



Solar Thermal Program Manual

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1.0 PROGRAM SUMMARY

1.1 What Is The Solar Thermal (ST) Program?

The New York State Energy Research and Development Authority (NYSERDA) provide financial incentives for the installation of new Solar Thermal (ST) systems that displace electrically heated domestic hot water (DHW). Incentive funding for ST systems that displace electrically heated DHW has been allocated by the New York State Public Service Commission through the Renewable Portfolio Standard (RPS), and is available only for electricity displacing ST systems within the service territories of the State's investor-owned utilities. Incentives funded through the RPS will be granted on a first-come, first-served basis, and applications will be accepted through December 31, 2015, or until funds are fully committed, whichever comes first

1.2 How Does the Solar Thermal Program Work?

Financial incentives are available for qualified customers who install a Solar Thermal system using a Participating Contractor. A list of Participating Contractors can be found at:

<http://www.nyserdera.ny.gov/Contractors/Find-a-Contractor/Solar-Thermal-Installers>.

Participating Contractors are those who have demonstrated to NYSERDA that they fulfill the minimum requirements for participation in the Solar Thermal Program. By submitting a project application, the Participating Contractor agrees to abide by the terms and conditions of the Solar Thermal Program, including the Participation Agreement. Participating Contractors are required to use an Eligible Installer in order for systems to qualify for Program incentives. The Eligible Installer also agrees to follow the terms and conditions of the Solar Thermal Program, including the Participation Agreement. The customer purchase agreement (contract) for installation of an ST system is between the customer and the Participating Contractor.

The Program incentive is paid directly to the Participating Contractor, who must apply the full value of the incentive to the cost of the ST System. For purchased (direct sale) systems, the incentive must be applied to the gross (pre-incentive) contract as a direct reduction to the customer's out-of-pocket cost. For Lease or Power Purchase Agreement systems, the incentive must be used to reduce the customer's lease or PPA payments. Eligible Installers and their Contractor are responsible for preparing all necessary project application documents and submitting them to NYSERDA.

Customers purchasing a Solar Thermal may be eligible to finance the purchase through NYSERDA's Green Jobs/Green New York (GJGNY) Program using either a Smart Energy Loan or On-Bill Recovery. Further information on GJGNY financing can be found at the links provided below.

Residential Customers: www.energyfinancesolutions.com.

Commercial Customers: www.nyserdera.ny.gov/small-commercial-financing and [PON 2293](#).

1.3 INSTALLER QUALIFICATIONS

Interested qualified Installers may apply to participate in the Program at any time while the program is open. To qualify to participate as an Eligible Installer, an individual must

have fulfilled one of the credentialing paths detailed below and fulfill all other participation requirements.

- a. *NABCEP Certification (North American Board of Certified Energy Practitioners):*
Installers who choose to become credentialed through NABCEP and hold the Solar Heating Installer Certification.
- b. *Journeyman:*
Installers who choose to become credentialed through the “Journeyman path” must fulfill the following requirements to be eligible to participate in the Program:
 1. Be a Journeyman, and
 2. Completed an approved NYS DOL Apprenticeship Program through the United Association of Plumbers, Fitters, Welders, and HVAC Service Techs Apprentice Program including UA approved solar thermal training.
- c. *Solar Thermal Manufacturer’s Certification:*
Installers who choose to become credentialed through a Solar Thermal Manufacturer’s must have fulfilled the following requirements to be eligible to participate in the Program:
 - A. Completed 18 hours of manufacturer’s specific training, and
 - B. Demonstrate equivalent experience.

Additional participation qualifications are based on the following:

Experience – Installer/Contractor will be evaluated on past performance in this or other NYSERDA programs, if applicable; installation experience; experience in performing shading analysis; other relevant credentials; employment history; customer satisfaction; and other relevant experience.

Customer References – Provide three (3) verifiable solar customer references (Customer name, address, phone, and email) for completed, grid-connected PV installations, along with the installed system size (kW), interconnection date and the Applicant’s role in the project.

