualified. Limited to 16 standard/unlimited candelabra (can include 1 nightlight). Requires replacement of existing in-service incandescent lightbulbs with LEDs and must be part of a comprehensive project where lighting is under 5% of the total project cost.	-	-

Table 14. Direct Install^a

Eligible Measures	Minimum Efficiency Requirements	Prequalified	Incentive Cap (Tier 1/Tier 3)
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 are not eligible. Limit one per household member.	✓	-
DHW Pressure Relief Valve Discharge Pipe	Existing units only. Installation costs for measure on new water heaters need to be included in the new water heater's cost.	✓	\$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. Install per local/state code.	Enabling	-
Furnace Filter	-	✓	-
Furnace Filter Slot Cover	When not present or malfunctioning.	✓	-

Notes, Tables 10-14

- ^a. Defined as the primary heating system for the space being conditioned. Secondary heating systems are not eligible. The new unit must be the primary heat for the space being served.
- ^b. Costs beyond caps are responsibility of the customer.
- ^c. Specific requirements for ENERGY STAR Qualified products can be found by visiting: <https://www.energystar.gov/products>.

- d. Measures only require positive dollar savings when replacing electric, propane, oil, kerosene, or wood units. Natural gas units are not eligible for replacement. The home where the heat pump is being installed (heating/cooling only) must meet the minimum insulation level specification set by NYSERDA (see Section 5.18.2). The existing heating system must be decommissioned.
- e. 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.
- f. Not eligible for program incentives but measure savings can be used to determine project lifetime savings.
- g. Measure is only eligible when there is a replacement of an existing appliance or existing cooling system.
- h. Tier 1 Low-Income customers must be referred to [OTDA Cooling](#) for assistance. If denied, full cost of unit may be covered.
- i. 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.
- j. Moving objects on behalf of the customer costs are required to be included in the insulation installation costs.
- k. Rim joists and cantilever foam measures are Prequalified.
- l. 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 Low-Income projects \$200 for Tier 3 Moderate-Income 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.
- m. 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 work scope submission.
- n. Use manufacturer's sizing guidelines or visit <https://www.energy.gov/energysaver/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
- o. Incentivized only to correct Health & Safety issues in situations where a Heat Pump Water Heater 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 are 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.
- p. Utilize [AHAM's Room Air Cleaner Certification Program](#). CADR ≥ 2/3 of the room's area.
- q. See Section 2.4 for additional details on Direct install pricing and procedures

6.16.2 Insulation Requirements

Table 15. Insulation Requirements and Infiltration Recommendations (1-4-Family Homes)

Insulation Measure	R-Value/ACH50	Application Notes
Infiltration	10 ACH50 Max	Recommended target to make a home Heat Pump ready. Required for Heat Pump projects, review section 4.15.

Attic Open/Floored	R-40 Average or Fill to Capacity	Area-weighted average R-value of all horizontal attic floor areas in the home must be $\geq$ R-40. This area includes attic hatches and pull-down stairs. Maximum depth of cavity when dense packing.
Attic Knee Wall	R-15	Dense packing requires an air barrier. Use fireproofing when required for foam products.
Attic Gable End Walls	R-14	Use fireproofing when required for foam products.
Attic Slopes	R-40 or Fill to Capacity	Maximum depth of cavity when dense packing. Use fireproofing when required for foam products.
Exterior Walls Above Grade	R-14	Maximum depth of cavity when dense packing. Proposed cavities must have a minimum void depth of 2 inches to be eligible for incentives.
Band Joist	R-14	Maximum depth of cavity when dense packing.

(Table 15, continued)

Insulation Measure	R-Value/ACH50	Application Notes
Rim Joist	R-14	Rim joists must be sealed and insulated.
Cantilever	R-21	Maximum depth of cavity when dense packing. Use fireproofing when required for foam products.
Garage Ceiling	R-21	Maximum depth of cavity when dense packing. Use fireproofing when required for foam products.
Crawl Space Ceiling	R-21	Maximum depth of cavity when dense packing. Crawlspace must not contain any mechanicals or distribution work. Space must be rendered inaccessible after insulation. Fireproofing when required.
Crawl Space Walls	R-14	Use fireproofing when required for foam products.
Foundation (Basement) Walls	R-14	Insulation of foundation wall to cover above grade areas only, down to 2' below grade. Area is not finished as a living space, no drywall; fireproofing when required.

Table 16. Insulation Requirements and Infiltration Recommendations (Manufactured Homes)

Insulation Measure	R-Value/ACH50	Application Notes
Infiltration	12 ACH50 Max	Recommended target to make a home Heat Pump ready. Required for Heat Pump projects, review section 4.15.
Mobile Home Walls Above Grade	R-11	Maximum depth of cavity when dense packing.
Mobile Home Attic	R-19	Area-weighted average R value of all horizontal attic floor areas in the home must be $\geq$ R-19. This area includes attic hatches and pull-down stairs.
Mobile Home Belly	R-23	See specific technical guidance document

6.16.3 Health and Safety Measures

All Health and Safety Measures and Accessories must be itemized for the purpose 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:

Low-Income (Tier 1) - \$1,000, Moderate-Income (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 and outlet gaskets can be included with air sealing. Baffles, insulation dams, and creating access to the attic can be included with attic insulation.

6.16.4 Eligible Health & Safety Measures List

Table 17. Eligible Health & Safety Measures List

Eligible Measures	Program Requirements	Prequalified
Bath Fan: New, Replacement and Venting	Insulated duct in unconditioned space. Vent to exterior in all cases. Installation as needed by signs of moisture.	Enabling
Dryer Vent Repair	Vent to exterior in all cases.	Enabling
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 Low-Income \$500, Tier 3 Moderate-Income \$250. Includes repairs only to exterior wood boilers, not upgrades.	Enabling
Fuel (gas/oil) Leak Repair	Gas leaks require confirmation with bubble solution.	Enabling
Moisture Barriers, Crawlspace/Vapor Barrier	Required on dirt floors.	Enabling
Heat/Energy Recovery Ventilator	ENERGY STAR Qualified.	Enabling
Ventilation Fans	Make-up air needs to meet ventilation requirements. Whole house fans or similar attic exhaust fans are not eligible.	Enabling
Main Panel Electrical Service Upgrade	Work must be performed per local jurisdiction. Not cost prohibitive. See Permits measure for additional details.	

Eligible Measures	Program Requirements	Prequalified
Electrical Wiring Upgrade	Work must be performed per local jurisdiction. Not cost prohibitive. Examples of electrical upgrades include: 1) new dedicated wiring with the installation of a furnace, boiler, heat pump, H/ERV, bath fans, whole home dehumidifier, 2) new dedicated wiring for future installation of an induction stove, heat pump dryer, EV charger, 3) other wiring upgrades needing replacement for health and safety concerns (not to Code) including outlets, switches, and lighting, 4) upgrading knob & tube in a home only when installing a measure. Does not include standalone grounding of the electrical panel (that needs to be done via a Main Panel Electrical Service Upgrade).	Enabling
Air Purifier	Replacement of existing appliance or determined to be medically necessary (Doctor's note required). AHAM Verified®. Follows EPA Guidance ENERGY STAR Qualified Utilize AHAM's Room Air Cleaner Certification Program. CADR $\geq$ 2/3 of the room's area.	
Dehumidifier	ENERGY STAR Qualified. Can only be installed in basement/crawlspace.	
Chimney Liners and Caps	Only to correct Health & Safety issues.	Enabling
Home Repairs	Necessary repairs to the home due to water damage, molds and mildew, ice dams or other symptoms of poor building performance that if left unaddressed would block installation of home performance measures. Repairs that have their own designated measure in NYHEP (i.e., Roof Repair, Mold/Mildew Abatement, Gutter Repair/Replacement) must be modeled under the appropriate measure code.	Enabling
Mold assessment	Mold assessment is capped at \$2,000 for both Tier 1 and Tier 3. Incentive is for assessment costs only and cannot be used for abatement. Mold assessment must be completed according to New York State law and EPA guidelines.	
Gas Oven Repair/Replacement	Only to correct Health & Safety issues. Costs beyond caps are responsibility of customer. Maximum incentives: Tier 1 Low-Income \$500, Tier 3 Moderate-Income \$250.	
Oil Tank Removal or Replacement	Tier 1 Low-Income only when removal or replacement required by Code or to solve a Health & Safety issue. Tank must be removed according to local jurisdiction and EPA guidelines. Tier 1 Low-Income or Tier 3 Moderate Income eligible when removed with the conversion of an oil-heating system to an ASHP/GSHP (See footnote for caps). When removed with conversion of an oil-system to an ASHP/GSHP incentives are 100% and capped based on tank location and Tier 1/Tier 3 incentive level: Above ground (\$2000/\$1,000) and Below ground (\$5000/\$2500).	Enabling
Sump Pump: New or Replacement	As needed by signs of bulk moisture, at contractor recommendation.	Enabling

6.16.5 Eligible Health & Safety Qualifying Accessories List

Table 18 Eligible Health & Safety Qualifying Accessories List

Eligible Measures	Program Requirements	Prequalified
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 ²).	
Drywall Repairs	Includes reinforcing existing surface for dense packing.	Enabling
Thermal Barriers for Spray Foam (drywall/intumescent paint)	Required if the 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 non-direct-install projects where a total of less than 500 sq ft of insulation is blown.	
Furnace Humidifier		
Permits	Measure costs must reflect the cost of the permit only. All additional fees must be accounted for within the cost of the measure for which the permit was obtained to enable. Provide proof that the required permits/inspections were obtained at completion. If documentation is not available, notes should clearly state why documentation was not available and when the expected inspection will occur.	Enabling
Well Pump Replacement		Enabling

6.16.6 Other Enabling Measures

In addition to the Enabling Measures indicated above, the following are also considered Enabling Measures for the purposes of the Project Lifetime Savings Review:

- Assessment Fee
- Combustion Appliance Zone (CAZ) Test
- Other Fee
- Repair Broken Plumbing Vents in Attic
- Blower Door Test
- No Show Fees
- Tolls (As part of the Assessment)

6.17 Project Lifetime Savings Review

Projects with non- “Prequalified” measures require the project’s lifetime dollar savings to be greater than 80% of the Low-Income (Tier 1) or Moderate-Income (Tier 3) incentive. Annual Energy Savings and Effective Useful Life determined by the [New York State Technical Resource Manual \(TRM\)](#). If enabling measures are more than 30% of the project cost, the amount over 30% will count towards the incentive to savings ratio needed for project approval.

