

Affordable Multifamily Program Upstate

Program Manual

April 2026



NEW
YORK
STATE

NYSERDA

New York State Energy Research
and Development Authority

Table of Contents

- List of Figures 4**
- List of Tables 4**
- Glossary of Terms 6**
- 1. Affordable Multifamily Program Upstate Overview 8**
- 2. Participating Contractors 9**
 - 2.1 Participating Contractors Concierge Services 10
 - 2.1.1 Concierge Services 11
 - 2.2 Technical Assistance 12
 - 2.3 Eligible Measures 13
 - 2.3.1 Eligible Resilience Enhancements 14
 - 2.4 Program Documentation 16
- 3. Building Eligibility 17**
 - 3.1 Project Location 17
 - 3.2 Project Size and Building Characteristics 17
 - 3.3 Mixed Use v. Residential 17
 - 3.4 Income Eligibility 17
 - 3.5 Extent of Renovation 19
 - 3.6 Intended Use 19
 - 3.7 Large Project Pre-Authorization 19
 - 3.8 Building Electrification Eligibility 20
- 4. Coordination with Other Energy Efficiency Programs 21**
 - 4.1 Coordination with NYSERDA Technical Assistance Programs 21
 - 4.2 Coordination with New York State Affordable Housing Agencies 21
 - 4.3 Coordination with Utility Program Incentives 21
 - 4.4 Coordination with Weatherization Assistance Program 21
 - 4.5 Contact Information 22
- 5. Incentives 23**
 - 5.1 Incentive Amount and Payment Schedule 23
 - 5.2 Incentive Cap 24
 - 5.3 Buildings with Phased Scopes 24
- 6. Application 27**
 - 6.1 Application Documents and Processing 27
 - 6.2 Application Submittal 29

6.3	Application Approval	29
7.	Stage 1: Scope Development	30
7.1	Stage 1 Overview.....	30
7.2	Energy Assessment Requirements	30
7.3	Modeling Requirements	31
7.4	Simulation Guidelines and Energy Savings Calculations.....	32
7.5	Documentation and Scope Development	33
7.6	Photo Requirements	33
7.7	Utility Cost Analysis	33
7.8	Measure Cost Estimation and Estimated Useful Life	34
7.9	Minimum Performance Standards	34
7.10	Quality Control	35
7.11	AMP Up Quality Assurance Policy.....	35
7.12	Stage 1 Deliverables.....	36
7.13	Stage 1 Approval – Scope Development.....	38
8.	Stage 2 Approval - Technical Assistance/Construction Start.....	40
8.1	Stage 2 Overview.....	40
8.2	Stage 2 Deliverables.....	41
8.3	Stage 2 Approval	41
9.	Site Inspection.....	43
9.1	Participating Contractor Responsibilities	43
9.2	Verification of Completed Work	43
9.2.1	On-Site Inspection.....	43
9.2.2	Statement of Substantial Completion.....	44
9.3	Measure Documentation.....	45
9.4	System Testing	45
9.5	Inspection Workbook	45
9.6	Photographs.....	46
10.	Stages 3 and 4: Construction	47
10.1	Changes to the Scope of Work.....	47
10.1.1	Scope Change Document Submission	47
10.2	Stage 3 Partial Construction Complete.....	48
10.2.1	Stage 3 Deliverables	48
10.2.2	Stage 3 Approval.....	49
10.3	Stage 4 Construction Complete.....	50

10.3.1	Stage 4 Deliverables	50
10.3.2	Stage 4 Approval.....	51
11.	General Requirements	52
11.1	Program Rules	52
11.2	Deadlines	55
	Appendix A: Consolidated List of Deliverables	56
	Appendix B: Data Submittal Requirements.....	58
B.1	On-Site Solar PV.....	58
B.1.1	Solar PV system monitoring.....	58
B.1.2	Utility data associated with solar PV systems.....	58
B.1.3	Combined Heat and Power (CHP) Systems.....	59
	Appendix C: Incentive Schedule, ADA Accessible.....	61

List of Figures

Figure 1:	Program Milestones	8
Figure 2:	Pre-Application Process Flow	27
Figure 3:	Overall Scope Development Process.....	30
Figure 4:	Overall Technical Assistance/Construction Start Process Flow.....	40
Figure 5:	Overall Inspection and Construction Completion Process Flow.....	47

List of Tables

Table 1.	Concierge Incentives	11
Table 2.	Concierge Services Provided.....	12
Table 3.	Energy Assessment and Modeling Requirements.....	13
Table 4.	Measure Minimum Qualifications	14
Table 5.	Building Level Income Eligible Proxies.....	18
Table 6.	Coordination with Other Energy Efficiency Programs.....	22
Table 7.	Incentive Schedule	24
Table 8.	Example Project: Available Maximum Incentives by Incentive Category	25
Table 9.	Example Project: Phase 1 2026 SOW	26
Table 10.	Example Project: Phase 2 2028 SOW	26
Table 11.	Application Submittal Documentation	28

Table 12. Non-Conformance Category Descriptions.....	36
Table 13. Stage 1 Submittal Package Requirements.....	37
Table 14. Stage 1 Deliverables Filename Convention	37
Table 15. Stage 2 Deliverables Filename Convention	41
Table 16. Scope Change Deliverables Filename Convention	48
Table 17. Stage 3 Deliverables Filename Convention	49
Table 18. Stage 4 Deliverables Filename Convention	51
Table 19. Consolidated List of Deliverables	56
Table 20. Incentive Schedule, ADA accessible	61

Glossary of Terms

Clarity Compass Modeling Tool

When used in combination with the EAST tool, Clarity Compass is a configurable building performance solution for energy efficiency programs. This tool may be used to model the performance for buildings that fall into the Low-Rise Pathway to assess the projected energy savings from weatherization, electrification, and deep retrofit measures.

Concierge Service

All projects will be eligible for complimentary Concierge Services up to a cap. Details on the caps for complimentary services are provided in **Table 1**. **Table 2** provides a list of required and supportive services associated with Concierge Service.

Energy Assessment and Scoping Tool (EAST)

This tool is a centralized workbook designed to support data collection of existing building construction projects. It simplifies the collection and reporting of inspection data by consolidating key requirements from the site assessment, while also serving as the primary record for documenting measures and any applicable resilience enhancements. The workbook functions as both a Participating Contractor resource—ensuring accurate measure documentation—and a Program staff resource—supporting verification of completed measures and recording findings from programmatic inspections. In addition, it provides a single location to capture and track any scope changes throughout the project. EAST can be used for a project with single or multiple buildings and single or multiple energy assessments.

Inspection Workbook

This tool is a workbook to capture detailed information on installed measures. This workbook is used during construction milestones of AMP Up to record what equipment has been installed, which is then relayed to NYSERDA and used as the basis for the quality control process.

Installation Contractor

Contractor responsible for installing energy efficiency, building electrification and, if applicable, resilience enhancements measures per program rules.

Large Building Pathway

A pathway through AMP Up for buildings that do not qualify for the Low-Rise Pathway – they either have four or more stories or 21 or more units.

Low-to-Moderate Income (LMI)

Projects are classified as LMI if at least 25 percent of the units are, or are expected to be, occupied by households earning not more than 80 percent of the Area Median Income or State Median Income, whichever is higher. Income eligibility will be determined at the project level.

Low-Rise Pathway

A pathway through AMP Up specifically developed for small buildings with 3 or less stories and 20 or less units.

Mixed-Use Buildings

Multifamily buildings that have non-residential space (e.g. retail or commercial space) where a minimum of 50% of the gross heated square footage is residential or residentially associated.

Participant

The building owner or representative for the building owner. The representative must be authorized to make decisions on behalf of the building owner. This may include a developer or management company.

Participating Contractor

Contractor who works with the Participant to guide the project through the program. The Contractor may be selected by the Participant from NYSERDA's Multifamily Contractor Network under the Energy Assessor service category or may be provided through the Program's Concierge Service. The Participating Contractor is the entity responsible for submitting all documentation to the Program and confirming all program minimum requirements are met.

Project

A project is a multifamily residential building(s) with a minimum of five dwelling units, or multiple multifamily buildings owned by the same entity where each building has a minimum of two units and collectively has a minimum of five dwelling units.

Project Manager

A NYSERDA employee or sub-contractor assigned to monitor and help guide the project through AMP Up as well as approve milestone submittals and submit incentives for payment.

Technical Assistance

The term Technical Assistance, as used in this program, refers to the building energy assessment, as detailed in **Table 3**, and all work associated with the preparation of the EAST.

1. Affordable Multifamily Program Upstate Overview

The Affordable Multifamily Program Upstate (AMP Up) launched in 2026 to support multifamily projects (5+ dwelling units) in Upstate New York utility territories under Program Opportunity Notice (PON) 6088. This program supports all buildings served by an electric service or natural gas utility who pay into the System Benefits Charge (SBC), except those in the Con Edison, National Grid’s KEDNY and KEDLI service territories, who will continue to be served by the [Affordable Multifamily Energy Efficiency Program](#) (AMEEP). Funding is also available to support non-SBC paying customers in Upstate New York. AMP Up serves low and moderate income (LMI) multifamily buildings to support affordable building energy upgrades and provides a streamlined and supported experience for building owners/managers (Participants).

AMP Up guides Participants through the necessary program processes with improvements to reduce complexity such as a complimentary¹ Concierge Service for building owners and streamlined coordination with NYSERDA’s technical assistance offerings. The program addresses persistent barriers such as cost, design complexity, and workforce gaps through better scoping, pricing, and delivery mechanisms. AMP Up provides incentives for different levels of work scopes ranging from appliances, prescriptive, weatherization, building electrification and deep retrofits to deliver energy savings. Additionally, to reduce the risk of climate events, there are incentives available for eligible projects to install select Resilience Enhancements.

AMP Up projects will follow the Stages as outlined in **Figure 1** and will be paid incentives throughout the life of the project. Incentives will be paid at Stage 1 (Scope Development), Stage 2 (Construction Start), Stage 3 (Partial Construction Completion) and finally at Stage 4 (Construction Completion). Further information on Incentives and payment milestones can be found in Section 5 Incentives.

Figure 1: Program Milestones



¹ Complimentary services are available; however, incentive caps for these benefits do apply. Refer to Section 2.1.1 for more details.

2. Participating Contractors

Participating Contractors have been qualified by NYSERDA to perform the services needed to participate in AMP Up. Participating Contractors come from two different resources: the [Multifamily Contractor Network](#) (must have an Energy Assessor Service designation) or directly from the program as part of the Concierge Service.

Participants who prefer the option to select which Participating Contractor they would like to use for participation in AMP Up, already have a working relationship with a firm in the Multifamily Contractor Network, or may require services outside of those included in **Table 2**, are urged to contact their selected Participating Contractor from the [Multifamily Contractor Network](#) to discuss program participation.

Participants who do not fit in the above categories may opt to have a Contractor assigned to them by the program. This can be done by either working directly with a [Participating Regional Clean Energy Hub](#) or Community Based Organization, completing the [Interest Form](#) available on the [program website](#) or emailing the program at MultifamilyPrograms@nyserda.ny.gov. The Participant will be paired with a Participating Contractor through the Concierge Service. Participating Regional Clean Energy Hubs and Community Based Organizations contact information can be found on the [program website](#).

The following relationships among Participant, Participating Contractor or Installation Contractor must be disclosed to NYSERDA during the Scoping Call:

- Participant, Participating Contractor and/or Installation Contractor are the same company
- Participant is a member of or has an ownership or financial stake in the Participating Contractor or Installation Contractor

Once this information is disclosed, NYSERDA will follow-up with additional guidance, including but not limited to additional quality control and quality assurance processes, to ensure full transparency of the scope of work and associated costs and to protect the best interests of all parties. Failure to disclose this information or follow the additional guidance provided may result in further action, including, but not limited to the application being terminated and incentive claw back.

Participating Contractors will:

- Work with Participants and program pipeline lead generators (i.e. Regional Clean Energy Hubs and Community-Based Organizations) as applicable to prepare and submit the online AMP Up application through the Multifamily Energy Portal² in Salesforce.
- Work with Participants and design engineers to develop contracts and specifications that address the requirements and documentation needs of the program. For example, a contract for insulation contractors may include a requirement for photo documentation at various stages of installation, which the Participating Contractor would be responsible for providing.
- Document the energy saving measures to be implemented using the approved Energy Assessment and Scoping Tool (EAST) and in accordance with the Minimum Performance Standards specified in the AMP Up Eligible Measures List.
- Work with Participants to identify and scope applicable Resilience Enhancements that meet the specifications of the program.
- Are expected to maintain a close level of interaction with the Participant and program during the development of the scope and construction to ensure the scope of work is installed on schedule and in accordance with the program requirements and EAST and remain engaged with the project through the construction phase.
- Review equipment submittals and all applicable measure designs from Installation Contractors before construction begins to ensure the proposed work meets the intent of the program and matches the approved scope of work in the EAST.