Performance in other NYSERDA Programs – An Installer Application will not be processed if the applicant is listed as the Installer or Contractor on a delinquent system, or where customer unresolved or performance issues exist with respect to this or other New York State programs.

1.4 Contractor Qualifications

Interested qualified companies may apply to participate in the Program at any time while the program is open.

To become a Participating Contractor and maintain that status, contractors must employ, or hire subcontractors that employ eligible installers as detailed in Section 1.3. The Eligible Installer and the Contractor will be jointly responsible for the compliance of each system.

A Participating Contractor may use any business structure that is legal for conducting this type of business in the State of New York (corporation, LLC, sole proprietorship, etc.). To become a Participating Contractor, the Contractor must meet all Program requirements including required insurance coverage, and have the capability to provide warranty services on all ST systems installed, as required by the Program and NY State law.

A Participating Contractor must comply with all local authority requirements for registration and licensing that apply to the installation of ST systems.

Once a contractor has been approved to participate in the Solar Thermal Program, the systems they install will be eligible to receive financial incentives through the Program. An ST system installed by a Contractor who is not a participant in the Program is not eligible for Program incentives.

1.5 Participation Status and Status Review Process

Participating Installers and Contractors shall be classified in one of the following designations: Provisional, Full, Probationary, Suspended or Terminated. Each designation shall be subject to limitations, or requirements associated with that designation. NYSERDA reserves the right to modify the definition, limitations, and requirements of these designations. An Installer's or Contractor's progression into and/or through any designation will be determined at NYSERDA's sole discretion.

Provisional Status: All new Installers and Contractors will initially be classified as Provisional.

Applications submitted by Installers and Contractors in provisional status will receive enhanced review of both the Project Application and the Design Review; completed installations will be subject to enhanced Quality Assurance (QA) oversight.

Provisional Installer:

- A. Provisional Installers will be listed on NYSERDA's website and may be denoted as such. The listing must identify the Contractor that employs or subcontracts the Installer.
- B. Provisional Installers are limited to three (3) Project Applications at a given time. Additional Project Application(s) may be submitted after previous application(s) have passed NYSERDA design review, such that no more than three Project Applications are in design review at any given time.
- C. Provisional Installers must be onsite during the first three scheduled QA field inspections.
- D. Following the completion of the third project and the related QA field inspection, NYSERDA will conduct a formal review to evaluate a change in status. Evaluation for a change in status to Full Installer will be based upon the quality and consistency of all work submitted to the program and full compliance with ST Program rules including meeting credentialing requirements as described above.

After one calendar year as a Provisional Installer, a review of all work submitted to the ST Program will be conducted. The installer will be reviewed for a change in status, continuation as a Provisional Installer or termination from the Program.

Provisional Contractor:

- A. **Provisional** Contractors will be listed on NYSERDA's website.

- B. **Provisional** Contractors are limited to three (3) pending Project Applications at a given time as long as all Installer requirements are followed for each submitted application. Additional Project Application(s) shall not be submitted to and will not be accepted by NYSERDA.
- C. Provisional Contractor's staff must be onsite during the first three scheduled QA field inspections.
- D. Following the completion of the third project and the related QA field inspection, NYSERDA will conduct a formal review to evaluate a change in status. Evaluation of a change in status to Full Contractor will be based upon the quality and consistency of all work submitted to the program and full compliance with ST Program rules.
- E. To be considered for a change in status to **Full** Contractor, a Provisional Contractor is required to maintain on staff or through a subcontract at least one Full status Installer.

After one calendar year as a Provisional Contractor a review of all work submitted to the ST Program will be conducted. The contractor will be reviewed for a change in status, continuation as a Provisional Contractor or termination from the Program.

Full Status: Installers and Contractors who have successfully completed the terms of the provisional period and current Installers and Contractors who have demonstrated through past performance that they provide quality services through the Program will be placed in Full Status.