Sum of [Annual Energy (\$) Dollar Savings x Effective Useful Life (EUL)]

- NYSERDA Program Incentive (-Enabling Measure Costs) x 80%

6.18 Determination of Work Scopes and Incentive Caps

6.18.1 Work Scope Overview

- For an overview of customer incentives, including Low-Income (Tier 1) and Moderate-Income (Tier 3) project caps, please refer to Section 4.4.
- Projects with fossil fuel heating equipment needing replacement are only eligible for replacement through the No-Heat process, during the heating season. Please refer to Section 5.8 for project requirements.
- For projects with one or more rental units, please refer to Section 5.5 for project level incentive caps.
- For projects with all pre-qualified measures, health and safety measures are capped at \$1,000 per project for Low-Income (Tier 1) eligible households and \$500 per project for Moderate-Income (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. Please refer to Section 6.16 for additional information.
- 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.
- In situations where a Low-Income (Tier 1) project work scope is deemed reasonable, but exceeds funding limits, the household can consider working with a Clean Energy Hub for other funding opportunities which may include coordinating the project with a Weatherization Assistance Program (WAP) contractor. In addition, the household may consider low-interest financing through Green Jobs Green New York for the cost above Program caps.

6.18.2 Additional Measures

- Participating contractors are required to provide comprehensive home energy assessment 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.
- In situations where variations in procedure are required, the participating contractor must first discuss and document potential changes with the program implementer.

6.19 Measures and Installation Criteria

Through EmPower+, all measures must be installed by the participating contractor, 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 6.16.

6.19.1 Carbon Monoxide/Smoke Detectors

- Smoke detectors: To be installed as required by New York State law.
- CO detectors: In dwellings which have either a combustion appliance or attached garage, the Participating Contractor must ensure that a working CO detector is present.
- If installed by the Participating Contractor, the household must be instructed in its use and be provided with instruction manual and warranty information.
- CO/smoke detectors that are provided by the Participating Contractor must meet the following criteria:
 - UL compliant
 - Conform to all local/state codes
 - Detector must be installed per manufacturer specifications

6.19.2 Domestic Hot Water Measures

6.19.2.1 Hot Water Heating

- Temperature adjustment
 - Criteria
 - Tested hot water temperature is greater than 120 degrees
 - The household is amenable to temperature change

- For rental units, owner permission to change the hot water temperature, must be obtained.
- In non-rental units, whenever possible, the household member participating in the home energy assessment should be present, shown how to make the adjustments and encouraged to perform the adjustment themselves.
- The contractor must follow the manufacturer's procedures for adjusting the temperature on hot water heaters.
 - CAZ and gas leak testing must be completed as required by BPI.
 - Gas or oil hot water heating systems must meet venting codes of the National Fire Protection Association (NFPA) as applicable:
 - NFPA 54: The National Fuel Gas Code
 - NFPA 31: Standard for the Installation of Oil-Burning Equipment
 - NFPA211: Standard for Chimneys, Fireplaces, Vents, and Solid-Fuel Burning Appliances.

6.19.2.2 Pipe Wrap

Criteria - For electric hot water heaters only

- A water heater change-out is not under consideration
- Pipes are not currently insulated or are insulated poorly
- No pipe leaks exist
- If the water heater has heat traps, insulation of the intake pipe is not required.
- Pipes are not part of a tankless system.

Procedures

- All installed pipe insulation should be of a size that is correct for the pipe: i.e., no exposed pipe due to using pipe insulation that is too small. Corners must be mitered, and insulation secured with tape.
- First 6 feet of hot water pipe and 3 feet of intake water pipe must be insulated.
- Pipe insulation must be at least R3.

6.19.2.3 Showerhead Replacement

Criteria

- Pre-existing showerhead has a flow rate greater than 3 gallons per minute (GPM)
- Current showerhead is not required for medical reasons
- Showerhead may be installed without damaging the plumbing.
- Showerhead to be installed is acceptable to household

Procedures

- The Participating Contractor must test the water flow if the existing shower head does not have water GPM listed on the fixture. New shower head must be installed per manufacturer specifications.
- Shower-massager or hand-shower models are acceptable but install type must be discussed with the customer before installation.
- The new showerhead must have a flow rate in the range of 1.7-2.5 GPM.

6.20 Insulation Measures

Participating Contractors can reference Section 5.16.1 to identify what air sealing and insulation measures are prequalified and what the Program minimum efficiency requirements are for each type.

6.20.1 Air Sealing Methodology

Criteria

- Blower door testing must be performed, when feasible, at the time of the assessment and test out in accordance with BPI standards outlined in ANSI/BPI-1200-S-2017 "Standard Practice for Basic Analysis of Buildings."

Procedures

- During the home energy assessment, the Participating Contractor will conduct a blower door test and use pressure diagnostic techniques to identify major sources of infiltration.
- If the Participating Contractor does not provide air sealing as part of the work scope, written explanations must be provided to program implementation staff.

- The Participating Contractor will make a list of specific air sealing tasks to be performed. For Low-Income (Tier 1) projects, these tasks are to be based on the current hourly rates in the Appendix Section, EmPower+ Pricing.

6.20.2 Insulation

Participating Contractors can reference Section 6.16 Table 10 for the Program insulation requirements for each measure. Participating Contractors should prioritize options for insulating the whole home with cost effective measures rather than using a high- cost single measure in limited areas.

Criteria

- No significant structural deficiencies exist (such as leaking roof) which would impede the effectiveness of the insulation. Such deficiencies must be corrected prior to insulating.
 - Participating Contractor should consult with program implementation staff for minor repairs and/or accessories that can be included as part of the project cost.
- Structure is sound enough to support the weight of the insulation and installer(s). This includes the condition and thickness of the installed sheet rock.
- When proposing to dense packing ceiling slopes and/or wall cavities, the proposed cavities must have a minimum void depth of 2 inches.
 - Example: A 2x4 wall cavity with 2 inches or more of pre- existing fiberglass insulation would not be eligible
 - Example: A 2x6 wall cavity with 3 inches or less of pre- existing fiberglass insulation would be eligible.
 - The contractor must ensure they are able to insert the insulation tube to reach all areas of a cavity with pre-existing insulation. Areas that are not able to be insulated must be removed from the measure cost submitted to NYSERDA and a note added to the enrollment in NYHEP.
 - Contractors must conduct a thorough assessment of wall cavities or ceiling slopes before proposing these areas for additional insulation work through EmPower+. Workscope submissions that include the dense packing of wall cavities or ceiling slopes where the proposed cavity includes pre-existing insulation must include photos of the existing wall cavity conditions to support that the combined R-value and density of new and existing insulation will meet manufacturer installation specifications.

General Procedures

- All insulation must be installed in a manner that is consistent with BPI Standards, manufacturer's specifications, NYSERDA program guidelines, and local codes.
- For shell measures installed in unfinished/open cavities, unless Program approves to finish small areas as part of the eligible work scope, the building owner or designated representative must attest the insulated areas will be finished within 30 days of project completion, or sooner, if required by code or manufacturer's specifications.
- Participating Contractor must inspect premises for presence of knob and tube wiring and note location. If knob and tube wiring is present in the attic the Participating Contractor may:
 - Insulate attic but ensure that no insulation is in direct contact with knob and tube wiring. Contractors must ensure they follow all codes when installing insulation in the areas of knob and tube wiring.
 - Propose removal of knob and tube wiring in order to fully insulate attic
 - The Participating Contractor must provide photographs of pre-existing knob and tube wiring a detailed description of the remediation plan, and remediation costs to implementation staff for review.
 - For Low-Income (Tier 1) projects, the Participating Contractor must receive authorization from program implementation staff prior to proceeding with knob and tube remediation.
 - Participating Contractors shall follow the requirements of the local jurisdiction when completing any electrical work in a home, including when the removal of knob and tube is required.
 - Participating Contractors are not required to use a licensed electrician to remove active/live knob and tube wiring unless a licensed electrician is required by the local jurisdiction where work is being performed.