2.1 Participating Contractors Concierge Services

NYSERDA will provide incentives for Participating Contractor services through its Concierge Service, with a not to exceed amount agreed upon in each Technical Assistance Plan (TAP) and TAP Budget Template. More information about the TAP and the TAP Budget Template can be found in Section 7.2 Energy Assessment Requirements. NYSERDA funding shall only be applied towards the Services listed in **Table 2** and shall be paid to the Participating Contractor unless otherwise assigned during the application process.

² The Multifamily Energy Portal is a Salesforce based platform designed to be the central location where all applications, files, and project process are managed. Access to the Portal will be provided to Participating Contractors.

The Participant shall pay the remaining balance of the Participating Contractor’s fees directly to the Participating Contractor, as applicable, under terms and conditions to be negotiated in a separate contract between the Participant and Contractor. A copy of this contract must be submitted at the Stage 1 milestone.

Participating Contractors can provide Concierge Services to any project. More details about the Concierge Services can be found in Section 2.1.1.

2.1.1 Concierge Services

AMP Up provides building owners with complimentary Concierge Services up to a total incentive cap. All building types that are owned or managed by Public Housing Authorities (PHAs) or in Disadvantaged Communities (DACs) are eligible to receive up to \$35,000 in Concierge Services. Buildings in the Low-Rise and Large Building Pathways which are not PHAs and/or are located outside of DACs are eligible to receive up to \$20,000 in Concierge Services. For any Concierge Service costs over \$20,000 and up to the incentive cap of \$35,000, NYSERDA will cover 75% of the costs. Additionally, Concierge Services are separate from the Technical Assistance service, which NYSERDA will also support. Further details regarding the incentive caps can be found in **Table 1**. The incentives are determined and approved in the TAP and TAP Budget Template.

Table 1. Concierge Incentives

Incentives	PHA & DAC projects	Low-Rise and Large Building projects
Concierge Services, includes all Services from Table 2 , except Building Assessment and Project Scoping	100% of approved TAP and Budget, up to \$35,000	100% of approved TAP and Budget, up to \$20,000. Costs between \$20,001-\$35,000, 75% of approved TAP and Budget
Building Assessment and Project Scoping (“Technical Assistance”)	Up to 100% of approved TAP and Budget	Up to 100% of approved TAP and Budget

All ancillary services needed to satisfy the program requirements and services provided (e.g. submittal revisions, document review, etc.) shall be included in the TAP and the TAP Budget Template.

Table 2. Concierge Services Provided

Services	Description
Minimum Services Provided	Minimum Services Provided must be included within the Technical Assistance Plan (TAP) and the TAP Budget Template.
Program Application	Collect information needed to complete the program application and submit a program application via Salesforce for review and determination of eligibility. For projects over 150 units, complete steps described in Section 3.7 to receive pre-authorization to submit an application.
Building Assessment	Complete the required on-site building assessment per Table 3 , and present findings to the Participant.
Project Scoping	Present recommended upgrades to the Participant and complete the EAST.
Project Deliverables	Complete all necessary steps to finalize the required program submittals and tools as mentioned throughout this manual. This may include multiple revisions of each document, depending on the quality and completeness as determined by the program. Maintain communication with the AMP Up team on status of project.
Project Planning	Focus on laying the groundwork for successful projects. Ensuring that all necessary project elements are considered and effectively managed to achieve the project’s goals.
Construction Oversight	Conduct construction progress inspections and required reporting, ensure projects are completed on time and to the desired quality standards.
Project Close Out	Ensure that projects are completed to meet the highest standards of quality and functionality. Facilitates a smooth transition from construction to operation, maximizing the benefits of upgrades and enhancing the overall quality of the project.
Optional Services, as selected by Participant	Optional Services are available to the Participants but not required. If the Participant wishes to pursue these services, the services must also be included in the TAP and TAP Budget Template.
Competitive Bid Process	Ensure a transparent and efficient selection of service providers and installers. Help to secure the best possible services and outcomes for projects, ensuring that they are executed efficiently and effectively.
Capital Funding Stack Guidance and Analysis	Optimize financial aspects of the project ensuring building owners are equipped with the financial tools and knowledge necessary to implement projects.
Communication and Relationship Management	Manage clear and effective communication among all parties and ensuring stakeholders are aligned and informed to deliver successful project outcomes.
Cost Management	Manage and review payment requests from sub-contractors and continuously monitor the project budget and track expenditures to manage costs effectively.

2.2 Technical Assistance

The term Technical Assistance, as used in this program, refers to all work associated with the preparation of the EAST and the building energy assessment, if required. AMP Up is designed to identify when building energy assessments are required depending on the proposed upgrades the project is pursuing, as shown in **Table 3**. An energy assessment is an important tool to better understand a building’s energy consumption and identify where energy is being wasted. If the building is intended to electrify heating, energy modeling is required to ensure that the

building’s shell and systems are at a level of efficiency to ensure that operating costs remain affordable.

Table 3. Energy Assessment and Modeling Requirements

Incentive Category	Energy Assessment Required ^a	Energy Modeling Required
Appliance	Recommended, not required	No
Prescriptive	Recommended, not required	No
Weatherization	Recommended, not required	No
Electrification ^b	Targeted ASHRAE Level 2	Yes
Deep Retrofit Measures	Targeted ASHRAE Level 2	Yes

^a. A previous FlexTech energy audit, regardless of the contractor completing the assessment, may be applicable for the project if it meets the criteria described in Section 7.2.

^b. Refer to Section 3.8 for more details on building electrification requirements.

2.3 Eligible Measures

Eligible measures, minimum performance standards, and eligibility criteria associated with measures can be found on the [program website](#). Eligible Measures are grouped into six (6) Incentive Categories below and incentives vary across these categories:

1. Appliances: includes replacement of refrigerators with freezers
2. Prescriptive: includes measures with generally fast paybacks (e.g. pipe insulation, faucet aerators, lighting)
3. Weatherization: includes measures targeted for envelope upgrades (e.g. wall/attic/roof/basement insulation, window replacements)
4. Electrification: includes efficient electric space heating/cooling and domestic hot water (e.g. air and ground source heat pumps)
5. Deep retrofit: includes measures to substantially reduce building loads (e.g. envelope over-cladding and advanced ventilation with heat recovery)
6. Resilience Enhancement: includes enhancements that aim to reduce current and future climate risk from flooding, extreme heat, and wind to energy saving measures and building residents, for projects meeting certain eligibility criteria. (Refer to Section 2.3.1 Eligible Resilience Enhancements for more information)

For measures to be eligible for incentives, they must meet the Minimum Performance Standards specified in the AMP Up Eligible Measures List and the Measure Minimum Qualifications in **Table 4**. Projects may choose to implement measures from one or multiple Incentive Categories. Incentives are stackable across Incentive Categories. The Eligible Measures list can be found on the [program website](#).

Table 4. Measure Minimum Qualifications ^{a,b}

Incentive Category	Overall Measure Minimum
Appliance	Measure must apply to at least 90% of the building.
Prescriptive	Must select at least 2 measures from the Prescriptive Category. Measures must apply to at least 90% of the building.
Weatherization	Measures must apply to at least 90% of the applicable building space.
Electrification ^c	At minimum, one Weatherization Measure must be installed with the electrification measure. If project can demonstrate adequate air sealing and that wall insulation meets the minimum program requirements, this requirement may be waived. Additionally, all electrification projects must demonstrate that the utility bills, regardless of who is paying the bill, are not expected to increase. Additional sensitivity analysis with respect to the affordability of these measures is expected as part of the utility bill analysis. Measures must apply to at least 90% of the applicable building space. If project is exposed to flood hazard, applicable Resilience Enhancements may be required. Refer to the Resilience Enhancements Addendum for further information.
Deep Retrofit Measures	At minimum, one additional measure must be installed from any other Incentive Category. Measures must apply to at least 90% of the applicable building space. If project is exposed to flood hazard, applicable Resilience Enhancements may be required. Refer to the Resilience Enhancements Addendum for further information.

^a. NYSERDA reserves the right to review and provide exemptions to requirements in **Table 4** on a case-by-case basis. An example for an exemption might be allowing the building to segment lighting upgrades as common area and in-unit. In this case, the building may be allowed to proceed with installing lighting upgrades, following the eligible measure list, for 90% of the common area only.

^b. Minimum Performance Standards can be found in the Eligible Measures List on the program website.

^c. Refer to Section 3.8 for more details on building electrification requirements.

2.3.1 Eligible Resilience Enhancements

To protect the efficiency and clean energy investments made through AMP Up, NYSERDA is offering resilience “enhancements” in the form of additional incentive(s) for certain qualifying projects. The resilience enhancements aim to reduce current and future climate risk from

flooding, extreme heat, and wind to the energy saving measures and building residents.³ Projects meeting certain climate hazard eligibility criteria may be eligible for added funding for the resilience enhancements to their associated energy saving measures. Each resilience enhancement is only available in conjunction with the applicable pre-requisite energy saving measure from the Eligible Measures List, not as a standalone measure.

A full list of resilience enhancements and their associated requirements and eligibility criteria can be found on the [program website](#). Resilience enhancements are grouped into the following categories, and incentives vary across the categories:

- Equipment Floodproofing: includes floodproofing of heat pumps, hot water heat pumps, and other critical equipment. Available to projects installing electrification and/or deep retrofit measures that are deemed exposed to flood hazard.
- Electrical Floodproofing: includes elevation of electrical panels and equipment. Available to projects installing electrification measures that are deemed exposed to flood hazard.
- Extreme Heat: includes additional incentive for efficient electric space cooling for projects with heat vulnerable residents. Available to projects installing heating and cooling electrification measures that meet certain heat-vulnerable and electrification readiness criteria.
- Extreme Wind: includes additional incentive for windows that meet hurricane-resistance criteria in addition to energy efficiency criteria as specified in the Eligible Measures List. Available to projects implementing the Window Replacement energy saving measure.

For Resilience Enhancements to be eligible for incentives, they must meet the Minimum Performance Standards specified in the AMP Up Eligible Measures List. The most up to date incentives and rules can be found in the Resilience Enhancements Addendum on the [program website](#). Projects may implement resilience enhancements from one or multiple measure categories.

³ NYSERDA does not guarantee that the installation of these enhancements will ensure protection of equipment, buildings, or occupants.

2.4 Program Documentation

Program documents, including the latest templates, submission documents, tools, and resources, may be found on the program website. Participating Contractors are responsible for using the correct version of the required program documentation. If a document is missing or there are any other questions, contact your assigned NYSERDA Project Manager or email MultifamilyPrograms@nyserda.ny.gov.

3. Building Eligibility

This section provides the requirements for establishing a project. Special circumstances may be reviewed on a case-by-case basis. Contact NYSERDA at MultifamilyPrograms@nyserda.ny.gov with any questions.

3.1 Project Location

Multifamily buildings located in upstate New York are eligible to participate in the program. Projects located in Con Edison, KEDNY or KEDLI service areas are not eligible to participate in this program. Buildings that do not pay into their electric or natural gas SBC are also eligible to participate in the program, including municipal utility customers in upstate New York.

3.2 Project Size and Building Characteristics

The project must be a multifamily, residential building(s) with a minimum of five dwelling units. If a project contains multiple buildings, each building must have a minimum of two units,⁴ must be owned by the same entity, and must collectively have a minimum of five dwelling units. Projects larger than 150 units or multiple buildings comprised to make a project with more than 150 units collectively require pre-authorization from NYSERDA to apply. Refer to Section 3.7 for details and instructions.

3.3 Mixed Use v. Residential

Program funds are intended to be used for the residential spaces. If a property is mixed use, central system upgrades (i.e., heating and cooling, domestic hot water) that serve both residential and commercial spaces are eligible provided that fifty percent (50%) or more of the benefit from the system is to residential units.

3.4 Income Eligibility

A project is income eligible for participation in the program if at least 25 percent (25%) of the units are, or are expected to be, occupied by households earning not more than 80 percent (80%) of the Area Median Income or State Median Income, whichever is higher. Income

⁴ A project with an aggregated unit count of less than 5 units is ineligible to participate in AMP Up. A building owner may contact multifamilyprograms@nyserda.ny.gov for information on other applicable programs.

eligibility will be determined at the project level. All other projects are considered market rate and ineligible to participate in AMP Up.

There are two pathways to demonstrate income eligibility: Building Level Proxy and Rent Roll. Details on these pathways are listed below. The eligibility pathways can only be used separately and may not be combined.

1. Building Level Proxy: NYSEDA allows certain proxies as a method of demonstrating income eligibility on a building level. Documentation submitted through the proxy method must demonstrate the building, or all the buildings in a project, meets the income requirements. It should include the building address, term of contract, the income requirements of the proxy program (income levels and number of households).

Table 5, lists eligible proxies and supporting documentation.