Full Installer:

- A. Full Installers will be listed on NYSERDA's website and may be denoted as such. Listing must designate the Contractor that employs or subcontracts the Installer.
- B. Full Installers must consistently deliver projects which fully pass QA field inspections.
- C. Full Installers must meet Program standards in terms of timely responses to NYSERDA communications and QA field inspection corrective action requests.
- D. Full Installers must take effective corrective actions to deficiencies in performance as identified by NYSERDA.
- E. Full Installers are required to maintain one of the credentialing standards referenced in the ST Program Manual: Failure to satisfy this ST Program requirement and present appropriate documentation will result in an automatic change to **Probationary** status.

Full Contractor:

- A. Full Contractors will be listed on NYSERDA's website and may be denoted as such. Listing may designate Installer(s) employed or sub-contracted with the contractor.
- B. Full Contractors must consistently deliver projects which fully pass QA field inspections.
- C. Full Contractors must meet Program standards in terms of timely responses to NYSERDA communications and QA field inspection corrective action requests.
- D. Full Contractors must take effective corrective actions to performance deficiencies as identified by NYSERDA.
- E. Full Contractors are required to maintain on staff or through a subcontract at least one "Eligible Installer" that meets one of the credentialing standards referenced in the ST Program Manual. Failure to satisfy this ST Program requirement and present appropriate documentation will result in an automatic change to **Probationary** status.

Probationary Status: Probationary Status is reserved for Installers and Contractors that have failed to meet the requirements of the ST Program. Probation is prescriptive in nature with both a specific list of results to be achieved and a time frame for achieving those results.

Installers and Contractors may be placed in probationary status for any of the following reasons:

- A. Violation of program rules or ethical standards; or
- B. Failure to consistently deliver completed projects which pass the QA Field Inspection standard; or
- C. Failure to take effective corrective actions on a critical or major deficiency or a repeated incidental of minor deficiency in work quality or performance; or
- D. Three (3) or more Corrective Action Notices that have not been responded to or remain unresolved for more than 30 days; or
- E. A lapse in required credentials.

The probationary period will not be less than 30 days. Projects completed by Installers and Contractors on Probationary status will receive enhanced QA oversight. During the probationary period, the Installer or Contractor:

- A. Will remain on the NYSERDA website
- B. May continue to submit new Project Applications, subject to restrictions based upon the reason for the Probationary status.
- C. Will be subject to higher QA inspection levels as outlined in the ST Program Manual.
- D. Must remediate all issues related to probation, as directed by NYSERDA.
- E. Must submit to the Program, in writing, an agreed-upon action plan designed to ensure future violations are avoided.
- F. Must demonstrate successful results through a specified number of completed projects.

Upon satisfactory completion of the action plan and all remediation, and upon review of probationary period QA results, NYSERDA will determine whether to return the Partner to Full Status, continue the Probationary period or to suspend and/or terminate the Partner.

Suspended Status: Installers and Contractors that have failed to respond to prescriptive probation or have committed more serious violations of the ST Program rules will be placed in Suspended Status.

Installers and Contractors may be suspended from the Program if the Installer or Contractor:

- A. Fails to adequately fulfill the terms of the probationary period; or
- B. Is placed on probation for a second time within twelve (12) months; or
- C. Is under investigation for, or has been determined to have engaged in practices that have put the public or Program at risk; or
- D. Has one or more projects not completed within 210 days from the date of project approval, and where no Project Extension has been granted; or
- E. Has outstanding and unresolved request(s) for return of incentive to NYSERDA due to failure to meet Program requirements; or

- F. Has submitted any application documentation where there is falsification of any required items, including, but not limited to, permits and approvals, and customer signatures.
- G. Has a lapse in required credentials while on Probationary status; or
- H. Fails to consistently deliver completed projects which pass the QA Field Inspection standard.