Procedures specific to attic insulation

- Participating Contractor must ensure that insulation levels are sufficient to allow for any settling that may occur in an open blow. At the time of installation, the installed insulation must be at least 1" higher than the invoiced level.
- Stairway accesses to attics must receive wall insulation and stair tread high-density cellulose to ensure a complete thermal boundary. The access door must receive weatherstripping and a door sweep and must be secured to prevent air leakage.

- If attic hatches exist or are installed in a dwelling, the Participating Contractor must weatherstrip and insulate the hatches but not permanently seal.
- If a Participating Contractor creates an access to the attic that must be permanently sealed (such as access through drywall, or situations where the Participating Contractor insulates the attic through a vent), the Participating Contractor must provide pre-and post-photos of the installed insulation, in accordance with Section 6.24.
- In situations where objects stored in attic impede the Participating Contractor's ability to adequately insulate attic, the Participating Contractor may require the household move objects within a given time frame.
 - For Low-Income (Tier 1) projects, in rare instances, such as situations in which a household member is disabled, the Participating Contractor may propose to the Program a charge for moving objects, prior to installation. In other situations, additional resources from outside of the program may be required.
 - When a floored attic exists, the Participating Contractor must remove and replace flooring in a manner that provides minimum damage, and which provides access to all areas. Broken and split boards must be replaced with a like product and fastened appropriately. If a drill-and- plug method is used, the finished plugs must be flush with existing surfaces.
 - In situations where the knee walls are insulated, the Participating Contractor must adequately block the thermal bypass at the attic floor/knee wall intersection.
 - Ventilation must be installed in accordance with all applicable building codes, BPI standards, and program requirements. All openings must be sealed in a weathertight manner and must not greatly detract from the aesthetics of the structure.
 - Vent openings shall be cut in such a manner as to allow maximum airflow through the vent.

Procedures specific to sidewall insulation

- Participating Contractor must make every effort to determine the presence of pre-existing insulation.
- Acceptable methods include:
 - Probing outside of electrical outlets but inside outlet covers with a non-conductive probe such as a plastic knitting needle.

- Drilling holes in exterior facing walls in discrete areas such as closet walls. Any penetrations made by the Participating Contractor should be sealed following the inspection.
- Probing gaps or holes in the interior surface of the exterior wall.
- Consulting with the occupant.
- Pulling, drilling, checking under siding. Any penetrations made by the Participating Contractor should be sealed following the inspection.
- Infrared scans.
- If pre-existing cellulose wall insulation is found and there is reason to believe that significant settling has occurred, re-insulation may be considered as follows:
 - Contractor must notify program implementation staff.
 - An infrared scan must be used to identify the extent of voids.
 - Square footage of the void space must be documented.
 - Contractor may then propose an adjusted wall price, based on higher labor cost/ft².
- When insulating walls:
 - If pre-existing wall insulation is present, the crew must accurately document, with notes and pictures as needed, the location of added wall insulation.
 - Siding must be removed in all cases and reinstalled to match the original condition. Damaged siding must be repaired and replaced with like material and color, as necessary and must be watertight. Only paintable caulk is acceptable for sealing replaced siding.
 - Drilling directly into exterior siding or drilling into the interior walls of the home is prohibited unless Participating Contractor obtains written permission from the homeowner and approval to proceed from Program implementation staff. As part of the written permission, the Participating Contractor must provide a detailed description of the expectations for sealing the holes (i.e. plugged and 1 coat of spackle and or ready to paint).

Procedures specific to miscellaneous insulation measures

- Insulation of floors or crawlspaces may be acceptable measures provided that these measures:
 - Are cost effective

- Do not create the potential for freezing of pipes
- Are consistent with an appropriate thermal boundary for the home. Floor insulation between a warm basement and a heated space above, for example, is not appropriate.
- Address any air leakage issues with appropriate air sealing
- Floor insulation must be installed in such a manner that insulation is in contact with the sub-floor, with kraft or foil face applied towards the sub- floor and in accordance with applicable state or local codes.
- Dirt-floor crawlspaces require a continuous air/moisture barrier installed in accordance with state or local code. This barrier must extend at least 10-16" up the foundation wall and sealed.
- Exhaust fans that terminate into crawlspaces or attic spaces must be rerouted to the outside. Ductwork must be rigid.

6.21 Lighting Measures

The following guidelines will assist Participating Contractors with the creation of reasonable lighting retrofit packages, and modeling of the associated savings. This guidance is for Direct Install, Low-Income (Tier 1) and Moderate-Income (Tier 3) projects.

6.21.1 LED Installation Guidelines

- EmPower+ incentives are available for the replacement of in-service incandescent lightbulbs only.
- Must be installed as part of a comprehensive project, where lighting is under 5% of the total project cost.
- Existing light bulbs must be 60 watts or greater to be eligible for replacement.
- LEDs must be installed in high use areas. The installation of LEDs in low use areas such as closets, unfinished basements, attics, garages or utility rooms is not permitted.
- LEDs must be rated for the light fixture, switch type, environment, etc. in accordance with the manufacturer's recommendation.
- Participating Contractor must physically replace the existing lighting with LEDs during the course of completing the direct install/project work scope for Low-Income (Tier 1) or Moderate-Income (Tier 3) projects. It is not permissible for the contractor to provide the customer with LEDs for the customer to install.

- Candelabra LEDs
 - The chandelier must be in use for an average of three or more hours per day.
 - The household must be willing to accept the appearance of the bulb.
 - In instances where more than 20 LEDs will be installed at the project, a lighting schedule may be required per bullet 7. below.
- To ensure adequate lighting, contractors must, whenever possible, replace incandescent bulbs with LEDs as indicated in Table 16.

Table 19 LED Replacement Guide

Pre-existing Incandescent	Light Output	Replacement LED Max
60 watts	750-1049 lumens	8 watts
75 watts	1050-1489 lumens	13 watts
100 watts	1490-2600 lumens	20 watts
150 watts	2601-2800 lumens	28 watts

- In instances where a project includes more than 20 LEDs, Participating Contractors must submit an LED installation schedule detailing the pre and post bulb wattage, location, and burn time. Projects where more than 20 LEDs are specified may be considered eligible but will be reviewed and considered on a case-by-case basis. If a detailed schedule (e.g. pre/post wattage, location, burn time) has been modeled in the program software, a separate lighting schedule is not required.

6.22 Project Assignment Process

Upon receipt of a completed [EmPower+ Application](#), implementation staff will review the application and based upon the provided income documentation, assign the project as either Low-Income (Tier 1) or Moderate-Income (Tier 3). Once a program tier has been assigned, the household is only eligible for services and incentives provided to that tier.

Participating contractors cannot submit EmPower+ applications on behalf of a customer except for the following situations:

- Weatherization Assistance Program (WAP) contractors submitting on behalf of their customers
- Participating Contractors submitting on behalf of a customer who is categorically eligible and can provide a copy of an award letter from the following:
 - HEAP (Home Energy Assistance Program)

- SNAP (Supplemental Nutrition Assistance Program/Food Stamps)/SNAP NYC
- SSI (Supplemental Security Income)- (this is different from Social Security Retirement or Disability benefits which are used as income sources for Standard Eligibility)
- TANF (Temporary Assistance for Needy Families)
- Weatherization Assistance Program
- Public Assistance

Contractors will have access to MyEnergy for the purposes of submitting and monitoring these applications. Participating contractors should encourage applicants to apply online through MyEnergy. While paper applications are still acceptable, they require manual entry which results in additional time to process. While a participating contractor can work with a household to submit a paper application to EmPower+, stockpiling and submitting bulk applications for processing by participating contractors is not allowed.

Applicants submitting an EmPower+ Application can select a participating contractor during the application process. If the household has selected a participating contractor, implementation staff will prioritize the project assignment to that contractor. If a participating contractor was not selected during the application process, the next available contractor serving that geographic region will be selected. Once a household has been approved for services, the program implementation staff sends correspondence to the household, informing them of program approval, and providing the name and contact information of the participating contractor and NYSERDA's program implementor.

Participating contractors are responsible for checking program assignments through NYSERDA's NY Home Energy Portal on a routine basis. Participating contractors must make every effort to promptly pursue a referral and complete the necessary work. If the participating contractor fails to properly respond to a referral within 5 business days, the referral may be reassigned to another participating contractor by NYSERDA. Through the New York Home Energy Portal (NYHEP), the participating contractor can request an additional 5 business days if needed. Future referrals may be affected by a failure to promptly respond to referrals.

Upon accepting a household, the participating contractor must review provided customer documentation and, when available, energy usage information, directly from the NYHEP. Prior to the visit, the participating contractor should review this data to identify energy usage patterns and potential measures.

Following review of the customer documentation, the participating contractor must then contact the household to schedule a visit. During this contact, the participating contractor may:

- Verify interest
- Schedule the home energy assessment
- Clarify directions
- Discuss the need to gain full access to the dwelling
- Provide a brief overview of the home energy assessment process and the anticipated timeframe for completion.