Table 5. Building Level Income Eligible Proxies

Eligibility Proxy	Details	Documentation Required
US HUD, USDA-RD, and other Federally Regulated LMI Housing	Buildings that receive subsidies from HUD or USDA-RD (e.g. Public Housing Authorities, etc.) based on household income may be defined as LMI, based on household income criteria detailed in the contract or award, including regulatory control or structures such as: Section 8 Contract Sections 202, 236, 811	Copy of the HUD contract or contract award notice.
NYSDHCR-Regulated Affordable Housing	Buildings with subsidized mortgages or contracts that place them under the regulatory control of NYSDHCR may be defined as LMI, based on household income criteria detailed in the NYSDHCR contract or award.	Copy of NYSDHCR contract or contract award notice.
Low Income Housing Tax Credits	Buildings that receive low-income housing tax credits for at least 50% of the units.	Copy of tax credit award notice from NYSDHCR.
SONYMA Mortgage Insurance	Buildings subsidized for low- to moderate-income multifamily residents with SONYMA subsidized financing through the HFA.	Copy of loan closing/mortgage insurance award documents.
Weatherization Assistance Program	Buildings that have fulfilled the eligibility requirements for the Weatherization Assistance Program. >66% households must be income eligible.	Letter from the Weatherization Agency confirming the property's income eligibility.
Local homeless service agency	Properties that serve as transitional housing facilities where a not-for-profit organization is the owner of the property	Copy of the local homeless service agency contract AND proof of ownership
Mitchell- Lama Buildings	Properties that are currently NYS Mitchell-Lama buildings	Copy of NYSHCR contract or recent annual report confirming active Mitchell-Lama status

2. Rent Roll: A calculation spreadsheet tool is available on the [program website](#) for determining Rent Roll income eligibility. The tool requires the building owner/manager to include the annual rent, size, and occupancy for each apartment in the project, broken out by building. The spreadsheet will determine the calculated household income for each unit based on the assumption that 30 percent (30%) of household income is applied to housing costs (i.e., rent). The tool will then determine how many units are above or below the income eligibility threshold of 80 percent (80%) of the Area Median Income or State Median Income, whichever is greater. The Rent Roll method may not be combined with any other income verification method.

3.5 Extent of Renovation

AMP Up will accept renovations to existing structures defined as changes, additions, or deletions to any system or process that impacts an existing building's energy consumption and/or cost. This includes substantial renovations (gut rehab) projects. Substantial renovations are defined as one of the following types of projects:

- Change of use and reconstruction of an existing building or space within.
- Construction work that requires the building or space within be out of service for at least 60 consecutive days.
- Reconstruction of a vacant structure or space within.

Contact NYSERDA at MultifamilyPrograms@nyserda.ny.gov with questions.

3.6 Intended Use

The intended use of the building must be for residential purposes. Commercial facilities, such as motels/hotels, group homes, dormitories, shelters, monasteries, nunneries, assisted living facilities, and nursing homes are not eligible for AMP Up. Supportive housing, single room occupancy (SRO) facilities, and senior living residences that do not include nursing or hospitalization amenities are eligible for AMP Up. Supportive housing is defined as residences that are owned and operated by nonprofit organizations. Tenants are individuals and families who require affordable permanent housing and support services, have lease agreements, pay rent (often a percentage of their income), and abide by the terms of their lease.

3.7 Large Project Pre-Authorization

To manage funding availability, large projects require NYSERDA pre-authorization before applying to AMP Up. NYSERDA will determine available funding based on the size and scope

of the project. A large project is defined as a building or group of buildings with more than 150 units collectively. Participating Contractors considering large projects should email MultifamilyPrograms@nyserda.ny.gov using "Large Project Pre-Authorization Request" in the subject line and shall include the following information to help assist in providing a quick turnaround reply:

- Project name
- Project address(es) and utility territory
- Number of buildings
- Number of units
- Which method is used to meet income eligibility criteria
- Projected scope of work

NYSERDA will review the information and respond via email with approval or to schedule a call for further discussion.

3.8 Building Electrification Eligibility

Projects intended on electrifying the building's space heating through the AMP Up electrification Incentive Category must complete a targeted ASHRAE Level 2 energy assessment with an energy model that demonstrates no increased utility costs, regardless of who is paying the bill, due to the installation of the proposed electrification system. To that end, a sensitivity analysis incorporating future time increments is expected to be conducted to confirm that utility bills will stay the same or decrease in the proposed time horizons. NYSERDA will not accept an electrification measure shown by the modeling and analysis to cause increased utility costs for either the tenant or the building owner. NYSERDA approval for building electrification measure will be associated with Stage 1 scope of work approval. NYSERDA reserves the right to request additional information to verify the modeled projections and to ensure Participants and tenants are protected from increased utility costs. Contact NYSERDA at MultifamilyPrograms@nyserda.ny.gov with questions.

4. Coordination with Other Energy Efficiency Programs

Energy efficiency programs at the federal level and in New York State are regularly updated. While the information presented in this section is current per the release date of this manual, please email MultifamilyPrograms@nyserda.ny.gov if you have a question about how AMP Up coordinates with other energy efficiency or clean energy programs.

4.1 Coordination with NYSERDA Technical Assistance Programs

Projects may be combined with NYSERDA's On-site Energy Manager (OsEM) program⁵ or Small Affordable Multifamily Energy Study (SAMES)⁶ without reducing the incentive payment associated with AMP Up.

4.2 Coordination with New York State Affordable Housing Agencies

New York State Homes and Community Renewal (HCR) requires an Integrated Physical Needs Assessment (IPNA) for several financing programs. The IPNA Standard requires IPNA Providers complete and document the outcomes of both a physical needs assessment and an energy assessment and provide recommendations. Information from the IPNA may be used to inform the development of the AMP Up workscope. Buildings participating in HCR's Clean Energy Initiative are not eligible for AMP Up participation.

4.3 Coordination with Utility Program Incentives

AMP Up will not incentivize measures that are incentivized by NYS Utility programs, including NYS Clean Heat. Measures funded by those programs may not be included in the AMP Up scope of work nor contribute to the total project costs.

4.4 Coordination with Weatherization Assistance Program

Projects that participate in the Weatherization Assistance Program (WAP) will be eligible to apply for AMP Up. Projects that participate in WAP concurrently with their participation in AMP Up

⁵ OsEM subsidizes the cost of a dedicated on-site energy manager to support the identification and implementation of energy efficient measures.

⁶ SAMES supports the completion of an ASHRAE Level 2 audit for small affordable multifamily housing 50,000 SF or less.

may include the WAP measures in the project’s AMP Up scope of work. The WAP funds invested in the project will not be deducted from the AMP Up incentive, but the combination of AMP Up incentives and WAP funds cannot exceed 100% of the total project cost.

Table 6. Coordination with Other Energy Efficiency Programs

Program	Co-funding the same measure with AMP Up	Measure costs may be included in Incentive Cap	Incentive Adjustments
NYS Clean Heat	No	No	N/A
Other Utility Programs	No	No	N/A
WAP concurrently with AMP Up	Yes	Yes	Combination of AMP Up & WAP funds cannot exceed 100% of total project costs
NYSHCR, excluding Clean Energy Initiative	Yes	Yes	Combination of AMP Up & HCR funds cannot exceed 100% of total project costs

4.5 Contact Information

Email all application, intake, and eligibility questions to MultifamilyPrograms@nyserda.ny.gov.

A Project Manager is assigned upon application approval to coordinate all project-related tasks. All correspondence and questions about a project after an application approval email is received must be directed to the Project Manager. Contact information will be provided upon assignment. AMP Up project applications shall be submitted through the Multifamily Energy Portal.

5. Incentives

5.1 Incentive Amount and Payment Schedule

Table 7 outlines the incentives and incentive caps. A project may install measures across multiple Incentive Categories, and the incentive will be additive. For incentives across categories to be additive, the measures must be installed per the Minimum Performance Standards specified in the AMP Up Eligible Measures List. Incentives are distributed via the schedule of payments, also found in **Table 7**. Incentive amounts and payment schedules are subject to modification. By default, all end-use, technical assistance and Concierge Service incentives are paid to the Participating Contractor. The Participating Contractor is responsible for flowing down incentives to installation contractors as appropriate and as aligned with the agreement that the Participating Contractor has with the Participant. Participants seeking direct payment must make this election when signing off on their Participation Agreement. Participants can authorize a separate entity (e.g., property management company, owner’s representative) to make decisions on their behalf through the submission of a Property Owner Authorization Form. If the Participant decides to have incentive payments issued to their authorized representative, then the Participant must approve that by signing off on the Participation Agreement.

Low Rise Pathway: Small buildings (1-3 stories, up to 20 units) account for a majority of the upstate multifamily building stock.⁷ These buildings often require more technical assistance due to ownership type and typically do not benefit from economies of scale resulting in a higher per unit cost than larger buildings. To better support small buildings, AMP Up has implemented a Low-Rise Pathway that will provide technical support using the Clarity Compass tool and a higher program incentive cost cap up to 85% of project costs along with an accelerated staged incentive payment schedule (refer to **Table 7**) designed to disburse more funds earlier in the project timeline.

Large Building Pathway: Multifamily buildings that do not fall under the Low-Rise Pathway will follow the Large Building Pathway. AMP Up will support all multifamily buildings in eligible territories by providing incentives for technical assistance, end use incentives and resilience enhancements, when eligible. Large Building Pathway projects have an incentive cost cap up to 70% of the project costs.

⁷ Source: 2022 5-Year ACS Summary Table B25024

Resilience Enhancements: The incentive schedule for installation of Resilience Enhancements is specified in the Resilience Enhancements Addendum found on the [program website](#). Qualified Participating Contractors providing project support to projects including any Floodproofing Resilience Enhancements in their scope of work may additionally be eligible for a Floodproofing Design Assistance incentive to support the additional engineering design and costs associated with these Enhancements. The amounts and payment schedule for the Floodproofing Design Assistance incentive are specified in the Resilience Enhancements Addendum.

Table 7. Incentive Schedule

Incentive Category	Incentive	Incentive Schedule				
		Stage 1 (Scope Development)	Stage 2 (Construction start)	Stage 3 - Optional (Partial)	Stage 4 (Construction)	
TA	Technical Assistance	Up to 100% of approved scope of work	75%	25%		
End-Use Incentives	Appliances	\$400 per unit			100% of incentive	
	Prescriptive	Up to \$1,750 per unit	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 25% of incentive	Low-Rise Pathway: 25% of incentive or Large Building Pathway: n/a	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 40% of incentive	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 35% of incentive
	Weatherization	Up to \$2,500 per unit				
	Electrification	Up to \$5,750 per unit				
	Deep Retrofit	Up to \$6,750 per unit				
	Resilience Enhancement	See Resilience Enhancement Addendum				

5.2 Incentive Cap

Total incentives will not exceed either 70 or 85 percent (70% or 85%) of the total costs of Eligible Measures as outlined in Section 5.1 Incentive Amount and Payment Schedule. The following are not included in the total project cost for the purpose of calculating the incentive cap: previously installed measures, Participating Contractor fees for delivering required program services, building assessment costs, Resilience Enhancement costs, Floodproofing Design Assistance, and construction management fees.

In cases where the NYSERDA incentive is at the maximum project cap (70% or 85% of project costs), reductions in project costs will result in a reduced final incentive amount.

5.3 Buildings with Phased Scopes

Buildings are allowed to enter AMP Up multiple times over the course of the initial program term (2026-2030) and receive incentives. New scopes of work may be considered for a project

and would be eligible for additional incentives. A building cannot receive additional incentives for a scope of work previously completed under the program. New scopes of work will qualify for additional incentives if a project is implementing new measures not previously funded under the program. The Incentive Category cap will be applied to the initial program term (2026-2030) and each phased scope will deduct from the available incentives until no available incentives in that category remain.

Example:

A 20-unit building is looking to install measures in five categories between the program term at different times (2026-2030).

Table 8. Example Project: Available Maximum Incentives by Incentive Category

Incentive Category	Incentive	# of Units	Max Available Incentives
Appliance	\$400 per unit	20	Up to \$8,000
Prescriptive	\$1,750 per unit	20	Up to \$35,000
Weatherization	\$2,500 per unit	20	Up to \$50,000
Electrification	\$5,750 per unit	20	Up to \$115,000
Deep Retrofit	\$6,750 per unit	20	Up to \$135,000

In 2026, the example project installs refrigerators totaling \$12,500, prescriptive measures totaling \$15,000, and weatherization measures totaling \$40,000. Since this is a small building in the Low-Rise Pathway, the incentives are capped at 85% of the project cost per measure, in addition to the Incentive Category cost cap. Calculated incentives as well as remaining available incentives per Incentive Category are shown in **Table 9**. In this example, the Appliance incentive was capped at the Incentive Category leaving no available balance to carry forward. The prescriptive and weatherization measures were capped at the 85% cost of the scope of work, leaving a balance available for additional measures to be installed in those categories in the future.