During a suspension the Installer and/or Contractor:

- A. Will be removed from the NYSERDA website.
- B. Will not be allowed to submit new Project Applications to the ST Program.
- C. Must complete any work that was in progress at the time of suspension.
- D. Is prohibited from representing him/herself as a participating Installer or Contractor except in the execution of remedial action.
- E. May, depending on the reasons for suspension, be directed by NYSERDA to remediate issues related to the suspension, and may be required to submit to the Program, in writing, an agreed-upon action plan that is designed to ensure future violations are avoided.

Suspended Installers and Contractors will either progress to probationary status upon satisfactory completion of the specified remedial activities or resolution of issues related to the suspension or they will be terminated from program participation. Nothing in this Program status relieves the Contractor of the responsibility to fulfill any outstanding obligations to the Program, or Program customers as directed by NYSERDA.

Terminated Status: Terminated status is reserved for Installers and Contractors that have failed to respond to prescriptive and disciplinary measures or have committed serious violations of the program rules.

Installers and Contractors may be terminated from the Program if the Installer or Contractor:

- A. Has been on suspended status for more than 30 days and has been unresponsive to or failed to adequately fulfill the terms of their suspension; or
- B. Has had their credentials lapse while suspended; or
- C. Submits falsified documents or unauthorized signatures to the Program; or
- D. Commits illegal actions while participating in the ST Program; or
- E. Is convicted or has a principal who is convicted of a criminal charge that casts the Program in negative light or calls the integrity or workmanship of the Contractor into question; or
- F. Is in gross violation of program standards; or
- G. Repeatedly bills for uninstalled measures; or
- H. Fails to meet the terms of the Provisional period.

Installers and Contractors with this designation are prohibited from participation in the ST Program. Customers with incomplete projects will be notified of the Installers and/or Contractors termination and may be offered such remedies as NYSERDA deems appropriate. If appropriate, NYSERDA may notify the New York State Attorney General, the New York State Department of Labor, the Better Business Bureau, or others of NYSERDA's findings and decision to terminate the Installer and/or Contractor. Further, the officers and owners of the terminated Installer and/or Contractor are prohibited from being or becoming officers or owners of any other Program Partner. Nothing in this

process relieves the Partner of the responsibility to fulfill any remaining obligation to the Program, or their customers.

Status Review Process: The Status Review Process for administering Probationary, Suspended, or Terminated status is as follows:

- A. NYSERDA will provide written notice of at least ten (10) business days of its intention to take action. This notice will outline the specific for disciplinary action along with supporting documentation for the proposed action.
- B. During this period, the Installer or Contractor will be provided with an opportunity to respond to the notice.
- C. If the Installer and/or Contractor fails to respond to NYSERDA prior to the end of the notice period, the stated disciplinary action will go into effect without further notice.
- D. NYSERDA will promptly review any request for an appeal of the decision received before the end of the notice period.
- E. NYSERDA will confirm, reverse or place its action on hold based upon a review of all information received within ten (10) business days of receipt.
- F. Intended and final action letters will be sent via email and US mail. The ten day notice period commences on the date of the e-mail from NYSERDA.
- G. NYSERDA reserves the right to shorten these time periods, or to take immediate action, in the event of an emergency, as determined by NYSERDA.

2.0 GENERAL PROGRAM RULES

2.1 Program Incentives. Incentives are available on a first-come, first-served basis. Incentives are applied to the total project cost based on displaced kWh. Combination systems (systems that provide domestic hot water (DHW) and space heating) are allowed in the Program; however, incentives are only provided on the portion of the solar thermal system output that offsets DHW production.

The current Incentive rates and per project incentive caps are provided below.

Incentive Rate details - effective for project applications 'Submitted via Internet' on or after July 17, 2015.			
Sector	Fuel Types	Per displaced kWh incentive rate	Maximum per Project Incentive Cap
Residential	All	\$ 1.25	\$ 6,000.00
Commercial	All	\$ 0.55	\$ 150,000.00
Agricultural, Non-for-Profit, Government	All	\$ 0.65	\$ 150,000.00

The incentive caps are applied per utility meter. If multiple meters are present, multiple systems may be eligible for incentives; the incentive cap will apply to each meter. For example, in a shopping mall consisting of four separately metered businesses, each business (site) would be eligible for Program

incentives, provided all Program requirements could be met.