The participating contractor must make at least three attempts to contact the household at various times of the day and evening using provided contact information. Participating contractor should try multiple types of contacts (i.e. if email and phone number is provided, send an email, and call the household). If no response is received, the participating contractor must send a letter to the household requesting contact from the household by a given deadline and providing appropriate phone numbers including program implementor's number, 866-NYSERDA. If the household does not respond by the deadline, the participating contractor should document their outreach efforts in the NY Home Energy Portal.

If an appointment is scheduled more than a week in advance, participating contractor must contact the household a day or so before to remind them of the appointment, thus reducing the likelihood of a no-show appointment.

6.22.1 Low-Income (Tier 1) 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 sends application packets to referral households for return to the program. If a participating contractor is not selected by the customer at the time of application, then NYSERDA's Program Implementor will distribute these referrals based upon geographic location of the referred household to the next available Participating Contractor. Participating contractors should expect referrals to supplement their own customer generation.

Participating contractors shall accept referrals from the Program and shall make every reasonable effort to encourage applicants to participate in the Program and, when providing Program services to these referral leads, do so in accordance with the Program guidelines, the

Participation Agreement, and the 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 Section 6.4.

6.22.2 Contractor Participation

NYSERDA has a defined budget to serve EmPower+ Program participants and reserves the right to limit the number of contractors approved to provide programmatic services to EmPower+ Program participants, and the number of projects assigned to approved participating contractors.

EmPower+ will evaluate budgets and participating contractor regional coverage at a minimum every 6 months and adjust as needed to ensure Program's ability to effectively serve New York State is maintained.

6.22.3 Project Assignment

For participating contractors, the number of referrals/project assignments will fluctuate based on the volume of referrals and applications received and the contractor capacity of the participating contractor's service territory. Approval of a participating contractor for Program participation by NYSERDA does not guarantee that projects will be assigned to the participating contractor. NYSERDA and its program implementor cannot guarantee assignments to participating contractors.

6.22.4 Contractor Assignment Capacity

It is the responsibility of the participating contractor to manage their work assignments accordingly. Participating contractors with a maintained backlog of projects may have referrals reassigned to a participating contractor in need of additional work. It is expected that the participating contractor will complete services within 90 calendar days, following notification of the final project submission step in the New York Home Energy Portal; if services are not provided in a timely manner, and alternative project arrangements have not been agreed to, NYSERDA reserves the right to re-allocate incomplete work to other participating contractors.

- **Program Compliance:** Participating contractors in good standing with the program will be eligible to receive referrals/project assignments. Participating contractors demonstrating a lack of knowledge about program guidelines, have a high rejection rate of project work scopes or invoices, have frequent contractor reassignment requests,

or are non-responsive to NYSERDA or the program implementer's requests will be considered out of compliance with the Program. The participating contractor will be notified in writing and required to correct the problem as prescribed. During this time Program referrals/project assignments may be limited until the issue is satisfactorily rectified.

- **Contractor Assignment:** The ability of a participating contractor to receive referrals/project assignments may be impacted if that contractor is under disciplinary action as established through terms of Probation or has been Suspended from the program.

6.22.5 Contractor Service Territories

Project referrals and project assignments are determined in part by a participating contractor's self-identified service territory. Participating contractors may choose to serve specific market regions, counties, or a defined radius from their office. The participating contractor shall dedicate sufficient staff with Program approved certifications for each approved service territory. The participating contractor shall employ at least one individual meeting the certification requirements of Section 6. per 75-mile radius. Contractors must notify the program if they wish to no longer serve specific areas.

The participating contractor shall only offer Program services in approved Program service territories identified on the fully executed Participation Agreement on file with NYSERDA or as approved through a separate communication submitted to NYSERDA. The participating contractor shall not provide services in other territories where it does not have prior approval from NYSERDA. The participating contractor may submit a request to provide services to additional locations outside their approved Program service territories. The decision to allow a participating contractor to expand its Program service territory is at the sole discretion of NYSERDA.

6.23 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.

Table 20. Required Forms and Documents Based on Project Type

Notes: Key: ✓ Required - Not Required Unless Specified in Notes

	Homeowner		Landlord		Notes
Workscope Submission Documents	Full Comp/ Muni	Audit Install	Full Comp/ Muni	Audit Install	-
Test In Form	✓	✓	✓	✓	-
Landlord Agreement (aka Rental Property Energy Efficiency Services Agreement)	n/a	n/a	✓	n/a	-
Utility/Fuel Bills	-	-	-	-	Contractor Collects, required for all projects' where projected savings are over 30%. Waiver is acceptable for delivered fuels only.
House Diagram	✓	✓	✓	✓	With dimensions
Workscope Submission Photos ^a	✓	✓	✓	✓	-
SHPO Form	-	n/a	-	n/a	Only required when SHPO approval needed

^a. Please refer to Section 6.24 for photo requirements

Table 21. Forms and Documents For Heat Pump Projects Only

For Heat Pump Project Only- In addition to the above required forms

Specific Document	Required Review	Notes
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 ^a Showing Proposed Indoor/Outdoor Equipment Installation Locations		-
Photos ¹ of the Existing System		-
Copies of all utility bills, including delivered fuels		Usage must be documented; waiver is acceptable for delivered fuels only

^a. Please refer to Section 6.25 for photo requirements

For Heat Pump Projects seeking the additional incentive, the following must be provided in addition to the required forms.

Table 22. Forms and Documents for Heat Pump Projects Seeking the additional Incentive

Key: ✓ Required - Not Required Unless Specified in Notes

Specific Document	Required Review	Notes
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 are required. In addition, proof the new system will work effectively with the existing ductwork by providing us with ductulator 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

Table 23. Final Project Submission Documents

Final Project Submission Documents	Full Comp/ Muni	Audit Install	Full Comp/ Muni	Audit Install	Notes
Test Out Form	✓	n/a	✓	n/a	Required if any measure other than DI measures were proposed
Signed contract	✓	✓	✓	✓	Required for all moderate- and low-income projects, including audit only. Signed contract needs to align with approved work scope and be signed prior to the start of work. Any work scope 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.”
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(Table 23, cont’d)

Final Project Submission Documents	Full Comp/ Muni	Audit Install	Full Comp/ Muni	Audit Install	Notes
Final Project Submission Photos ^a	✓	✓	✓	✓	
Contractor Invoice (Invoice ProForma Report)	✓	✓	✓	✓	
Subcontractor Invoice	-	-	-	-	Only required if subcontractor is working on the project

^a. Please refer to Section 6.25 for photo requirements.

6.24 Photo Requirements

All pre and post installation pictures submitted as part of an EmPower+ project will need to be timestamped and geo-tagged.

As part of an EmPower+ Project, the participating contractor must take digital photos, geo-tagged to document both pre-existing conditions and installed measures. As needed, participating contractors are encouraged to provide additional photographs with detailed labels to document onsite conditions or to provide the program with additional information to support an exception request to Program requirements.

Submitted geo-tagged photographs must be clear and provide sufficient information for the Program to make measure approval determinations and understand the existing conditions found at the project location.

6.24.1 Required Project Installation Photos

Photographs of all installed measures must be geo-tagged, including latitude and longitude coordinates, to be considered for incentive payment.

The following geo-tagged photographs are required on all projects:

- All installed measures

- Project conditions resulting in the completion of a Field Change Order Health and safety issues identified at the start of work that prevent the installation of approved measures
- Areas that will be made inaccessible following the completion of work

For pre and post installation projects with heat pumps, the following geo-tagged photos are required in addition to the project installation photos referenced in Table 20. Pre-Installation-Photos of the existing heating system

- Post-Installation-Photo of the unit installed and photo of the name plate with a clear view of the model and serial numbers. Photos documenting the disabling of the existing system or that removal of the existing system was completed.
- For existing ducted systems, a geo-tagged photo of the existing main plenum must be submitted for project approval. When submitting completion documentation, the contractor must submit a geo-tagged photo of static pressure testing being completed of the duct system with the new unit in place and the result of the static pressure test.

6.24.2 Photograph Submission Requirements

To shorten project review times and standardize document submissions, EmPower+ has developed photo templates for:

- Assessment/Workscope Submission
- Final Project Submission

Contractors are required to use the submission templates or use a product that can arrange photographs in the same order as the templates. A photo reference document is available for each measure. This document will enable users to readily identify photo needs when proposing measures. For pre and post installation, which require geo-tagging, there are several options for the participating contractor.

- CompanyCam and other subscription-based photo plans provide PDF reports with geo-tagged photos of a project.
- The [PNNL Quality Install Tool](#) provides a method for taking pictures on site, sorting them by measure and geo-tagging them. This is a free website that can work on cell phones to aggregate photos of a project.
- There are apps available such as gpsmapcamera.com which will display geo-tagged photos.

Contractors can utilize the PowerPoint Template located on the [Contractor Support Site](#). This can be used for energy assessments where direct install measures were not installed, or where contractors self-generated geo-tagged photographs. Once the photos are added to the PowerPoint, the contractor can save the PowerPoint as a PDF and upload it to NYHEP.

- Contractors with other methods of organizing their photos into one document are encouraged to share their ideas with NYSERDA.