Table 9. Example Project: Phase 1 2026 SOW

Incentive Category	Incentive Category Cost Cap	2026 Scope of Work Costs	Incentive Cap (85% SOW)	Incentives Paid	Remaining Available Incentives
Appliance	\$8,000	\$12,500	\$10,625	\$8,000	0
Prescriptive	\$35,000	\$15,000	\$12,750	\$12,750	\$22,250
Weatherization	\$50,000	\$40,000	\$34,000	\$34,000	\$16,000
Electrification	\$115,000	0	0	0	\$115,000
Deep Retrofit	\$135,000	0	0	0	\$135,000

In 2028, the same project installs additional Prescriptive measures totaling \$20,000, new Weatherization measures totaling \$30,000, Electrification measures totaling \$185,000 and Deep Retrofit measures totaling \$92,000. The same 85% cost cap is applied, in addition to the Incentive Category cost cap. In this example, the proposed Weatherization and Electrification measure costs exceeded the available Incentive Category's remaining incentives after applying the 85% cost cap, so the available incentives were capped at the Incentive Category, as shown in **Table 10**. The Prescriptive and Deep Retrofit measures were capped at 85% of the total cost of those measures, leaving an available balance that can be used to install new measures in those categories before the funding cycle ends.

Table 10. Example Project: Phase 2 2028 SOW

Incentive Category	Incentive Category Cost Cap	2028 Scope of Work Costs	Incentive Cap (85% SOW)	Incentives Paid	Remaining Available Incentives
Appliance	0	0	0	0	0
Prescriptive	\$22,250	\$20,000	\$17,000	\$17,000	\$5,250
Weatherization	\$16,000	\$30,000	\$25,500	\$16,000	0
Electrification	\$115,000	\$185,000	\$157,250	\$115,000	0
Deep Retrofit	\$135,000	\$92,000	\$78,200	\$78,200	\$56,800

6. Application

This section provides an overview of the application process flow from pre-application to the incentive offer letter being issued. An overview of these two processes is summarized in **Figure 2** and **Figure 3**.

Figure 2: Pre-Application Process Flow⁸

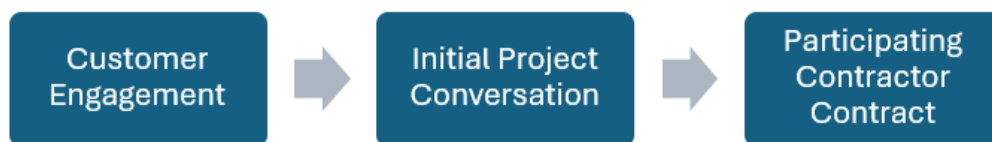
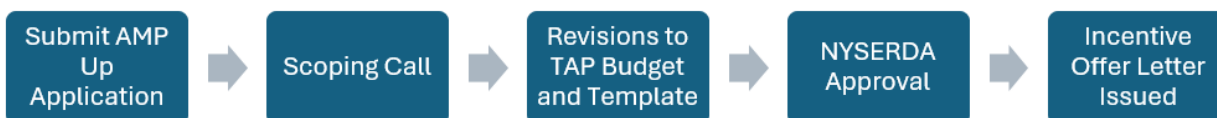


Figure 3: Application Process Flow



6.1 Application Documents and Processing

Participants can enter the program by:

- completing an [Interest Form](#), found on the [program website](#).
- contacting NYSERDA directly at MultifamilyPrograms@nyserda.ny.gov.
- engaging with participating Regional Clean Energy Hubs.
- engaging with participating Community Based Organizations.
- engaging a Participating Contractor from the [Multifamily Contractor Network](#).

Upon identifying an eligible project, the Participating Contractor (in consultation with the Participant) will submit an AMP Up Application using the Multifamily Energy Portal. A complete application package consists of the required information and deliverables listed in **Table 11**.

Application Package Requirements, current versions of these forms may be found on the AMP Up [program website](#).

⁸ Participating Contractor Contract only required for Multifamily Contractor Network provider.

Table 11. Application Submittal Documentation

<p>Project Information</p>	<p>Project information includes:</p> <ul style="list-style-type: none"> • Site location(s) • Building vintage • Occupancy rate • Project scope of work <p>A Project Information Form is available on the program website to gather information from the Participant about the building(s), Participant, and proposed project’s scope of work required to complete the online AMP Up Application. This form is not submitted to the program.</p>
<p>Participation Agreement</p>	<p>This agreement establishes the contract where the Participant accepts the rules and requirements of the program. Participants will sign the Participation Agreement and the Participating Contractors will include that signed agreement with application submission. Participating Contractors are required to keep an original signed copy of the Participation Agreement for seven years for each project. Signed originals need not be sent to NYSERDA, but Participating Contractors must keep them on file.</p>
<p>Property Owner Authorization Form (if needed)</p>	<p>A signed document certifying the person indicated on the form is authorized to act on behalf of the Participant.</p>
<p>W-9</p>	<p>Establishes the Federal Tax Identification Number of the Participant. This form is only needed if the Participant wishes to receive the incentive payment(s) instead of it being sent to the Participating Contractor.</p>
<p>Income Verification Documentation</p>	<p>Income verification documentation is required. Refer to Section 3.4 Income Eligibility, for acceptable documentation.</p>
<p>Technical Assistance Plan & Budget Template</p>	<p>A Budget Template and a templated Technical Assistance Plan (TAP) will be available on the program website and should be completed by all Participating Contractors to describe the work and show the costs to perform the building energy assessment (if one is needed, please refer to Table 3 for more details), Concierge, and Resilience Enhancement services (when applicable), and the costs to develop the scope of work (as indicated through the completion of the EAST). More information on this process can be found in Table 3, Section 7.2 Energy Assessment Requirements and Section 2.2 Technical Assistance.</p>
<p>Data Release Authorization Forms (DRAFs)</p>	<p>Signed Data Release Authorization Forms (the quantity and type vary based on building metering, refer to program website).</p>
<p>Existing Energy Use Information, if applicable</p>	<p>For projects that will be doing energy modeling, outside of the Clarity Compass tool, the following shall be included, so an Energy Use Snapshot can be prepared:</p> <ul style="list-style-type: none"> • Detailed existing building mechanical systems information • Bulk Fuel or District Steam Invoices, if applicable. Details on requirements can be found on the program website and in Appendix B.

6.2 Application Submittal

NYSERDA uses the Multifamily Energy Portal for management of this program. This is a Salesforce-based online application submission platform. To apply, Participants must first engage with a Participating Contractor. Only Participating Contractors can submit an application in the Salesforce application platform.

Upon receipt of the application, the NYSERDA Project Manager will schedule a virtual scoping call with the Participant, Participating Contractor, and any other pertinent parties. The intent of the scoping call is to establish participant interest, identify likely energy efficiency measures and any eligible Resilience Enhancements to those measures, review the Program's requirements and responsibilities, and determine sources of potential funding. Knowledgeable representatives of both the Participating Contractor and Participant are required to attend the scoping call.

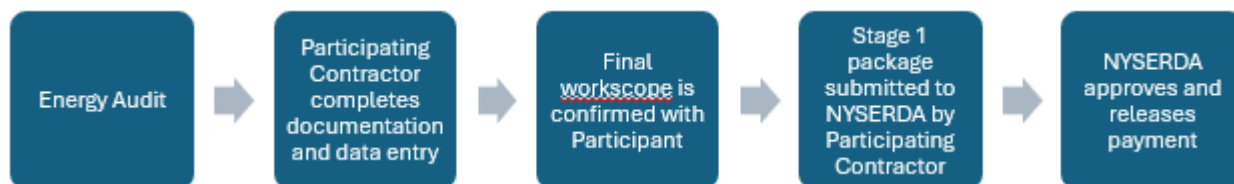
The TAP and TAP Budget will be reviewed and discussed during the Scoping Call and if edits to the TAP or the Budget are needed, the Participating Contractor has 10 business days after the Scoping Call to add Floodproofing Design Assistance to the TAP and TAP Budget Templates, if applicable, make any other revisions to the TAP and TAP Budget Templates based on what is discussed on the call, and resubmit via the Multifamily Energy Portal for review and approval.

6.3 Application Approval

Upon completion of a scoping call where it is determined that the project is eligible to participate, NYSERDA will issue an application approval email to the Participating Contractor and Participant. The Incentive Offer Letter will be attached to the application approval email that will be provided 10 business days after all final versions of the application materials have been received. Incentive Offer Letters will provide aggregated proposed incentive amounts for technical assistance and concierge services based on the application information and scoping call, with the exception of Resilience Enhancement end-use incentives, but inclusive of Floodproofing Design Assistance, if applicable. The Incentive Offer Letter will also confirm the eligibility of the project for any applicable Resilience Enhancements. The Incentive Offer Letter will be superseded by a Revised Incentive Offer Letter, which will add in the end use incentives, at the approved Stage 1 milestone if the final scope of work changes. The revised Incentive Offer Letter will include funding amounts for any applicable Resilience Enhancements. Refer to the Resilience Enhancements Addendum for further details. Projects that proceed with development of the scope of work prior to receiving NYSERDA's application approval do so at their own risk.

7. Stage 1: Scope Development

Figure 3: Overall Scope Development Process



7.1 Stage 1 Overview

Participating Contractors will work with Participants to develop a scope of work that meets the participant's financial and implementation goals for the property. The overall scope of work must yield projected energy savings to be acceptable for AMP Up incentives. Measures must meet all program rules and requirements to be eligible for incentives.

7.2 Energy Assessment Requirements

Required energy assessments may be waived if the building(s) had an energy audit completed⁹ within the prior three years from the time of the AMP Up application submittal and if the audit report contains sufficient detail on existing conditions and meets the minimum program requirements, as determined by NYSERDA. For projects that have not had a building audit within the prior three years, NYSERDA will assist the Participating Contractor in pursuing technical assistance. Building audits completed more than three years prior will not be accepted.

The deliverables for technical assistance shall include the preparation for the energy assessment, the assessment itself, and preparation of the EAST that will require minimal edits before it will be ready for submission as part of the Stage 1 milestone.

Approved TAP's are eligible for up to 75% of the approved energy assessment cost at Stage 1 milestone, as outlined in the approved TAP Budget Template. If the project moves forward with implementation of measures through AMP Up, NYSERDA will reimburse the remaining 25% of the approved technical assistance costs, covering 100% of the approved costs, at Construction Start Stage 2 milestone. NYSERDA will only provide cost share up to the approved budget in the TAP Budget Template. Technical assistance costs that exceed the approved budget will be

⁹ As defined by the date the FlexTech energy report is approved by NYSERDA.

covered by the Participant. If technical assistance costs are found to be lower than the approved budget, NYSERDA will cost share up to the revised, lower technical assistance costs.

Projects with a FlexTech energy audit completed¹⁰ within the last three years of an AMP Up application submittal and apply to AMP Up on or before November 30, 2026, are eligible to receive the additional out of pocket 25% of the approved costs associated with the FlexTech energy study if the project moves forward with implementation of weatherization, electrification, or deep retrofit measure packages in AMP Up. This additional incentive will be paid out at Stage 2 of the AMP Up project lifecycle. After November 30, 2026, buildings that apply to AMP Up within six months of completing a FlexTech energy audit are eligible to receive the 25% kicker. Assessments completed under the Small Affordable Multifamily Energy Study (SAMÉS), or any other FlexTech energy audit that received a 100% cost share from NYSERDA, are not eligible for this 25% kicker.

If you have any questions, please reach out to MultifamilyPrograms@nyserda.ny.gov

7.3 Modeling Requirements

Participating Contractors are required to use approved simulation software to model energy savings for projects pursuing the Electrification and Deep Retrofit Incentive Categories in **Table 3**. Guidance about modeling energy savings may be found in the Multifamily Simulation Guidelines. Projects must use the energy use baseline provided by AMP Up to true-up the model. Projects pursuing the Prescriptive and Weatherization Incentive Categories are not required to model savings and may use a deemed savings approach as outlined in Section 7.4 Simulation Guidelines and Energy Savings Calculations, below. A list of approved software can be found in the Multifamily Simulation Guidelines found on the [program website](#). Other modeling software may be used with prior consent by the Program. Please reach out to MultifamilyPrograms@nyserda.ny.gov with any questions or requests to use any other analytical tools.

For buildings in the Low-Rise Pathway, modeling may be completed by using the Clarity Compass tool. Clarity Compass does not model Prescriptive Measures, so if Prescriptive Measures exist in the project's scope of work, those must be included in the Measures Calculations tab of the EAST.

¹⁰ As defined by the date the FlexTech energy report is approved by NYSERDA.