Any contractor/installer who moves forward with the installation of a project that has not been funded i.e., has not obtained a status of “approved” in the program database), does so at their own financial risk as there is no guarantee of incentives until the project approved.” Also, projects *completed* prior to being *submitted* to NYSERDA (prior to obtaining a status of “submitted via Internet”) are **not** eligible to receive Program incentives.

Incentives are reserved for ST systems designed and installed by Eligible Installers/Participating Contractors. Incentives are available only for new equipment. **Incentives will be provided directly to the Participating Contractor of record for the project, not to the customer.** The Participating Contractor must apply the full value of the NYSERDA incentives to the original cost of the PV System. Contractors are prohibited from engaging in the practice of collecting the NYSERDA incentive portion of the contract from customers and crediting those funds to the customer upon completion of the project, either directly or as a reduction in the final payment.

Once a project has achieved “Approved” status, the Participating Contractor and Eligible Installer will receive an approval notification through PowerClerk, which will include the project incentive amount. Eligible Installer/Contractor is responsible for sending a copy of the approval notification to the customer. The incentive amount in the approval notification will not change assuming the ST system is installed, as approved, and within the Terms and Conditions of the Program. In instances where a Project Application has missing or inaccurate documents, NYSERDA will not receive/accept the application and will contact the Eligible Installer or Contractor requesting the missing information be provided and/or inaccurate information be corrected. If the information is not provided or corrected after three requests by NYSERDA, the Project Application will be denied. The project can be re-submitted at a later date.

Customers whose systems qualify for the incentive through this PON are prohibited from receiving incentives through another funding source or NYSERDA program for the same system.

NYSERDA reserves the right to limit the number of incentives per customer, site, or meter.

The incentive is based on displaced energy usage based upon Solar Rating and Certification Corporation (SRCC) OG-300 estimates of system production. For systems that do not have a SRCC OG-300 rating, an estimate based on calculations from RET screen, Solar Pathfinder Thermal, Polysun or other approved method may be provided. NYSERDA will review the energy production data to determine the accuracy of the estimated production. In addition to system output, the Installer/Contractor must identify and quantify the DHW thermal load to be offset. Estimates of system production and or thermal load that are determined to be highly inaccurate may result in the manufacturer or installer being disqualified from participation in the Program.

NYSERDA reserves the right to make changes in the incentive rate and per project incentive cap. These changes will be posted on the NYSERDA website and can be found at the following web page:

<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities/PON-2149-Solar-Thermal-Incentive-Program.aspx>

Participating Contractors and Eligible Installers/Contractors will also be informed of any changes via email. Any project application submitted to the Program after an incentive change will be processed at the new incentive level. Installers/Contractors and customers are prohibited from cancelling submitted applications and re-applying if the new incentive structure would result in a higher project incentive.

2.2 Incentive Calculations

Incentives are calculated based upon modeled displaced electrical usage. As a typical Solar Thermal systems displaces between 50-80% of the DHW load, the Program does not incentivize systems that are designed to offset more than 80% of the DHW load

Example:

A RET Screen analysis indicates that a residence uses 3,309kWh of electric annually to heat domestic hot water. Therefore, to be eligible for incentives through the Program, the ST system design cannot offset the DHW usage more than 2,674kWh (3,309kWh × 0.8).

2.3 Total Capacity Limit

NYSERDA reserves the right to establish and enforce a per month capacity limit on Installers and Contractors. Applications received after this limit is reached will not be accepted.

2.4 Cancellation Requests

A request to cancel a project must be submitted to NYSERDA using the NYSERDA Change Request Form. The form must be sent to STForms@nyserda.ny.gov and use the subject line naming convention provided below.

Cancellation Request, ST (4 digit installer # + Application #) - Name of Customer

Should a project wish to move forward after cancellation, the Installer/ Contractor must submit a new project application. In this case, the incentive level and all rules in effect at the time the new project application is received will apply.