6.24.3 Photograph Examples

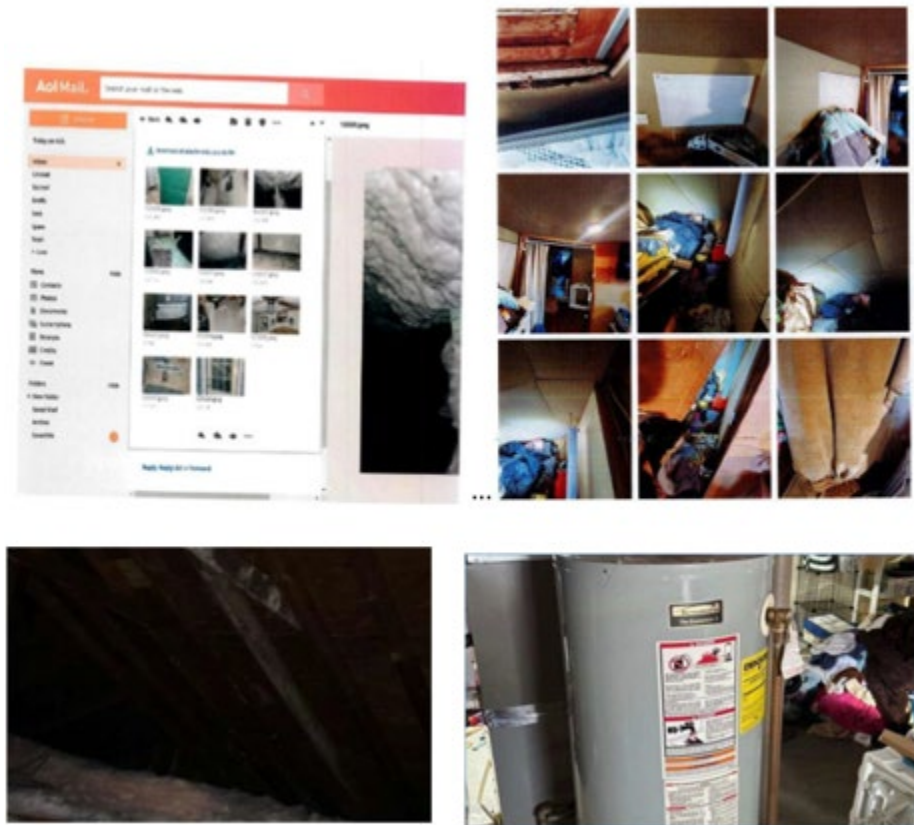
To meet program requirements, submitted images must be visible, labeled, and in focus.

Figure 9 Acceptable Submissions



Figure 10 shows examples that are unacceptable due to being too small, unlabeled, too dark, or show incomplete equipment or installations.

Figure 10 Unacceptable Submissions



6.25 Weatherization Agency Participation in EmPower+

If the household is being served in coordination with the Weatherization Assistance Program (WAP), the participating WAP agency (Agency) shall follow WAP policies and procedures regarding landlord/building owner authorization, negotiations, and measure installation and or WAP work scope. The Agency must provide the NYSEERDA Program Implementer a copy of the WAP approval letter for the project and, if available, a copy of the WAP work scope.

EmPower+ Low-Income (Tier 1) eligible households may be served either in coordination with the Weatherization Assistance Program (WAP) or on a fee-for-service basis.

- Units Coordinated with WAP:

- A combined EmPower+/WAP application is available on the [Contractor Support Site](#)
- Work performed on coordinated units must conform to WAP policies and procedures.
 - Agencies must follow WAP procedures for the audit. In addition, Agencies may install Direct Install Measures per Section 3.2. Direct Install measures are allowed under EmPower+ without prior Program approval.
 - EmPower+ will fund cost-effective Direct Install measures, such as weather stripping and comprehensive measures, such as attic and wall insulation, and air sealing measures.
- Audit fees may only be charged if EmPower+ funding is applied to energy efficiency measures.
- 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.
- 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.

6.26 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>.

Appendix A

A.1 Home Modernization – EmPower+ & Comfort Home Program Contacts

Primary Contacts

Contractor Support

1-800-284-9069

<http://hpwescontractorsupport.com/>

General Inquiries: support.residential@nyserda.ny.gov

Customer Support

1-866-NYSERDA

General Inquiries: info.residential@nyserda.ny.gov

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

Program Administrator

New York State Energy Research and Development Authority (NYSERDA)

518-862-1090

General Inquiries

Email: residential.programs@nyserda.ny.gov

Program Operations Staff

Scott Oliver – Associate Director

Email: Scott.Oliver@nyserda.ny.gov

David Friello – Program Manager

Email: David.Friello@nyserda.ny.gov

Erik Gilbert – Senior Project Manager

Email: Erik.Gilbert@nyserda.ny.gov

Elizabeth Lazarou – Project Coordinator
Email: Elizabeth.Lazarou@nyserda.ny.gov

Uthman Aziz – Project Manager
Email: Uthman.Aziz@nyserda.ny.gov

Max Ciovacco – Project Manager
Email: Max.Ciovacco@nyserda.ny.gov

Technical Services Staff

Matthew Houle – Senior Project Manager
Email: Matthew.Houle@nyserda.ny.gov

Keith Place- Project Manager
Email: Keith.Place@nyserda.ny.gov

Quality Assurance Staff

David Houle – QA Senior Project Manager
Email: David.Houle@nyserda.ny.gov

Residential Financing Staff

Heather Clark – Associate Director, Residential Financing
Email: Heather.Clark@nyserda.ny.gov

Lucia Cappiello – Project Manager, Finance Solutions
Email: Lucia.Cappiello@nyserda.ny.gov

Community Energy Resources (Formerly called CBO) Staff

Jessica Ortiz – Program Manager, Energy and Climate Equity
Email: Jessica.Ortiz@nyserda.ny.gov

Lori Clark – Senior Project Manager, Energy and Climate Equity
Email: Lori.Clark@nyserda.ny.gov

Shared Services Contractor

TRC – 1-866-697-3732

Questions related to general program information, EmPower+ Application support and Referrals.

General Inquiries

Toll Free: 1-866-NYSERDA

Email: info.residential@nyserda.ny.gov

Jamie Lackie – Project Manager

Email: Jamie.Lackie@nyserda.ny.gov

Cathy Kenny-Wilkerson – Project Manager

Email: Cathy.Kenny-Wilkerson@nyserda.ny.gov

Rhonda Peluso – Project Manager

Email: Rhonda.Peluso@nyserda.ny.gov

Peter Kerwin – Project Manager

Email: Peter.Kerwin@nyserda.ny.gov

Program Operations and Technical Services Contractor

CLEAResult

Questions related to contractor assignment on approved applications, work scope and completion approvals, technical assistance, payments, appliances, program policies and guidelines, and project support.

Contractor Support

Toll Free: 1-800-284-9069

Email: support.residential@nyserda.ny.gov

Peter Hoke – Program Manager

Email: Peter.Hoke@clearesult.com

Contractor, Customer & Partner Support Staff

Rebecca Lloyd – Market Outreach Manager

Email: Rebecca.Lloyd@clearesult.com

Mireille Yost – Market Outreach Manager

Email: Mireille.Yost@clearesult.com

Raymond Provera – Senior Residential Field Specialist

John Calarco – Building Science Consultant

Zachary Kerlin – Building Science Analyst

David Krebs – Building Science Analyst

Mitch Bryk – Senior Market Outreach Specialist

Esther Williams – Market Outreach Specialist

Jeremy Meyers – Market Outreach Specialist

Justin Rockcastle – Market Outreach Specialist Johanna Sorensen – Tech Support Analyst

Kaitlin Martin – Senior Operations Coordinator

Aisha Solomon – Tech Support Specialist

Jac Johnston – Tech Support Specialist

Lara Meyers – Tech Support Specialist

Lynise Cromer – Tech Support Specialist

Maria Jepson – Tech Support Specialist

Mary Gomez – Tech Support Specialist

Shakaal Danastor – Tech Support Specialist

Technical Review Staff

Katherine Prior – Operations Manager

Email: Katherine.Prior@clearesult.com

Sean Swift – Operations Supervisor

Email: Sean.Swift@clearesult.com

Steve Smith – Program Consultant

David Piper – Building Science Specialist

Joseph Farrell – Building Science Specialist

Rebecca Bartholf-Frueh – Senior Program Coordinator

Aisling Creech – Program Coordinator
Branden Net – Program Coordinator
Gary Donovan – Program Coordinator
Nayrupa Brehaspat – Program Coordinator
Trevor Sprague – Operation Coordinator
Zachary Doraby – Program Coordinator

Program Support Staff

Katherine Sanderson – Operations Manager
Email: Katherine.Sanderson@clearesult.com

Sarah Knoell – Program Consultant
Tyler Bushey – Program Consultant
Bridgette Calarco – Operations Analyst Jeannette Francis – Operations Analyst
Willa Hurt – Operations Analyst

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/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

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

Quality Assurance Inspections

Schedules and completes inspections for EmPower+ customers post completion of the project.

Honeywell

Toll Free: 833-239-0164

A.2 Income Limits

EmPower+ Low-Income Limits- March 18, 2026. Table A-1 shows income limits to be qualified for Low-Income incentives.