7.4 Simulation Guidelines and Energy Savings Calculations

Participating Contractors are required to calculate energy savings for all projects per the technical standards in the Multifamily Simulation Guidelines. The use of deemed savings is allowed for the Appliances, Prescriptive¹¹ and Weatherization measures and projects with those workscopes do not require modeling if Electrification and Deep Retrofit measures are not being pursued. Deemed savings calculations must abide by the NYS Technical Resource Manual (TRM). The EAST was designed to implement the savings calculation methodology as outlined in the TRM, therefore outside calculations or other custom or proprietary tools will not be accepted.

The Multifamily Simulation Guidelines is a separate document that contains a methodology for energy savings calculations including energy simulation, model calibration and interactive effects, for approved modeling software outside of Clarity Compass. The Guidelines must be used to evaluate energy reduction measures and calculate the projected savings and cost-effectiveness of recommendations included in the EAST. If a project has an Electrification or Deep Retrofit measure along with either a Prescriptive or Weatherization measure, all measures should be included in the model to calculate savings and not be entered into the EAST. The output of the simulation software could then be entered into the EAST.

When Clarity Compass is being used to meet the modeling requirement, all Weatherization, Electrification, and Deep Retrofit measures will be entered into the software. However, if Prescriptive measures are being proposed, only those measures should be entered into the EAST to calculate savings.

The Multifamily Simulation Guidelines is an available resource for NYSERDA multifamily programs. Input options and information requirements may not be applicable to every project depending on the input options of the approved modeling software. The Simulation Guidelines serve as a resource to ensure that:

- Consistent simulation methodology is used from Participating Contractor to Participating Contractor and from building to building.
- Energy simulation and model calibration best practices are followed.

¹¹ Clarity Compass does not model Prescriptive Measures, so if Prescriptive Measures exist in a project using Clarity Compass, those must be included in the Measures Calculations tab of the EAST where deemed savings will be calculated.

- Assumptions are within reasonable ranges.
- Savings projections are realistic.

7.5 Documentation and Scope Development

Participating Contractors must collect building data points via on-site observations, surveys, and performance testing. These data points must serve as a reference for data entry into EAST. It is recommended that the auditor who performs the on-site assessment be responsible for entering building data into the analysis tool, as much of the data entry requires interpretation of occupant/management responses to queries, visual indicators of systems performance, and analytical performance testing.

The Participating Contractor is responsible for ensuring that all assumptions made in the scope of work can be translated into bid and construction documents. A scope of work should contain performance specifications or references to the specifications for the materials and equipment to be installed. If the project is pursuing funding for Resilience Enhancements, the scope of work should contain any additional documentation and deliverables associated with such Enhancements as outlined in the Resilient Enhancement Addendum. Additionally, the scope of work should include enough information about installation standards to ensure that competitive bidding is fair in scope and pricing and that potential contractors understand the importance of performance contracting.

7.6 Photo Requirements

Detailed photo documentation is a required part of Stage 1 documentation and must consist of a representative sample of the existing conditions of the project using the Photo Template. It is important to include clear photo documentation of existing conditions that will be updated through the scope of work or that diverge from what would be expected in a normal building. As an example, if a baseline assumption of a building model shows a very high-infiltration rate that will be reduced with air sealing, a photo is required to document the source of such high-baseline infiltration. If photos are being provided to show measurements, a measuring tool with standard measurement increments must be used. The photo(s) provided must clearly show what is being measured and also be zoomed in and clear enough to read the measurement.

7.7 Utility Cost Analysis

Participating Contractors are required to provide energy costs for the purposes of calculating the annual cost savings of the proposed measures. Projects that demonstrate increased utility

costs for the tenant or building owner will not be approved for AMP Up incentives. When reporting energy costs, the Participating Contractor should use the following approaches for calculating potential utility cost impacts:

1. Projects pursuing building energy efficiency upgrades only: a blended rate analysis is acceptable.
2. Projects pursuing building systems electrification: a more detailed analysis of impact on the commodity and demand charges to the customer utilizing respective utility tariffs should be used in the EAST. This utility cost analysis will be used to ensure proposed measures from electrification do not increase owner or resident utility costs. Further details about this analysis are provided in the Multifamily Simulations Guidelines.

7.8 Measure Cost Estimation and Estimated Useful Life

The projected cost of installing measures relies on estimates based on previous experience and knowledge of current pricing of building materials, equipment, and labor. Although there are likely other costs associated with installing measures, these can usually be aggregated into a simple percent increase above the estimated cost of materials and labor. Estimated useful life (EUL) for proposed equipment is based on the Technical Resources Manual (TRM) and that information is captured in the EAST.

7.9 Minimum Performance Standards

All recommended improvements shall comply with the Minimum Performance Standards specified in the AMP Up Eligible Measures List. Recommended measures and Resilience Enhancements shall AT LEAST meet each of these requirements for each indicated measure or system, including Building Performance Institute, Inc.'s Technical Standards for Multifamily Building Analyst or applicable local, state, or national codes, whichever is more stringent. Contact MultifamilyPrograms@nyserda.ny.gov if there is difficulty complying with a specific standard.

The Minimum Performance Standards may be accessed on the [program website](#). They establish the measure-by-measure parameters that apply only to those building components or systems for which recommended improvements are proposed.

These Minimum Performance Standards are also intended to:

- Ensure that buildings are built to the requirements of specific, applicable codes.
- Provide a reference for Participating Contractors to describe what will be required to participate in AMP Up.

For current NYS code and supplements, including the Energy Conservation Construction Code of New York State (ECCC NYS), and an easy guide to the specific code requirements mentioned in the Minimum Performance Standards, please refer to the Code Reference Guide available on the [program website](#) or you can access the Clean Resilient Buildings resources:

<https://www.nyserda.ny.gov/All-Programs/Clean-Resilient-Building-Codes/Energy-Code-Resources>

7.10 Quality Control

NYSERDA conducts quality control reviews of all submittals. Additionally, the EAST contains quality control flags identifying measures that fall outside the range of typical measure costs and savings based on previous multifamily installations and industry standards. NYSERDA reserves the right to request further information about savings calculations, measure costs, calculation, and model updates, etc. Final approval of the EAST is at the discretion of the Program.

Participating Contractors are subject to the terms and conditions of their agreement with NYSERDA. Participating Contractors must conduct a comprehensive review of their deliverables and are responsible for the accuracy, timeliness, and completeness of submittals. Participating Contractors who repeatedly provide false, inaccurate, or incomplete information to NYSERDA will be subject to the appropriate disciplinary action as defined in their respective NYSERDA agreements.

7.11 AMP Up Quality Assurance Policy

NYSERDA maintains the integrity of AMP Up through an independent Quality and Market Standards Team, which manages the Quality Assurance (QA) process for the program. NYSERDA implements both Quality Control and Quality Assurance processes. Quality Control activities, such as technical review, are conducted during the development of the project to ensure quality requirements are met and non-conformances are documented. Quality Assurance Inspections are conducted upon project completion to verify that all work meets program requirements. Field inspections and desk reviews conducted by qualified independent third-party providers are used to verify compliance of key milestones within projects to assess compliance with industry standards and program requirements and to identify corrective action necessary to comply with said standards and requirements. NYSERDA provides specifications of installation requirements for installing eligible measures and those specifications will serve as a reference guide for Participating Contractors and Installation Contractors. These specifications will be integrated into

the inspection workbook. Non-conformance with the specifications will be captured and all non-conformances will be identified as incidental, minor, major or critical. Details about the category descriptions are provided below.

Table 12. Non-Conformance Category Descriptions

Non-conformance category description	Energy Impact	Non-Energy Impact
Incidental	May result in a savings shortfall, but the impact will be small and may not be measurable.	Not expected, on its own, to pose a substantial risk of system failure or hazard.
Minor	Will result in a savings shortfall, but the impact will be small and may not be measurable.	Requires modifications to address but not expected to pose a substantial risk of system failure or hazard.
Major	Will result in a measurable shortfall in energy savings.	Presents an increased risk of system failure or hazard but not determined to be in imminent danger of failure or hazard.
Critical	N/A	Presents an imminent hazard

Inspections or desk reviews will be scored by counting the number of non-conformances across the different categories and assigning an overall performance score on a five-point scale. This score is an indicator of the overall quality and compliance. The quality score will be used to track performance of Participating Contractors in the program. More details about the QA process may be found on the program page. All projects are expected to receive QA inspection including field inspections and/or desk reviews. All projects are required to meet NYSERDA’s QA standards in order to receive incentives through AMP Up.

7.12 Stage 1 Deliverables

Stage 1 submittals, listed in **Table 13**, are due within 120 calendar days¹² following the application approval email sent after the scoping call. The Participant and Participating Contractor are notified of this date when the application approval is issued. For projects that include Resilience Enhancements, Participating Contractors will follow the deliverable requirements and schedule outlined in the Resilience Enhancements Addendum.

¹² Refer to Section 11.2 for more information about how to request an extension if additional time is needed.

Table 13. Stage 1 Submittal Package Requirements

EAST	One EAST tool per project is required to be completed and submitted.
Modeling Output, if applicable	If Modeling is required per Table 3 , the modeling output files shall be submitted.
Participating Contractor and Participant Contract	Only required when using a Multifamily Contractor Network Energy Assessor
Photo Template	Existing Conditions shall be documented using the Photo Template provided.
Data Release Authorization Form	Signed Data Release Authorization Forms (the quantity and type vary based on building metering, refer to program website), if not submitted with the Application.
Fuel Delivery Invoice	For projects pursuing electrification measures in buildings using Clarity Compass, delivered fuels (oil, propane, kerosene), invoices for heating fuel delivery shall be submitted. Details on requirements can be found on the program website .
Certificate of Insurance	A copy of the Certificate of Insurance meeting the requirements listed in Section 7.12 Stage 1 Deliverables shall be submitted.
Resilience Enhancement Stage 1 Deliverables	If applicable, refer to the Resilience Enhancement Addendum for details.

The filename convention must be followed. It allows NYSERDA to manage document revisions and maintain accurate project files. Incomplete submittals or submittals that do not adhere to the filename convention will be returned to the Participating Contractor without a technical review. This requirement allows NYSERDA to manage document revisions and maintain accurate project files. Participating Contractors are urged to develop a similar requirement internally that aligns with the requirements set forth for this program.

Table 14. Stage 1 Deliverables Filename Convention

Document	Filename Convention	Example
EAST	Project Name - EAST_rev0.xls	NY Apts - EAST_rev0.xls
Model Output (if applicable)	Project Name – model_rev0	NY Apts – model_rev0
Participating Contractor Contract	Project Name - Participating Contractor Contract.pdf	NY Apts - Participating Contractor Contract.pdf
Photo Template (refer to program website)	Project Name – Photos_rev0.pdf	NY Apts – Photos_rev0.pdf
Common Area Data Release Authorization Form (if not previously submitted)	Project Name – Owner DRAF.pdf	NY Apts – Owner DRAF.pdf
Resident Data Release Authorization Form (if not previously submitted)	Project Name – Account Holder Name and APT# DRAF.pdf	NY Apts – Smith 101 DRAF.pdf
Fuel Delivery Receipts (if not previously submitted)	Project Name Document Name (as appropriate) Fuel Type.pdf	NY Apts – Jones Propane.pdf
Resilience Enhancement Stage 1 deliverables, if applicable (refer to Resilience Enhancements Addendum)	Refer to Resilience Enhancements Addendum	Refer to Resilience Enhancements Addendum

Upon resubmission of project documents, the next revision number must be applied to all deliverables (e.g., Rev0 becomes Rev1). Refer to Appendix A for a complete list of deliverables.

7.13 Stage 1 Approval – Scope Development

The following procedure explains each step of the Stage 1 approval process. Stage 1 must be approved before the project can continue to construction. If the project moves to construction prior to receiving Stage 1 approval, they are doing so at risk of increased costs or forfeiting NYSERDA incentives if design changes need to be made that cannot be accommodated. NYSERDA will not be responsible for any financial loss.

1. The Participating Contractor submits Stage 1 deliverables and all associated files to NYSERDA for review. Submittals are to be uploaded to Salesforce. If the Participating Contractor is unable to upload the materials, reach out to the assigned Project Manager for guidance.
2. NYSERDA completes a technical and financial review with three options for response:
 - a. Approved as Noted: Stage 1 deliverables are approved as proposed.
 - b. Revise and Submit: The project is not approved as proposed. Comments are returned to the Participating Contractor and Participant, with directions to revise and resubmit. The revised Stage 1 documents must be submitted within 30 days.
 - i) If the resubmittal meets program requirements and addresses comments, Stage 1 is approved.
 - ii) If the resubmittal does not present an approvable project as directed in the review comments, it will be returned to the Participating Contractor for correction and the Participating Contractor's performance file will be noted.
 - c. Rejected: Deliverables contain serious deficiencies and do not meet program requirements.
 - i) NYSERDA will notify the Participant and Participating Contractor to seek mutually acceptable terms for a fundable project. This discussion occurs primarily with the Participant, with input from the Participating Contractor. NYSERDA may choose to allow resubmittal of the Stage 1 deliverables as a result of this discussion.
 - ii) If no agreement is reached, the project is rejected and its participation in AMP Up will be terminated.