2.5 90-Day Project Extensions

A project extension may be granted, upon written request, on a case-by-case basis if there are **legitimate and verifiable reasons**. Project extensions may be granted in 90-day increments. To request an extension, Installer/Contractor must submit and have approved by NYSERDA a Change Request Form. The form must be sent to STForms@nyserda.ny.gov and use the subject line naming convention provided below.

90 Day Project Extension, ST (4 digit installer # + Application #) - Name of Customer

2.6 Change Orders

Any system modifications or equipment changes **must be approved** by NYSERDA in writing with a change request form before a system is installed. Failure to get NYSERDA approval may result in revocation of the incentive reservation or nonpayment of the incentive.

Submittal of a Change Request Form is required for all system modifications. The form must be sent to STForms@nyserda.ny.gov and use the subject line naming convention provided below.

Change Order Form, ST (4 digit installer # + Application #) - Name of Customer

For projects accessing Green Jobs Green New York (GJGNY) financing, a new Pro Forma tool must be submitted along with Change Order Form, and the subject line must also include the following information in the format provided below.

Proforma Tool, ST (4 digit installer # + Application #) - Name of Customer

Change order requests must state the reason for the change, the original equipment quantity and catalog numbers, the proposed equipment quantity and catalog numbers, changes in cost, changes in incentive (if applicable) amount and any changes in the collector configuration. All proposed change requests must include the owner's signed acknowledgement of the proposed changes.

For change orders that result in an increase in the incentive amount, the Participating Contractor and Eligible Installer will receive e-mail that provides the revised incentive amount. All other change orders (reduced incentive, change of equipment) will be approved in PowerClerk. Please check PowerClerk before contacting NYSERDA regarding change order approvals.

Change orders resulting in an increase to system size will not result in an additional incentive in excess of the incentive cap in effect at the time the change order is received.

2.7 Expansion of Completed Systems

Installers may request additional incentives for the expansion of a Completed System. Incentives will not be paid for additional production beyond the caps described in Section 2.1 based on the combined aggregate capacity including the existing system. Each Project Application must be completed in its entirety and indicate that it is an expansion system, and all required documents need to be entered into Power Clerk. PowerClerk may require information about the existing solar thermal system such as system size, project number, and associated PON.

2.8 Incentive Payments

A single incentive will be paid to the Contractor upon completion of the installation and acceptance by the Authority Having Jurisdiction (AHJ). The NYSERDA incentive payment will not be paid until all documentation for applicable utility, state, city or town permits and other inspections and approvals, as appropriate, are obtained and submitted to NYSERDA together with a completed *Incentive Request Form*. Installers/Contractors have 120 days from the date of approval by NYSERDA to complete the installation.

All incentive payment requests must be e-mailed to STinvoices@nyserda.ny.gov and use the following subject line naming convention.

100%, ST (4 digit installer # + Application #) - Name of Customer

Each scanned incentive request should be named **using the same naming convention**

as outlined above and all documents must be scanned together as a single pdf.
Please do NOT include packing lists.

2.9 Incentive Structure

Where necessary, NYSERDA reserves the right to structure incentive payments differently to accommodate unique situations.

2.10 Residential Clipboard Audits

A Residential Clipboard Audit must be performed by the Participating Contractor prior to the start of any project. A Residential Clipboard Audit consists of two components: (1) an interview of the home/building owners to determine energy use habits and the age of the building, and (2) an inspection of the building to identify energy saving opportunities.

The inspection component of the Clipboard Audit includes an assessment of the hard-wired lighting systems and free-standing light fixtures, appliance ages and whether they are ENERGY STAR[®] qualified, the presence of advanced power strips, existence of “vampire loads” related to consumer electronics and battery chargers, use of programmable thermostats or timers for air conditioners, age and condition of the doors and windows, and details on recent energy efficiency upgrades, such as installation of insulation. The Clipboard Audit should take no more than 60 minutes.