Table A-1. EmPower+ Low-Income- 60% of the State or Area Median Income

Household Size	1	2	3	4	5	6	7	8	9	10
Albany County	48,788	55,763	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Allegany County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Bronx County	68,063	77,775	87,488	97,200	105,000	112,763	120,563	128,325	136,080	143,856
Broome County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Cattaraugus County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Cayuga County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Chautauqua County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Chemung County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Chenango County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Clinton County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Columbia County	47,363	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Cortland County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Delaware County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Dutchess County	51,675	59,063	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Erie County	42,450	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Essex County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Franklin County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Fulton County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Genesee County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428

Household Size	1	2	3	4	5	6	7	8	9	10
Greene County	42,150	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Hamilton County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Herkimer County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Jefferson County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Kings County	68,063	77,775	87,488	97,200	105,000	112,763	120,563	128,325	136,080	143,856
Lewis County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Livingston County	43,650	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Madison County	43,500	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Monroe County	43,650	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Montgomery County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Nassau County	69,263	79,163	89,063	98,925	106,875	114,788	122,700	130,613	138,495	146,409
New York County	68,063	77,775	87,488	97,200	105,000	112,763	120,563	128,325	136,080	143,856
Niagara County	42,450	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Oneida County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Onondaga County	43,500	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Ontario County	43,650	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Orange County	51,675	59,063	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Orleans County	43,650	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Oswego County	43,500	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Otsego County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Putnam County	68,063	77,775	87,488	97,200	105,000	112,763	120,563	128,325	136,080	143,856
Queens County	68,063	77,775	87,488	97,200	105,000	112,763	120,563	128,325	136,080	143,856

Household Size	1	2	3	4	5	6	7	8	9	10
Rensselaer County	48,788	55,763	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Richmond County	68,063	77,775	87,488	97,200	105,000	112,763	120,563	128,325	136,080	143,856
Rockland County	68,063	77,775	87,488	97,200	105,000	112,763	120,563	128,325	136,080	143,856
Saratoga County	48,788	55,763	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Schenectady County	48,788	55,763	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Schoharie County	48,788	55,763	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Schuyler County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Seneca County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
St. Lawrence County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Steuben County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Suffolk County	69,263	79,163	89,063	98,925	106,875	114,788	122,700	130,613	138,495	146,409
Sullivan County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Tioga County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Tompkins County	50,550	57,750	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Ulster County	50,325	57,525	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Warren County	42,000	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Washington County	42,000	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Wayne County	43,650	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Westchester County	71,400	81,600	91,800	102,000	110,175	118,350	126,488	134,663	142,800	150,960
Wyoming County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428
Yates County	41,676	54,504	67,332	80,160	92,988	105,816	108,216	110,616	113,028	115,428

EmPower+ Moderate-Income Limits- March 18, 2026. Table A-2 shows income limits to be qualified for Low-Income incentives.

Table A-2. EmPower+ Moderate-Income- 80% of the State or Area Median Income

Household Size	1	2	3	4	5	6	7	8	9	10
Albany County	65,050	74,350	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Allegany County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Bronx County	90,750	103,700	116,650	129,600	140,000	150,350	160,750	171,100	181,440	191,808
Broome County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Cattaraugus County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Cayuga County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Chautauqua County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Chemung County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Chenango County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Clinton County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Columbia County	63,150	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Cortland County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Delaware County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Dutchess County	68,900	78,750	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Erie County	56,600	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Essex County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Franklin County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Fulton County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Genesee County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Greene County	56,200	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904

Household Size	1	2	3	4	5	6	7	8	9	10
Hamilton County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Herkimer County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Jefferson County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Kings County	90,750	103,700	116,650	129,600	140,000	150,350	160,750	171,100	181,440	191,808
Lewis County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Livingston County	58,200	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Madison County	58,000	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Monroe County	58,200	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Montgomery County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Nassau County	92,350	105,550	118,750	131,900	142,500	153,050	163,600	174,150	184,660	195,212
New York County	90,750	103,700	116,650	129,600	140,000	150,350	160,750	171,100	181,440	191,808
Niagara County	56,600	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Oneida County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Onondaga County	58,000	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Ontario County	58,200	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Orange County	68,900	78,750	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Orleans County	58,200	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Oswego County	58,000	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Otsego County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Putnam County	90,750	103,700	116,650	129,600	140,000	150,350	160,750	171,100	181,440	191,808
Queens County	90,750	103,700	116,650	129,600	140,000	150,350	160,750	171,100	181,440	191,808
Rensselaer County	65,050	74,350	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904

Household Size	1	2	3	4	5	6	7	8	9	10
Richmond County	90,750	103,700	116,650	129,600	140,000	150,350	160,750	171,100	181,440	191,808
Rockland County	90,750	103,700	116,650	129,600	140,000	150,350	160,750	171,100	181,440	191,808
Saratoga County	65,050	74,350	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Schenectady County	65,050	74,350	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Schoharie County	65,050	74,350	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Schuyler County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Seneca County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
St. Lawrence County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Steuben County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Suffolk County	92,350	105,550	118,750	131,900	142,500	153,050	163,600	174,150	184,660	195,212
Sullivan County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Tioga County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Tompkins County	67,400	77,000	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Ulster County	67,100	76,700	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Warren County	56,000	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Washington County	56,000	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Wayne County	58,200	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Westchester County	95,200	108,800	122,400	136,000	146,900	157,800	168,650	179,550	190,400	201,280
Wyoming County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904
Yates County	55,568	72,672	89,776	106,880	123,984	141,088	144,288	147,488	150,704	153,904

A.3 EmPower+ Pricing

Table A-3. EmPower+ Contractor Pricing, Includes Assessments and Fees, Effective March 18, 2026

This table is for customers with addresses in counties south of and including Dutchess and Ulster counties.

Comprehensive Home Energy Assessment & Fees		
Comprehensive Home Energy Assessment, including:	\$300.00	plus Mileage per site
Blower Door Test		*If Blower Door Test not performed: -\$100.00
Combustion Efficiency and Safety Test, inc. CO detection		
NYHEP Customer Report		
No-show Fee	\$65.00	plus Mileage per site
Mileage (from business location)	\$0.73	per mile
Electric Measures		
ENERGY STAR® rated LED and/or candelabra LED, including:	\$11.55	per bulb incl. labor & materials
Up to 16 bulbs maximum, including 1 nightlight		
Domestic Hot Water Measures		
Hot Water Pipe Insulation	\$2.73	per linear foot incl. labor & materials
High Efficiency Showerhead, includes handheld	\$49.22	labor & materials
DHW Pressure Relief Discharge Pipe	\$25.00	per unit incl. labor & materials
Heating Equipment Measures		
Standard Furnace Filter	\$39.92	labor & materials
If the furnace manufacturer requires a more expensive model, propose price to Program Implementor		
Furnace Filter Slot Cover	\$32.47	labor & materials
Air Sealing Measures		
Air-Sealing	\$123.52	per hour plus materials
Door Weather-stripping ONLY	\$57.61	per door
Door Sweep ONLY	\$37.36	per door
Health & Safety		
Smoke Detector with Lithium Battery	\$53.70	labor & materials
Prior approval of make and model by Program Implementor is required		
CO Detector with Lithium Battery	\$99.69	labor & materials
Prior approval of make and model by Program Implementor is required		
Combination CO/Smoke Detector with Lithium Battery	\$120.41	labor & materials
Prior approval of make and model by Program Implementor is required		
Vapor Barrier	\$1.82	per square foot incl. labor & materials
Total sq. ft. of coverage including the floors, walls, and around columns		
Insulation Measures		

Sidewall 4" (Dense pack)		
Wood Shingle, Clapboard, Vinyl, & Other Siding	\$3.94	per square foot
Aluminum Siding	\$4.21	per square foot
Cementitious Siding	\$4.65	per square foot
Sidewall 6" (Dense pack)		
Wood Shingle, Clapboard, Vinyl, & Other Siding	\$4.44	per square foot
Aluminum Siding	\$4.79	per square foot
Cementitious Siding	\$5.21	per square foot
2nd Floor Sidewall (Dense pack)	1.5 times that of the first story dense pack sidewall price	
Does not apply to walls being dense packed from the interior		
Band Joist Insulation	\$8.67	per linear foot
Rim Joist Insulation		
1" Foam	\$5.61	per linear foot
2" Foam	\$8.99	per linear foot
3" Foam	\$9.89	per linear foot
Rim Joist Set-up Fee	\$138.07	
Only for projects where less than 150 linear feet is installed and no other HP measures approved		

Insulation Measures (continued)		
Attic (Open)		
6" Settled Depth Cellulose or 8" Blown Fiberglass or 7" Blown Rockwool*	\$2.42	per square foot
8" Settled Depth Cellulose or 10" Blown Fiberglass or 10" Blown Rockwool*	\$2.86	per square foot
10" Settled Depth Cellulose or 13" Blown Fiberglass or 12" Blown Rockwool*	\$3.21	per square foot
12" Settled Depth Cellulose or 16" Blown Fiberglass or 15" Blown Rockwool*	\$3.72	per square foot
14" Settled Depth Cellulose or 18" Blown Fiberglass or 17" Blown Rockwool*	\$3.87	per square foot
		*Insulation depths calculated per BPI standards.
Blown Insulation Set-up Fee	\$138.07	
Only for projects where a total of less than 500 sq. ft. of blown insulation is installed		
Attic (Floored)		
4" Dense Pack Cellulose	\$2.88	per square foot
6" Dense Pack Cellulose	\$3.19	per square foot
8" Dense Pack Cellulose	\$3.61	per square foot
10" Dense Pack Cellulose	\$4.08	per square foot