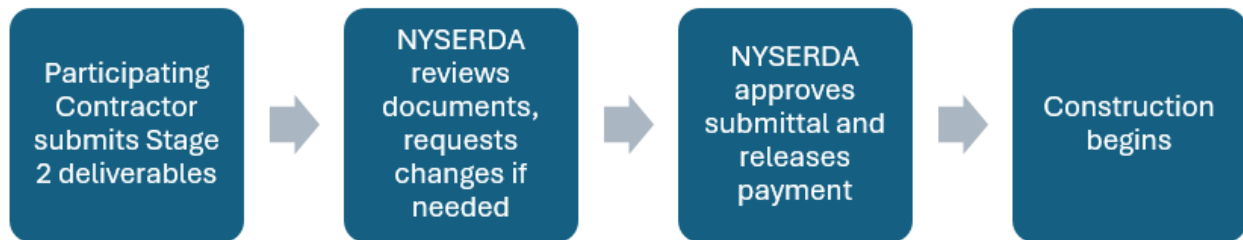
Once the Stage 1 deliverables are approved, an email that the Stage 1 submittal has been approved and that the project may now proceed with the installation of the improvements detailed in the EAST will be sent. If applicable, an additional email will be sent that includes an

adjusted incentive offer letter specifying the project's maximum payment. Payment of the initial 75% for technical assistance will be paid upon completion of the EAST Tool and energy assessment. Floodproofing Design Assistance will be paid out as specified in the Resilience Enhancements Addendum.

The total incentive issued at Stage 1 (end-use incentives plus technical assistance) may not exceed the total scope of work cost. If the calculated incentive due exceeds the total scope of work cost, it will be capped at that amount and the remaining eligible amount will be issued at Stage 2.

8. Stage 2 Approval - Technical Assistance/Construction Start

Figure 4: Overall Technical Assistance/Construction Start Process Flow



8.1 Stage 2 Overview

Projects in the Low-Rise Pathway are eligible for a Stage 2 end-use incentive and any projects receiving energy assessments are eligible for the remaining 25% of the technical assistance incentive payment when documentation showing that all funding sources are in place, final costs have been established for the project, and that construction is contracted to begin.¹³ Failure to move forward with the construction of the project will result in NYSEERDA paying only the original 75% of the technical assistance incentive payment and Stage 1 incentives. All other incentives will be released for reassignment to other projects, and the project will be terminated from the program.

Projects are required to hold commercial general liability or general liability insurance for bodily injury liability, including death, and property damage liability, incurred in connection with the performance of this Agreement, with minimum limits of \$2,000,000 aggregate for general liability; \$1,000,000 in respect of claims arising out of personal injury or sickness or death of any one person, \$1,000,000 in respect of claims arising out of personal injury, sickness or death in any one accident or disaster, and \$1,000,000 in respect of claims arising out of property damage in any one accident or disaster. NYSEERDA and the State of New York must be listed as certificate holders. This insurance could be provided by the General Contractor, Installer, or Participant provided that the insurance covers the full scope of work. The Participating Contractor is responsible for collecting and submitting this Certificate of Insurance to NYSEERDA.

¹³ Projects that apply to AMP Up within six months of completing a FlexTech energy audit (based on the NYSEERDA approval date for the energy report) and complete Stage 2 are eligible to receive the additional kicker to cover up to 100% of the energy study. The energy audit must meet the program requirements discussed in Section 2.2 and 7.2.

8.2 Stage 2 Deliverables

The following documentation shall be submitted for Stage 2 deliverables as soon as all the documentation is available, but no more than 5 business days after construction begins:

- A copy of the executed contract for the installers, and
- A copy of the construction schedule, and
- Funding documentation
 - For projects using lender financing- final commitment letter from lender and pro-forma that describes funding sources and uses, or
 - Bank account statement documenting capital on hand to cover relevant project costs, or
 - Final grant source documentation.

Table 15. Stage 2 Deliverables Filename Convention

Document	Filename Convention	Example
Copy of executed contract for installers	Project Name – Contractor Name Contract_rev#.xls	NY Apts – XYZ Plumbers Contract_rev0.pdf
Construction Schedule	Project Name – Construction Schedule_rev#	NY Apts – Construction Schedule_rev0.pdf
Funding Documentation	Project Name – Funding Documentation.PDF	NY Apts – Lender Letter.pdf and NY Apts – Proforma.pdf
Certificate of Insurance	Project Name – COI.pdf	NY Apts – COI.pdf

8.3 Stage 2 Approval

The following procedure explains each step of the Stage 2 approval process.

1. The Participating Contractor submits Stage 2 deliverables and all associated files to NYSERDA for review. Submittals are to be uploaded to Salesforce. If the Participating Contractor is unable to upload the materials, reach out to the assigned Project Manager for guidance.
2. NYSERDA completes a review of the submittal documents with three options for response:
 - a. Approved as Noted: Stage 2 deliverables are approved as proposed.

- b. Revise and Submit: The project is not approved as proposed. Comments are returned to the Participating Contractor and Participant, with directions to revise and resubmit. The revised Stage 2 documents must be submitted within 30 days.
 - i) If the resubmittal meets program requirements and addresses comments, Stage 2 is approved.
 - ii) If the resubmittal does not present an approvable project as directed in the review comments, it will be returned to the Participating Contractor for correction and the Participating Contractor's performance file will be noted.
- c. Rejected: Deliverables contain serious deficiencies and do not meet program requirements.
 - i) NYSERDA will notify the Participant and Participating Contractor to seek mutually acceptable terms for a fundable project. This discussion occurs primarily with the Participant, with input from the Participating Contractor. NYSERDA may choose to allow resubmittal of the Stage 2 deliverables as a result of this discussion.
 - ii) If no agreement is reached, the project is rejected and its participation in AMP Up will be terminated.
- 3. Once the Stage 2 deliverables are approved, an email that the Stage 2 submittal has been approved. Payment of the remaining 25% for technical assistance will be paid upon approval of this milestone. If applicable, Floodproofing Design Assistance will be paid out at this milestone. Lastly, the end-use incentives for Low-Rise pathway projects will be paid out upon approval of the Stage 2 milestone.
 - a. If any incentives were held at Stage 1 due to exceeding the total scope of work cost, refer to Section 7.13 Stage 1 Approval – Scope Development above, those remaining funds will be issued upon approval of Stage 2.

9. Site Inspection

This section discusses the site inspection requirements, things that may be needed to complete the Inspection Workbook, and information which will be needed for Stage 3 and Stage 4 submittal packages.

9.1 Participating Contractor Responsibilities

During the construction phase, Participating Contractors are not responsible for installing the measures outlined in the approved EAST. Participating Contractors are responsible for the following:

- Verifying that work is installed according to the scope of work described in the approved EAST and per the program's Minimum Performance Standards specified in the AMP Up Eligible Measures List (Refer to [program website](#).)
- Gathering and submitting appropriate measure documentation.
- Completing and submitting the Inspection Workbook.

Participating Contractors must refer to the Quality and Market Standards Inspection Checklist for measure specific requirements. The document can be found on the [program website](#).

9.2 Verification of Completed Work

Participating Contractors are required to verify the installation of measures with one of the following:

- Performing an on-site inspection of installed measures OR
- Obtaining a Statement of Substantial Completion from the installation contractor or other qualified representative. Refer to Section 9.2.2 Statement of Substantial Completion, for more information.

9.2.1 On-Site Inspection

Participating Contractors should conduct an on-site inspection prior to requesting an on-site inspection as part of Stage 3 and/or Stage 4. The Participating Contractor can use the Quality and Market Standards Inspection Checklist, available on the [program website](#), to guide their inspection process.

9.2.2 Statement of Substantial Completion

The installation contractor or other qualified representative must complete the Statement of Substantial Completion. When submitting a signed Statement of Substantial Completion, the Participating Contractor is still responsible for performing the necessary due diligence to ensure that the Statement of Substantial Completion is accurate and complete. The exact steps to gaining this assurance will depend on the measure installed and the Participating Contractor's experience working with the installation contractor. Steps for due diligence can include, but are not limited to, requesting contractor field notes and checklists, random sampling to compare the statement to what is seen on site during an inspection, asking the installation contractor for their quality control techniques.

A signed Statement of Substantial Completion is defined as a written and signed statement from the Installation Contractor, the general contractor, the commissioning agent, or another third-party inspector. The Statement of Substantial Completion must confirm that the specified measures are fully installed and fulfilling its intended use. For energy efficiency measures, the intended use is to generate the proposed level of energy savings.

Unless based on industry-standard document such as AIA's G704, this statement must be on the contractor's letterhead, must include all the information described below, and must cover 100% of the installation.

- Statement must be made on contractor/agent's letterhead.
- Statement must contain the name and address of the project.
- Statement must contain the name and contact information of the individual completing the statement.
- Statement must confirm that all fixtures and equipment have been installed and tested to demonstrate confirmation with all construction specifications.
- Individual's signature and date signed.

In some cases, there may be documents already in use by the contractor or participant that satisfy some or all the requirements of the signed Statement of Substantial Completion. In such cases, it is sufficient to submit a copy of such documents in lieu of a separate Statement of Substantial Completion. If there are specific submission requirements for the Statement of Substantial Completion that are not included in the proxy documents, such as are listed in the measure-specific documentation requirements elsewhere in this document, then additional documentation should be submitted with the proxy documents as attachments.

Approved Proxy Documents for Statement of Substantial Completion:

- AIA Documents G704.

The Participating Contractor should contact MultifamilyPrograms@nyserda.ny.gov if there is documentation used for a specific project that the Participating Contractor believes satisfies some or all the requirements for a Statement of Substantial Completion, but it is not currently listed as an eligible proxy.

9.3 Measure Documentation

An invoice and cut sheet must be provided for each product installed as part of the scope of work. At a minimum, the cut sheet must show the manufacturer, model number, any relevant energy rating information, and any relevant resilience information, if applicable. The specific model installed must be clearly marked on the cut sheet. When applicable, the Quality and Market Standards Inspection Checklist lists other measure-specific documentation requirements such as proof of system testing.

9.4 System Testing

When required by the Minimum Performance Standards specified in the Eligible Measure List or by the Quality and Market Standards Checklist, system testing can be performed by the Installation Contractor, the Participating Contractor, the participant, or another third party. The individual conducting the specific testing shall be appropriately qualified and trained in the test or have proven experience and expertise. If completion is documented by someone other than the Participating Contractor, the Participating Contractor shall submit a Statement of Substantial Completion signed by the individual who performed the system testing.

9.5 Inspection Workbook

The Inspection Workbook is used to aggregate final installation details of a project. Participating Contractors must complete and submit the workbook to reflect as-built conditions at Stage 4, including measure specific tabs. The measure specific tabs request information such as equipment make and model, nameplate efficiencies, quantities, and locations of installed equipment, insulation thickness and R-value. Participating Contractors should reference the Inspection Workbook prior to going onsite to avoid missing information. All sections of the Inspection Workbook should be filled out completely for each measure.

9.6 Photographs

Participating Contractors are required to submit photos template of installed equipment using the Photo Template at Stages 1, 3 (if applicable), and 4 (found on the [program website](#)).

Accurate photo documentation is essential for program quality control and allows the option for inspection desk reviews. The program requires Participating Contractors to inspect and submit separate documentation for each building. Photos must be detailed and clear enough to allow program staff to confidently confirm the measure is installed and operating as intended. Photos or onsite indications of incomplete work or improperly installed measures will require follow up photos demonstrating correct installation. The following are recommendations and requirements for photo documentation.

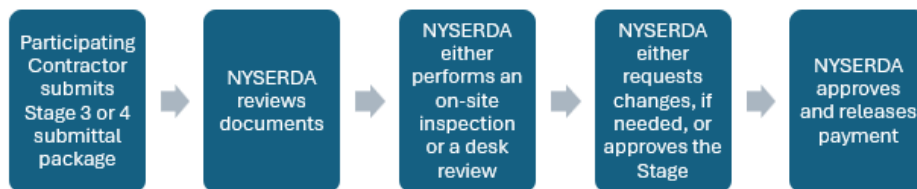
- All photos must be clear with readable labels or nameplates.
- Measurement photos must show the item being measured by the proper measurement tool (measuring tape, depth gauge, etc.).
- Appliance and equipment photos must include readable photos of the product label(s) and photo(s) showing the quantity installed.
- Insulation photos must clearly show insulation type, thickness, R-value, and proper installation including an overview photo showing insulation location (interior, exterior, etc.).

Participating Contractors can email MultifamilyPrograms@nyserda.ny.gov with any questions regarding photos.

10. Stages 3 and 4: Construction

During construction the project will complete the installation of measures as described in the approved EAST and they shall meet all requirements outlined in the program documents. Participants and Participating Contractors shall pay special attention to ensuring installation is completed as described in the EAST and documented as the project progresses. For example, ensure construction photos are taken of any measure components that will not be visible when the construction is complete.