The Clipboard audit also includes a debriefing, during which the Contractor will review with the homeowner the results of the Clipboard Audit. At the end of the debriefing the installer will leave a copy of the Clipboard Audit Report ('Report') with the owner, which will include the findings of the Clipboard Audit.

Customers are not required to implement energy efficiency measures identified in the Clipboard Audit as a pre-requisite to participation in the ST program.

2.11 Commercial, Agricultural, Not-for-Profit Energy Assessment

Building owners are provided with information on ENERGY STAR's Portfolio Manager Benchmarking Tool or other equivalent tool by the Participating Contractor. If requested by the building owner, the Participating Contractor shall assist them to enter utility bill information into the Tool in order to produce a EUI (Energy Use Index) and, where applicable, an ENERGY STAR score. Customers will not be required to benchmark or implement energy efficiency measures as a pre-requisite to participation in the ST Program.

2.12 System Losses

Project applications shall include details on all potential ST system output losses (actual thermal energy generated and equivalent kilowatt hours (kWh) displaced after all equipment losses are applied) associated with shading, system orientation, tilt angle, etc. A system that is shaded by trees, that faces east or west, or that is installed on a flat roof, will have outputs that will be less than ideal. All impacts on system output must be quantified and will be considered during the review of the project application submitted by the Installer/Contractor.

2.13 Coordination with other NYSERDA Programs

ST projects receiving, or selected to receive awards under any other NYSERDA Program, PON, RFP are not eligible to receive incentives through the Solar Thermal Incentive Program. Projects receiving, or selected to receive, awards through another NYSERDA PON or RFP may not be canceled and then re-submitted to NYSERDA through Solar Thermal Incentive Program.

2.14 Financing

Solar Thermal customers may be eligible to finance the purchase of their Solar Thermal system through NYSERDA's Green Jobs/Green New York (GJGNY) financing Program using either a Smart Energy Loan or On-Bill Recovery. GJGNY financing is also 'fuel neutral' and, therefore, is available for projects that displace either electrically, or non-electrically, heated domestic hot water.

- Residential Customers in existing homes of four units or less may be eligible to finance the purchase of their PV system through NYSERDA's Green Jobs/Green New York (GJGNY) loan program using either a Smart Energy Loan or On-Bill Recovery.

Customers may apply online or download an application at www.energyfinancesolutions.com

To submit projects accessing financing, Participating Contractors must apply for approval. To register, Participating Contractors must complete and submit an EFS Contractor Application Packet, which is available at: www.energyfinancesolutions.com. The Contractor Packet consists of the following documentation:

- EFS Contractor Application
- EFS Participation Agreement
- ACH Authorization Form (allows for electronic transfer of loan proceeds – optional)
- IRS form W-9
- Certificate of Insurance

EFS will notify the Participating Contractors of the status of their application within 5 business days of submittal. **Only Participating Contractors who have been approved by Energy Finance Solutions are eligible to submit project applications that use GJGNY financing.**

- Commercial, Agricultural and Not-for-Profit Customers may be eligible to finance the purchase of their PV system through NYSERDA's low-interest small commercial financing made available by GJGNY. A customer who wishes to finance the purchase of their ST system will rely on the Installer/ Contractor to submit a Request for Financing to NYSERDA on their behalf. NYSERDA will review the Request for Financing and will provide the Customer with a letter approving or denying the eligibility of the ST system for GJGNY financing. If the ST system is approved by NYSERDA, the Customer must submit the approval letter as part of their loan application to a Lender participating in NYSERDA's *Small Commercial Energy Efficiency Program*. If approved for financing by the Lender, the Customer will receive the loan proceeds directly from the Lender. More information on NYSERDA's low-interest energy efficiency financing options for small business and not-for-profit customers can be found at:

www.nyserdera.ny.gov/small-commercial-financing.