12" Dense Pack Cellulose	\$4.62	per square foot
Knee walls		
4" Fiberglass	\$3.17	per square foot
Netted Cellulose	\$3.70	per square foot
Slope		
4" Cavity	\$3.13	per square foot
6" Cavity	\$3.56	per square foot
8" Cavity	\$4.08	per square foot
10" Cavity	\$4.72	per square foot
12" Cavity	\$5.44	per square foot
Foam Insulation		
1" Board	\$5.07	per linear foot
2" Board	\$7.13	per linear foot
3" Board	\$8.73	per linear foot
4" Board	\$9.81	per linear foot
5" Board	\$10.88	per linear foot
6" Board	\$13.46	per linear foot
1" Closed Cell	\$6.32	per linear foot
2" Closed Cell	\$8.33	per linear foot
3" Closed Cell	\$9.87	per linear foot
4" Closed Cell	\$12.26	per linear foot
5" Closed Cell	\$14.23	per linear foot
6" Closed Cell	\$15.87	per linear foot
4" Open Cell	\$7.95	per linear foot
5" Open Cell	\$9.98	per linear foot
6" Open Cell	\$12.13	per linear foot
Mobile Home Belly		
4" Dense Pack Fiberglass	\$2.88	per square foot
6" Dense Pack Fiberglass	\$3.19	per square foot
Ventilation Measures		
Ridge Vent	\$33.05	per linear foot
Soffit Vent	\$31.84	per vent
Gable Vent	\$170.02	per vent
Roof Vent	\$168.66	per vent
Baffles	\$6.57	per baffle
Existing Bath Fan to Roof (Insulated)		
Less than 4'	\$266.15	per vent
4' or more	\$367.60	per vent
Exhaust Un-vented Clothes Dryer to Outside	\$175.33	per vent

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.

Table A-4. EmPower+ Contractor Pricing North of and Including Sullivan, Delaware, Greene and Columbia Counties, Effective March 18, 2026

Comprehensive Home Energy Assessment, In-Home Education & Fees		
Comprehensive Home Energy Assessment, including:	\$300.00	plus Mileage per site
Blower Door Test*		*If Blower Door Test not performed: -\$100.00
Combustion Efficiency and Safety Test, inc. CO detection		
EmPCalc, TREAT, or other accepted audit report		
No-show Fee	\$65.00	plus mileage per site
Mileage (from business location)	\$0.73	per mile
Electric Measures		
ENERGY STAR® rated LED and/or candelabra LED, including:	\$11.55	per bulb incl. labor & materials
Up to 16 bulbs maximum, including 1 nightlight		
Domestic Hot Water Measures		
Hot Water Pipe Insulation	\$2.49	per linear foot incl. labor & materials
High Efficiency Showerhead, includes handheld	\$44.38	labor & materials
DHW Pressure Relief Discharge Pipe	\$25.00	per unit incl. labor & materials
Heating Equipment Measures		
Standard Furnace Filter	\$38.36	labor & materials
If the furnace manufacturer requires a more expensive model, propose price to Program Implementor		
Furnace Filter Slot Cover	\$31.38	labor & materials

Air Sealing Measures		
Air-Sealing	\$121.07	per hour plus materials
Door Weather-stripping ONLY	\$55.04	per door
Door Sweep ONLY	\$33.42	per door
Health & Safety		
Smoke Detector with Lithium Battery	\$48.58	labor & materials
Prior approval of make and model by Program Implementor is required		
CO Detector with Lithium Battery	\$93.07	labor & materials
Prior approval of make and model by Program Implementor is required		
Combination CO/Smoke Detector with Lithium Battery	\$113.36	labor & materials
Prior approval of make and model by Program Implementor is required		
Vapor Barrier	\$1.80	per square foot incl. labor & materials
Total sq. ft. of coverage including the floors, walls, and around columns		
Insulation Measures		
Sidewall 4" (Dense pack)		
Wood Shingle, Clapboard, Vinyl, & Other Siding	\$3.70	per square foot
Aluminum Siding	\$3.91	per square foot
Cementitious Siding	\$4.19	per square foot
Sidewall 6" (Dense pack)		
Wood Shingle, Clapboard, Vinyl, & Other Siding	\$4.23	per square foot
Aluminum Siding	\$4.48	per square foot
Cementitious Siding	\$4.73	per square foot
2nd Floor Sidewall (Dense pack)	1.5 times that of the first story dense pack sidewall price	
Does not apply to walls being dense packed from the interior		
Band Joist Insulation	\$7.44	per linear foot
Rim Joist Insulation		
1" Foam	\$5.14	per linear foot
2" Foam	\$8.12	per linear foot
3" Foam	\$8.97	per linear foot
Rim Joist Set-up Fee	\$138.07	
Only for projects where less than 150 linear feet is installed and no other HP measures approved		

Insulation Measures		
Attic (Open)		
6" Settled Depth Cellulose or 8" Blown Fiberglass or 7" Blown Rockwool*	\$2.24	per square foot
8" Settled Depth Cellulose or 10" Blown Fiberglass or 10" Blown Rockwool*	\$2.69	per square foot
10" Settled Depth Cellulose or 13" Blown Fiberglass or 12" Blown Rockwool*	\$3.02	per square foot
12" Settled Depth Cellulose or 16" Blown Fiberglass or 15" Blown Rockwool*	\$3.38	per square foot
14" Settled Depth Cellulose or 18" Blown Fiberglass or 17" Blown Rockwool*	\$3.48	per square foot
		*Insulation depths calculated per BPI standards.
Blown Insulation Set-up Fee	\$138.07	
Only for projects where a total of less than 500 sq. ft. of blown insulation is installed		
Attic (Floored)		
4" Dense Pack Cellulose	\$2.67	per square foot
6" Dense Pack Cellulose	\$2.97	per square foot
8" Dense Pack Cellulose	\$3.35	per square foot
10" Dense Pack Cellulose	\$3.78	per square foot
12" Dense Pack Cellulose	\$4.27	per square foot
Knee walls		
3.5" Fiberglass	\$2.94	per square foot
Netted Cellulose	\$3.48	per square foot
Slope		
4" Cavity	\$2.98	per square foot
6" Cavity	\$3.37	per square foot
8" Cavity	\$3.87	per square foot
10" Cavity	\$4.45	per square foot
12" Cavity	\$5.11	per square foot
Foam Insulation		
1" Board	\$4.64	per linear foot
2" Board	\$6.43	per linear foot
3" Board	\$7.85	per linear foot
4" Board	\$8.77	per linear foot
5" Board	\$9.65	per linear foot
6" Board	\$10.74	per linear foot
1" Closed Cell	\$5.71	per linear foot
2" Closed Cell	\$7.26	per linear foot
3" Closed Cell	\$8.97	per linear foot
4" Closed Cell	\$10.93	per linear foot
5" Closed Cell	\$12.69	per linear foot
6" Closed Cell	\$13.61	per linear foot

Insulation Measures		
4" Open Cell	\$7.17	per linear foot
5" Open Cell	\$9.34	per linear foot
6" Open Cell	\$11.12	per linear foot
Mobile Home Belly		
4" Dense Pack Fiberglass	\$2.67	per square foot
6" Dense Pack Fiberglass	\$2.97	per square foot

Ventilation Measures		
Ridge Vent	\$30.77	per linear foot
Soffit Vent	\$29.64	per vent
Gable Vent	\$156.53	per vent
Roof Vent	\$154.83	per vent
Baffles	\$5.99	per baffle
Existing Bath Fan to Roof (Insulated)		
Less than 4'	\$245.68	per vent
4' or more	\$301.80	per vent
Exhaust Un-vented Clothes Dryer to Outside	\$162.82	per vent
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.		