Figure 5: Overall Inspection and Construction Completion Process Flow



10.1 Changes to the Scope of Work

Any changes in the approved work scope that affect the overall project savings, or the measures identified in the approved EAST, must be communicated to NYSERDA. Scope changes may occur at any time after the approval of the EAST. The revised scope of work must meet all rules and requirements for the program, including energy savings targets. If a change to the scope of work results in a project not meeting all the rules and requirements, the project will be terminated, and any unpaid incentives shall be forfeited. Participants cannot start or continue work on the revised measure(s) until they receive approval from NYSERDA. Doing so is at their own risk.

10.1.1 Scope Change Document Submission

The following documents are required for consideration of scope changes:

- Scope Change Cover Sheet – detailing what was changed in the scope of work
- Revised EAST
- Model output (if applicable)

The following filename convention must be followed:

Table 16. Scope Change Deliverables Filename Convention

Document	Filename Convention	Example
Scope Change Cover Sheet	Project Name – Scope Change #.pdf	NY Apts – Scope Change 1.pdf
EAST	Project Name – EAST_rev#.xls	NY Apts – EAST_rev3.xls
Model output (if applicable)	Project Name – Model	NY Apts – model_rev3

10.2 Stage 3 Partial Construction Complete

Stage 3 is an optional partial construction complete stage, meaning that a minimum of 30 percent (30%) of the energy savings are installed and functional (or capable of functioning) to the intent of the measures described in the EAST OR the equipment is on site that represents at least 50% of proposed energy savings. An improvement is considered installed when it adheres to the American Institute of Architects (AIA) definition of substantial completion, which is the “stage in the progress of the work when the work or designated portion thereof is sufficiently complete in accordance with contract documents so that the owner can occupy or utilize the work for its intended use.” For energy savings measures, the “intended use” is to generate the proposed level of energy savings. All measures must be implemented according to program requirements. There is no verification of savings (i.e., utility bill analysis) associated with partial construction completion.

This stage is optional and projects that choose to skip this stage will receive the full construction incentive at Stage 4. If the project is installing refrigerators, the refrigerator installations must be completed at Stage 3 and the payment will be made at this stage.

10.2.1 Stage 3 Deliverables

Stage 3 deliverables must be submitted to NYSERDA after the Participating Contractor has verified completion of energy improvements and any applicable Resilience Enhancements, in accordance with the intent of the EAST. Incomplete submissions will be returned to the Participating Contractor without review. Most files can be found on the [program website](#). Each file (deliverable) has crucial information about the project, as an example, the Inspection Workbook, is a tool that simplifies and centralizes the reporting and data collection required for existing building construction inspections. It includes relevant information from the Site Inspection guidance referenced above. The following deliverables are required for stage 3 approval:

- Inspection workbook
- Photo template of installed measures

- Final Invoices
- Additional measure documentation as required (Please refer to [program website](#))
- Resilience Enhancement Stage 3 deliverables, if applicable. Refer to the Resilience Enhancements Addendum for details.

The filename convention must be followed.

Table 17. Stage 3 Deliverables Filename Convention

Document	File Name Convention	Example
EAST	Project Name – EAST Partial rev#.xls	NY Apts – EAST Partial_rev2
Inspection Workbook	Project Name – Partial Inspection.xls	NY Apts – Partial Inspection_rev0.xls
Photo Template	Project Name – Photos _Stage 3.pdf	NY Apts – Photos Stage 3.pdf
Measure Documentation	Project Name – (per Section 9.3)	NY Apts – Wall insulation cut sheets.pdf
Final Invoices ^a	Project Name – Measure Name Invoice.pdf	NY Apts – Wall insulation Invoice.pdf
Resilience Enhancement Stage 3 deliverables, if applicable (refer to Resilience Enhancements Addendum)	Refer to Resilience Enhancements Addendum	Refer to Resilience Enhancements Addendum

^a. Final invoices should only be included if a measure is completely installed at this stage.

10.2.2 Stage 3 Approval

The following procedure explains each step of the midpoint construction complete approval process.

1. The Participating Contractor submits Stage 3 deliverables and all associated files to NYSERDA for review. Submittals are to be uploaded to Salesforce. If the Participating Contractor is unable to upload the materials, contact your Project Manager for guidance.
2. NYSERDA reviews the documents and, if complete, schedules a site inspection. On a case-by-case basis, if the Participating Contractor submits quality inspection documentation, NYSERDA will waive the field inspection and will instead conduct a desk review. The building owner can request a final field inspection if they choose.
3. The site inspection or desk review occurs.
4. NYSERDA reviews results of the inspection and determines if the project achieved the milestone.
5. If achieved, NYSERDA approves the stage 3 incentive and begins the payment process. If not achieved, the Participating Contractor will be required to address action items until milestone is approvable and can demonstrate that the minimum savings is installed and functioning.

10.3 Stage 4 Construction Complete

Stage 4 is 100 percent construction complete submittal, meaning that all the energy improvements and applicable Resilience Enhancements are installed and functional (or capable of functioning) to the intent of the measures described in the EAST. An improvement is considered installed when it adheres to the American Institute of Architects (AIA) definition of substantial completion. All measures must be installed per program requirements, including the Minimum Performance Standards specified in the AMP Up Eligible Measures List, and as outlined by the approved EAST. There is no verification of savings (i.e., utility bill analysis) associated with 100 percent completion.

10.3.1 Stage 4 Deliverables

Stage 4 deliverables must be submitted to NYSERDA within 30 calendar days of the Participating Contractor verification of the completion of energy improvements and applicable Resilience Enhancements, in accordance with the intent of the EAST. Incomplete submissions will be returned to the Participating Contractor without review.

The following deliverables are required for Stage 4 approval:

- Updated EAST with all final costs and final measure questions answered
- Inspection workbook
- Photo template of installed measures
- Final Invoices
- Common Area Data Release Authorization Forms (DRAFTs)
- Additional measure documentation as required by Section 9.3 Measure Documentation, or otherwise requested. The filename convention must be followed.
- Additional Resilience Enhancement Stage 4 deliverables, if applicable. Refer to the Resilience Enhancements Addendum for details.

Table 18. Stage 4 Deliverables Filename Convention

Document	File Name Convention	Example
EAST	Project Name – EAST_100% rev0.xls	NY Apts – EAST_100% rev0.xls
Inspection Workbook	Project Name – 100% Inspection.xls	NY Apts – 100% Inspection_rev0.xls
Photo Template	Project Name – Photos_100%.pdf	NY Apts – Photos_100%.pdf
Measure Documentation	Project Name – (per Section 9.3)	NY Apts – ASHP cut sheets.pdf NY Apts – Blower Door.pdf NY Apts – ASHP Invoice.pdf
Common Area Data Release Authorization Form (if not previously submitted)	Project Name – Owner DRAF.pdf	NY Apts – Owner DRAF.pdf
Final Invoices	Project Name – Measure Invoice.pdf	NY Apts – ASHP – Invoice.pdf
Resilience Enhancement Stage 4 deliverables, if applicable (refer to Resilience Enhancements Addendum)	Refer to Resilience Enhancements Addendum	Refer to Resilience Enhancements Addendum

10.3.2 Stage 4 Approval

The following procedure explains each step of the 100 percent construction complete approval process.

1. The Participating Contractor submits Stage 4 deliverables and all associated files to NYSERDA for review. Submittals are to be uploaded to Salesforce. If the Participating Contractor is unable to upload the materials, email your Project Manager for guidance.
 - a. NYSERDA reviews the documents and, if complete, schedules a site inspection. On a case-by-case basis, if the Participating Contractor submits quality inspection documentation, NYSERDA will waive the 100 percent field inspection and will instead conduct a desk review. The building owner can request a final field inspection if they choose.
 - b. The site inspection or desk review occurs.
 - c. NYSERDA reviews results of the inspection and determines if the project achieved the milestone.
 - d. If achieved, NYSERDA approves the Stage 4 incentive and begins the payment process. If not achieved, the Participating Contractor will be required to address action items until milestone is approvable.

11. General Requirements

11.1 Program Rules

The following rules apply to all projects accepted under AMP Up. This list focuses on programmatic requirements and is not intended to cover all the program's eligibility requirements as listed in the remainder of this document, the Participation Agreement, and/or any agreements established between the building owner and other contractors. Addenda may be developed to clarify or expand on program rules presented in this or other program documents. Addenda may be accessed at the Documents and Resources page or by contacting MultifamilyPrograms@nyserda.ny.gov.

Program Rules:

1. Program guidance and requirements that are referenced in PON 6088 must be followed.
2. Only **one** Energy Assessment and Scoping Tool (EAST) must be completed for each Project. The EAST can accommodate multiple buildings and multiple energy assessments.
3. The utility customer (both the Participant or Tenant, depending on the metering configuration of the building) must complete and sign the Data Release Authorization Form (DRAF) for submission to NYSERDA. The DRAF is required to allow NYSERDA 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 Participating Contractor must upload either a scanned signed copy of the form or a pdf with the customer's digital signature. The form 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 accompanying Data Release Authorization Form are not eligible to receive NYSERDA incentives. NYSERDA is also exploring the ability to collect information from the building owner and tenant directly and will update the [program website](#) if that option becomes available.
4. Participating Contractors complete and submit the EAST at Stage 1 and with any scope change request.
 - a. Any changes to the approved work scope, including removing and adding measures, must be submitted as a revision via a scope change request. The project must continue to meet all minimum requirements, and incentive levels may be subject to adjustments. Measure savings calculations must adhere to the technical standards of the Participating Contractor professional certification for energy analysis (e.g., AEE CEM, AEE CEA, or BPI MFBA).

- b. The EAST will calculate energy savings based on calculations from the [NYS Technical Resource Manual](#) for Appliances, Prescriptive, and Weatherization Measures.
 - i) Savings calculations are embedded into the EAST for all Appliance, Prescriptive and Weatherization measures. If the Project does not need to model per **Table 3**, page 13, all measures should be included on the Measure Calculations tab in the EAST.
- c. For the Electrification and Deep Retrofit Incentive Categories, an energy model is required. Participating Contractors identified as Energy Assessors in the NYSERDA Multifamily Contractor Network and Concierge Providers are approved to complete the required modeling.
 - i) The Clarity Compass tool may be used as an alternative to energy modeling for Low-Rise Pathway buildings and should include any Appliances, Weatherization, Electrification, and Deep Retrofit measures. If using Clarity Compass, only Prescriptive measures should be included on the Measure Calculations tab in the EAST.
 - ii) For projects using a modeling method outside of Clarity Compass, all measures shall be included in the model. If a measure is included in the model, it should not appear on the Measures Calculations tab in the EAST. Approved modeling software is found in the Multifamily Simulation Guidelines available on the [program website](#). Other software may be used with prior approval.
- 5. The energy assessment must be conducted or supervised by a Participating Contractor and must be conducted in accordance with the certification standards that the auditor holds. The auditor may be directly employed by, or a subcontractor to, the Participating Contractor responsible for the project. At any time, NYSERDA or its agents may request proof of the auditor's certification.
- 6. Projects installing Electrification and Deep Retrofit measures must have a utility bill analysis completed by the Program to ensure bill savings. The Program will support this analysis with an Energy Use Snapshot tool. The Participating Contractor shall use the data provided in the Energy Use Snapshot and incorporate that into the EAST for submission.
- 7. All recommended and installed improvements must comply with the Minimum Performance Standards specified in the AMP Up Eligible Measures List found on the [program website](#).
- 8. The final scope of work for any project may not increase resident energy cost as based on the findings of the Energy Assessment and Scoping Tool (EAST).
 - a. Please refer to Section 3.8 Building Electrification Eligibility for more requirements regarding cost shifting for building electrification projects

9. Previously installed measures are defined as energy efficiency measures installed and functional prior to application submission. These measures may not be included in the scope of work and the costs must be excluded.
10. Incentive Adjustments:
 - a. If the final project costs, as documented by invoices, show a reduction in overall project costs as detailed in the approved EAST, NYSERDA incentives may be reduced accordingly to hold to the project incentive cap.
 - b. If the final project costs, as documented by invoices, show an increase in overall project costs as detailed in the approved EAST, the NYSERDA incentives will not be changed.
11. Milestones Deadlines:
 - a. Stage 1 deliverables must be received within 120 calendar days of NYSERDA's application approval. Projects that do not meet this deadline may be terminated from the program and unpaid incentives forfeited.
 - b. Stage 2 deliverables must be submitted within 5 business days of the start of Construction.
 - c. Stage 3 is an optional milestone for projects seeking a mid-construction incentive payment. Projects qualify when at least 30% of the proposed energy savings are installed OR the equipment is on site that represents at least 50% of proposed energy savings.
 - d. Stage 4 deliverables must be submitted within two years of NYSERDA's application approval date. Projects that do not meet this deadline may be terminated from the program and unpaid incentives forfeited.
 - e. Deadlines can only be extended by a physical letter or emailed request from the Participating Contractor to the project's NYSERDA Project Manager that is approved in writing by NYSERDA.
12. Resilience Enhancements:
 - a. A project may only incorporate a Resilience Enhancement into the scope of work if the associated pre-requisite base measure, as specified in the Eligible Measures List, is included in the scope of work.
 - b. Projects are only eligible for a Resilience Enhancement if they meet that enhancement's eligibility requirement(s) for hazard exposure and/or vulnerability, as specified in the Eligible Measures List.
 - c. The design of floodproofing Resilience Enhancements must be conducted by a qualified contractor. Refer to the Resilience Enhancements Addendum for further details regarding the qualification process for Participating Contractors. If the

Participating Contractor is not sufficiently qualified, NYSERDA reserves the right to assign to the project a qualified contractor to conduct the design of any Floodproofing Resilience Enhancements.

- d. Incentives for Resilience Enhancements will not apply towards the total project incentive cap.
- e. Resilience Enhancement deliverables are subject to the deadlines outlined in the Resilience Enhancements Addendum found on the [program website](#).
- f. Resilience Enhancements end-use incentives and Floodproofing Design Assistance will follow the payment schedule specified in the Resilience Enhancements Addendum found on the [program website](#).

11.2 Deadlines

NYSERDA expects projects to meet all the guidelines and deadlines for deliverables. The Participating Contractor is responsible for ensuring their projects move through all project stages in a timely manner to meet all milestone deadlines summarized in Section 11.1. The two-year project deadline is from the date the application is approved as detailed in Program Rules, Section 11.1, which is indicated by the application approval email with the Incentive Offer Letter.

Work scope revisions should be submitted to NYSERDA within 30 calendar days of receiving NYSERDA comments. Scope revisions are expected to be limited to one revision per project.

Deadline extensions may be considered on a case by case basis if there is a justified reason as determined by NYSERDA. To request an extension, the Participating Contractor must submit a request in writing explaining why the project is not able to meet the assigned deadline and email it to the project's NYSERDA Project Manager. To be considered accepted, a return notification must be approved in writing by NYSERDA.

Appendix A: Consolidated List of Deliverables

Deliverables associated exclusively with applicable Resilience Enhancements will be detailed in the Resilience Enhancements Addendum.

Table 19. Consolidated List of Deliverables

Required Documents For Application	Filename Convention	Example
Participation Agreement	Project Name – PA.pdf	NY Apts – PA.pdf
W-9	Project Name – W-9.pdf	NY Apts – W-9.pdf
Income Verification Documentation	Project Name – Document Name (as appropriate)	NY Apts – NYSDHCR Contract.pdf
Technical Assistance Plan (TAP)	Project Name - TAP.pdf	NY Apts - TAP.pdf
TAP Budget Template	Project Name - TAP Budget.xls	NY Apts - TAP Budget.xls
Common Area Data Release Authorization Forms (DRAF)	Project Name – Owner DRAF.pdf	NY Apts – Owner DRAF.pdf
In-Unit Data Release Authorization Forms (DRAF)	Project Name – Resident Last Name and Apt# DRAF.pdf	NY Apts – Smith 101 DRAF.pdf
Bulk Fuel or District Steam Usage	Project Name - Document Name (as appropriate)	NY Apts - Oils-R-Us delivery.pdf
Description of major equipment (for projects modeled outside of Clarity Compass)	Project Name – Equipment Summary.pdf	NY Apts – Equipment Summary.pdf

Required Documents for Stage 1	Filename Convention	Example
Energy Assessment and Scope Tool	Project Name – EAST_rev0.xls	NY Apts – EAST_rev0.xls
Model Output, if applicable	Project Name – Model	NY Apts – Model_rev0
Participating Contractor-Participant Contract	Project Name – Participating Contractor Contract.pdf	NY Apts – Participating Contractor Contract.pdf
Photo Template	Project Name – Photos.pdf	NY Apts – Photos.pdf
Common Area Data Release Authorization Forms (DRAF) (if not previously provided)	Project Name – Owner DRAF	NY Apts – Owner DRAF.pdf
Resident Data Release Authorization Forms (DRAF) (if not previously provided)	Project Name – Resident Last Name and Apt# DRAF	NY Apts – Smith 101 DRAF.pdf
Bulk Fuel or District Steam Usage	Project Name - Document Name (as appropriate) fuel type.pdf	NY Apts - Oils-R-Us delivery.pdf
Certificate of Insurance	Project Name - COI.pdf	NY Apts - COI.pdf
Resilience Enhancement Stage 1	Refer to Resilience Enhancement Addendum	Refer to Resilience Enhancement Addendum

Required Documents for Scope Change	Filename Convention	Example
Scope Change Cover Sheet	Project Name – Scope Change #.pdf	NY Apts – Scope Change 1.pdf
EAST	Project Name – EAST_rev#.xls	NY Apts – EAST_rev3.xls
Model output (if applicable)	Project Name – Model	NY Apts – Model_rev3

Required Documents for Stage 2	Filename Convention	Example
Installer Contracts	Project Name – Installer Contract.pdf	NY Apts – XYA Plumbers Contract.pdf
Construction Schedule	Project Name – Construction Schedule_rev#.pdf	NY Apts – Construction Schedule_rev2.pdf
Funding Documentation	Project Name –Funding Documentation.pdf	NY Apts – Lender Letter.pdf
Funding Documentation, continued	Project Name –Funding Documentation.pdf	NY Apts – Proforma.pdf

Required Documents for Stage 3	Filename Convention	Example
EAST	Project Name – EAST Partial_rev#.xls	NY Apts – EAST Partial_rev2.xls
Inspection Workbook	Project Name – Partial Inspection.xls	NY Apts – Partial Inspection_rev0.xls
Photo Documentation	Project Name – Photos _Stage 3.pdf	NY Apts – Photos_Stage 3.pdf
Measure Documentation	Project Name – (per section 9.3)	NY Apts – Wall Insulation cut sheets.pdf
Final Invoices	Project Name – (Measure Name) Invoice.pdf	NY Apts – Wall Insulation Invoice.pdf
Resilience Enhancement Stage 3	Refer to Resilience Enhancement Addendum	Refer to Resilience Enhancement Addendum

Required Documents for Stage 4	Filename Convention	Example
EAST	Project Name – 100% EAST rev#.xls	NY Apts – 100% EAST_rev0.xls
Inspection Workbook	Project Name – 100% Inspection.xls	NY Apts – 100% Inspection_rev0.xls
Photo Documentation	Project Name – Photos _100%.pdf	NY Apts – Photos_100%.pdf
Common Area Data Release Authorization Forms (DRAF)	Project Name – Owner DRAF	NY Apts – Owner DRAF.pdf
Measure Documentation	Project Name – (per section 9.3)	NY Apts – ASHP cut sheets.pdf
Measure Documentation	Project Name – (per section 9.3)	NY Apts – Blower Door.pdf
Measure Documentation	Project Name – (per section 9.3)	NY Apts – ASHP Invoice.pdf
Resilience Enhancement Stage 4	Refer to Resilience Enhancement Addendum	Refer to Resilience Enhancement Addendum

Appendix B: Data Submittal Requirements

Data submittal requirements for solar photovoltaics and combined heat and power (CHP) systems.

When a building installs a new solar PV or CHP system while participating in AMP Up, monitoring equipment shall be specified and installed as described in [NYSERDA's Monitoring and Data Collection Standard for Distributed Energy Resource \(DER\) Systems](#) (January 2020). On-site energy generation is not eligible for incentives through this program. This information is required for proper energy use accounting.

B.1 On-Site Solar PV

Projects with on-site, behind-the-meter solar photovoltaic system during the baseline and/or performance period, are required to submit the following additional site data.

B.1.1 Solar PV system monitoring

The following daily values from the solar PV monitoring system shall be made available to NYSERDA:

- Total electricity produced per day by the installed solar PV system, in kWh.
- The date of production for each daily kWh value.

If a PV solar system has a functioning internet connection that uploads daily solar production values in kWh to an internet-based monitoring system, the Participant and Participating Contractor shall assure that NYSERDA is provided with log-in access to obtain system production values during the monitored baseline and/or performance period.

B.1.2 Utility data associated with solar PV systems

A signed Data Release Authorization Form (DRAF) for the electric utility meter is required so NYSERDA can obtain electricity consumption data recorded by the utility meter (in kWh), as well as the data for excess on-site solar electricity generation that is exported to the utility grid (in kWh).

If NYSERDA is unable to independently obtain kWh values for both consumption and export of electricity, the Participant and Participating Contractor shall ensure NYSERDA is provided with

copies of the monthly billing invoices from any utility meter that is connected to on-site, behind-the-meter generation solar, for all months during the monitoring period.

The kWh value for consumption and export can be reported as two separate values, or as a single net sum of both values (in kWh). All kWh data must be clearly labeled as being either consumption-only, export-only, or the net sum of consumption and export.

The following values from the utility company shall be made available to NYSERDA, for each billing cycle during the monitoring period:

- Account number
- Service address
- Billing period start date
- Billing period end date (i.e., the meter reading date) or
- Net sum value, in kWh, of the total consumption and export of electricity during the billing period, or total consumption, in kWh, during the billing period
- Total exported generation, in kWh, during the billing period

B.1.3 Combined Heat and Power (CHP) Systems

Projects with a CHP system during the baseline period are required to submit the following additional daily values from the installed CHP monitoring system:

1. Total electricity produced per day by the installed CHP system, in kWh.
2. Total useful heat recovery from the CHP system, per day, that was measured as being delivered to heating or DHW systems serving the multifamily facility; reported in kBtu.
3. Total unused heat recovery from the CHP system, per day; reported in kBtu. This is recovered heat that was measured as being unused by the multifamily facility and rejected to the atmosphere through dump radiators.
4. Total input fuel used by the CHP system, per day; measured in either cubic feet, CCF, Therms or kBtu (Site Energy values). Specify the unit of measure used.
5. The date of measurement for each of the values listed.

Quantification of parasitic loads is optional but highly recommended. If parasitic loads are not measured, then these parasitic loads will necessarily be included in the overall measurement of whole-building energy consumption during the performance period and will, therefore, reduce the measured percent site energy savings achieved.

Please refer to NYSERDA's *Monitoring and Data Collection Standard for Distributed Energy Resource (DER) Systems* (January 2020) for best practices on measuring the CHP system data required by AMP UP, including parasitic loads.

Appendix C: Incentive Schedule, ADA Accessible

Table 20. Incentive Schedule, ADA accessible

Incentive Category	Incentive	Stage 1 (Scope Development)	Stage 2 (Construction Start)	Stage 3, optional (Partial Construction)	Stage 4 (Construction Complete)
Technical Assistance	Up to 100% of approved Scope of Work	75% of approved Scope of Work	25% of approved Scope of Work	n/a	n/a
Appliances	\$400 per unit	n/a	n/a	100%	n/a
Prescriptive	Up to \$1,750 per unit	Low-Rise Pathway or Large Building: 25% of Incentive	Low-Rise Pathway: 25% of Incentive Or Large Building: n/a	Low-Rise Pathway: 25% of Incentive Or Large Building: 40% of Incentive	Low-Rise Pathway: 25% of Incentive Or Large Building: 35% of Incentive
Weatherization	Up to \$2,500 per unit	Low-Rise Pathway or Large Building: 25% of Incentive	Low-Rise Pathway: 25% of Incentive Or Large Building: n/a	Low-Rise Pathway: 25% of Incentive Or Large Building: 40% of Incentive	Low-Rise Pathway: 25% of Incentive Or Large Building: 35% of Incentive
Electrification	Up to \$5,750 per unit	Low-Rise Pathway or Large Building: 25% of Incentive	Low-Rise Pathway: 25% of Incentive Or Large Building: n/a	Low-Rise Pathway: 25% of Incentive Or Large Building: 40% of Incentive	Low-Rise Pathway: 25% of Incentive Or Large Building: 35% of Incentive
Deep Retrofit	Up to \$6,750 per Unit	Low-Rise Pathway or Large Building: 25% of Incentive	Low-Rise Pathway: 25% of Incentive Or Large Building: n/a	Low-Rise Pathway: 25% of Incentive Or Large Building: 40% of Incentive	Low-Rise Pathway: 25% of Incentive Or Large Building: 35% of Incentive
Resilience Enhancement	Refer to Resilience Enhancement Addendum	Refer to Resilience Enhancement Addendum	Refer to Resilience Enhancement Addendum	Refer to Resilience Enhancement Addendum	Refer to Resilience Enhancement Addendum



NYSERDA
New York State Energy Research
and Development Authority

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

17 Columbia Circle
Albany, NY 12203-6399

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

info@nyserda.ny.gov
nyserda.ny.gov