A.4 One-to-Four-Unit Rental Properties

Table A-4. Upstate One-to-Four-Unit Rental Properties

Unit Eligibility	Income Qualification	Submission of EmPower+ Application ^d	Direct Install (DI) Eligibility Based on Unit Income ^c		Program Incentives ^b & Caps	Landlord Contribution
Upstate less than 50% of the Unit	Tier 1	Signed Application required	Tier 1: Yes Tier 3: Yes Market Rate: No		Single Family: \$12,000	100% over cap
Upstate less than 50% of the Unit	Tier 1	Signed Application required	Tier 1: Yes Tier 3: Yes Market Rate: No		2-4 Unit: \$12,000 1st unit,	100% over cap
Upstate less than 50% of the Unit	Tier 1	Signed Application required	Tier 1: Yes Tier 3: Yes Market Rate: No		\$6,000/additional unit	100% over cap
Upstate less than 50% of the Unit	Tier 3	Signed Application required	Tier 1: Yes Tier 3: Yes Market Rate: No		Single Family: \$6,000	100% over cap
Upstate less than 50% of the Unit	Tier 3	Signed Application required	Tier 1: Yes Tier 3: Yes Market Rate: No		2-4 Unit: 50% Cost share \$6,000 1st unit, \$3,000/additional unit	100% over cap
Upstate less than 50% of the Unit	HEAP/OTDA	OTDA funding may only be used on qualifying units.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No		OTDA ^a units: \$20,000 per eligible unit	100% over cap
Upstate less than 50% of the Unit	HEAP/OTDA	OTDA funding may only be used on qualifying units.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No		All other units: \$5k/additional unit	100% over cap
Upstate 50% or more of the Unit	Tier 1	Separate signed Applications required for all units in building.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No		Single Family: \$12,000	100% over cap

(Table A.4, continued)

Unit Eligibility	Income Qualification	Submission of EmPower+ Application ^d	Direct Install (DI) Eligibility Based on Unit Income ^c	Program Incentives ^b & Caps	Landlord Contribution
Upstate 50% or more of the Unit	Tier 1	Each Application will have a home energy assessment/DI project created. One of the projects (in an eligible LL or tenant's name) will include all of the building's measures.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	2-4 Unit: \$12,000 1st unit,	100% over cap
Upstate 50% or more of the Unit	Tier 1	Contractors must indicate on the Application so proper income verification can be used for the building.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	\$6,000/additional unit	100% over cap
Upstate 50% or more of the Unit	HEAP/OTDA	OTDA funding may only be used on qualifying units.	Tier 1: Yes	OTDA ^a units: \$20k per eligible unit	100% over cap
Upstate 50% or more of the Unit	HEAP/OTDA	OTDA funding may only be used on qualifying units.	Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	All other units: \$5k/additional unit	100% over cap

a. OTDA funding may only be used for measures directly benefiting the qualified unit.

b. In No-Heat situations, rental properties must be owner occupied, and income qualified to be eligible for additional incentives as indicated in Section 4.13 No-Heat Guidelines.

c. Separate Applications & Projects are Required for Any Unit Receiving DI measures.

d. Needed for Units Landlord (LL) occupied properties still require 50% rule to be met for additional incentives

Table A.5 Downstate One-To-Four-Unit Rental Properties

Unit Eligibility	Income Qualification	Submission of EmPower+ Application^d	Direct Install (DI) Eligibility Based on Unit Income^c	Program Incentives^b & Caps	Landlord Contribution
Downstate less than 50% of the Unit	Tier 1	Signed Application required	Tier 1: Yes Tier 3: Yes Market Rate: No	Single Family: \$14,000	100% over cap
Downstate less than 50% of the Unit	Tier 1	Signed Application required	Tier 1: Yes Tier 3: Yes Market Rate: No	2-4 Unit: \$14,000 1st unit,	100% over cap
Downstate less than 50% of the Unit	Tier 1	Signed Application required	Tier 1: Yes Tier 3: Yes Market Rate: No	\$7,000/additional unit	100% over cap
Downstate less than 50% of the Unit	Tier 3	Signed Application required	Tier 1: Yes Tier 3: Yes Market Rate: No	Single Family: \$7,000	100% over cap
Downstate less than 50% of the Unit	Tier 3	Signed Application required	Tier 1: Yes Tier 3: Yes Market Rate: No	2-4 Unit: \$7,000 1st unit,	100% over cap
Downstate less than 50% of the Unit	Tier 3	Signed Application required	Tier 1: Yes Tier 3: Yes Market Rate: No	\$3,500/additional unit	100% over cap
Downstate 50% or more of the Unit	HEAP/OTDA	OTDA funding may only be used on units for those that qualify for that funding.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	OTDA ^a units: \$20k per eligible unit	100% over cap
Downstate 50% or more of the Unit	HEAP/OTDA	OTDA funding may only be used on units for those that qualify for that funding.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	All other units: \$5k/additional unit	100% over cap
Downstate 50% or more of the Unit	Tier 1	Separate signed Applications required for all units in building.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	Single Family: \$14,000	100% over cap

(Table A.5 continued)

Unit Eligibility	Income Qualification	Submission of EmPower+ Application ^d	Direct Install (DI) Eligibility Based on Unit Income ^c	Program Incentives ^b & Caps	Landlord Contribution
Downstate 50% or more of the Unit	Tier 1	Separate signed Applications required for all units in building.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	2-4 Unit: \$14,000 1st unit,	100% over cap
Downstate 50% or more of the Unit	Tier 1	Each Application will have a home energy assessment/DI project created. One of the projects (in an eligible LL or tenant's name) will also include all of the building's measures.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	\$7,000/additional unit	100% over cap
Downstate 50% or more of the Unit	Tier 1	<i>Contractors need to indicate on Application which are connected so that proper income verification can be completed for that building.</i>	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	\$7,000/additional unit	100% over cap

(Table A.5 continued)

Unit Eligibility	Income Qualification	Submission of EmPower+ Application ^d	Direct Install (DI) Eligibility Based on Unit Income ^c	Program Incentives ^b & Caps	Landlord Contribution
Downstate 50% or more of the Unit	Tier 3	<i>Contractors need to indicate on Application which are connected so that proper income verification can be completed for that building.</i>	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	Single Family: \$7,000k	100% over cap
Downstate 50% or more of the Unit	Tier 3	<i>Contractors need to indicate on Application which are connected so that proper income verification can be completed for that building.</i>	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	2-4 Unit: \$7,000 1st unit, \$3,500k/additional unit	100% over cap
Downstate 50% or more of the Unit	Tier 3	OTDA funding may only be used on units for those that qualify for that funding.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	OTDA ^a units: \$20k per eligible unit	100% over cap
Downstate 50% or more of the Unit	HEAP/OTDA	OTDA funding may only be used on units for those that qualify for that funding.	Tier 1: Yes Tier 3: Yes (Non-HEAP/OTDA Funds) Market Rate: No	All other units: \$5k/additional unit	100% over cap

^a. OTDA funding may only be used for measures directly benefiting the qualified unit.

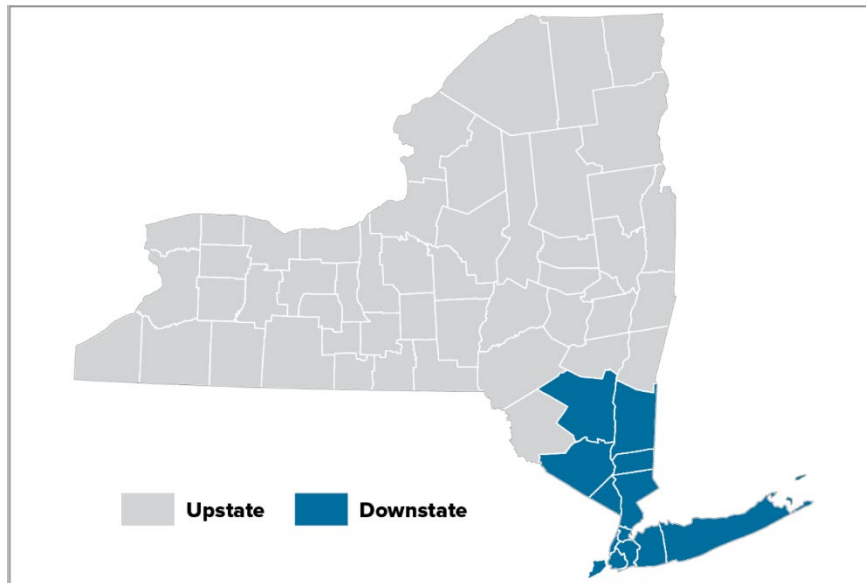
^b. In No-Heat situations, rental properties must be owner occupied, and income qualified to be eligible for additional incentives as indicated in Section 4.13 No-Heat Guidelines.

^c. Separate Applications & Projects are Required for Any Unit Receiving DI measures

^d. Needed for Units Landlord (LL) occupied properties still require 50% rule to be met for additional incentives

A.6 Upstate/Downstate Map

Figure A.1 New York State County Map with Downstate Counties Highlighted



Appendix B

Summary of Changes

Date	Revision(s)
September 1, 2026	- Updated sections 2 and tables 1 to reflect the removal of programmable thermostats as an eligible measure for incentives. Available for loan only. - Updated section 3.2 <i>Overview of Household Incentives</i> to include instructions for coordinating projects with PSEG-LI. - Updated IRA sections to reflect IRA's use in insulation projects only starting on August 31st, 2026, in accordance with the Department of Energy guidelines. Removed the \$200.00 installation incentive for participating contractors performing projects in disadvantaged communities (DAC's). - Updated section 5 to include, Contractors must successfully complete onboarding and training with the Program Implementation team. - Updated section 5 to include areas of the home that cannot be accessed, i.e. structural set up of the home or lack of space, the contractor must add a note to the project in NYHEP or submit a ticket to contractor support. - Updated section 5 to include, the contractor must ensure they are able to insert the insulation tube to reach all areas of a cavity with pre-existing insulation. Areas that are not able to be insulated must be removed from the measure cost submitted to NYSERDA and a note added to the enrollment in NYHEP. - Updated section 5 to include, EmPower+ will evaluate budgets and participating contractor regional coverage at a minimum every 6 months and adjust as needed to ensure Program's ability to effectively serve New York State is maintained. - Updated section 6 on Contractor participation requirements, application materials, the application process, contractor review, and new onboarding training. - Updated section 6.16 to remove Programmable Thermostats from the eligible measures list.