To apply for approval, Participating Contractors must complete and submit an *EFS Contractor Application Packet*. The Contractor Packet consists of the following documentation:

- EFS Contractor Application
- EFS Participation Agreement
- ACH Authorization Form (allows for electronic transfer of loan proceeds – optional)
- IRS form W-9
- Certificate of Insurance

EFS will notify the Participating Contractors of the status of their application within 5 business days of submittal. **Only Participating Contractors who have been approved by Energy Finance Solutions are eligible to submit project applications that use GJGNY financing.**

There are also a number of private lenders that provide financing for Solar Thermal

2.15 Tax Credits

Customers who install a solar thermal system may be eligible for State and federal tax credits. In addition customers may qualify for Real Property Tax Exemptions and Tax Abatement Programs, along with accelerated depreciation allowances. Always consult with an accountant or tax professional to determine eligibility.

New York City Residents may be eligible for the Real Property Tax Abatement Program. Contractors installing systems in New York City should consult with The New York City Department of Buildings for specific information.

Real Property Tax information can be found at New York State Department of Taxation & Finance Office of Real Property Tax Services website

The Real Property Tax Exemption FORM RP487 may be found at the following:

http://www.tax.ny.gov/pdf/current_forms/orpts/rp487_fill_in.pdf

For a listing of jurisdictions that have opted out of the Real Property Tax Abatement Program be found at the following:

<http://www.tax.ny.gov/research/property/legal/localop/487opt.htm>

3.0 SPECIFIC PROGRAM RULES

3.1 New Components

All components installed as part of an approved ST System must be new. The use of used or refurbished equipment is not permitted under the Program.

3.2 Qualified Solar Collectors

All solar thermal collectors must be certified as meeting all applicable standards of the Solar Rating and Certification Corporation and be included in the eligible list found on PowerClerk. It is the manufacturer's responsibility to ensure that the most recent information is available in PowerClerk. Manufacturers can do so by contracting Marci.Brunner@nyserda.ny.gov.

3.3 System Monitoring

PPA or Lease systems must include a revenue-grade monitoring system that is suitable for billing, accessible to the customer, and installed per manufacturer's specifications.

4.0 SYSTEM REQUIREMENTS

4.1 Displaced Energy Usage

Projects applications must identify the method used for establishing the existing thermal load, and displaced energy usage calculated in kWh. ST system offset cannot exceed 80% of the existing DHW load.

4.2 Approved System Design

ST systems must be installed in accordance with the design and ST system components submitted in the application and approved by NYSERDA. Any change in ST system design from the approved design must be approved in writing by NYSERDA prior to installation of the ST system. ST systems that are not installed according to the design submitted to and approved by NYSERDA are **not** eligible to receive Program incentives. When significant changes are made a new 1-line diagram must be included with the change order. See section 2.6 for details on submitting a Change Request.

4.3 Code Compliant Interconnection

The Installer/Contractor is required to ensure that all ST systems designed to be connected to a space heating or domestic hot water systems comply with all applicable national, New York State, and local codes and standards.

4.4 Other Plumbing and Electrical Components

All other Plumbing and electrical components of each ST system including, but not limited to, piping, fittings, insulations, tanks, vessels, valves, controls, safety devices, and associated wiring must be certified as meeting the requirements of all relevant national and New York State codes and standards.

4.5 Compliance with Laws and Codes

All approved ST systems, system components, and installations must comply with any and all manufacturers' installation requirements, applicable laws, regulations, codes, licensing and permit requirements including, but not limited to, the New York State Environmental Quality Review (SEQR), the New York State Building Code, New York State Plumbing Code, the National Electric Code, Fire Codes and all applicable State, city, town, or local ordinances or permit requirements.

4.6 ST System Warranty

The Participating Contractor must provide the purchaser of the ST system with a full five year transferable warranty. The warranty must cover all components of the system against breakdown. The five year warranty shall cover the full costs, including labor, of repair or replacement of defective components or systems. The Participating Contractor is responsible for providing warranty coverage in a timely manner regardless of the level of support from the equipment manufacturer. Requests for warranty services must be

responded to within 72 hours and repairs completed within 30 days. The Participating Contractor must provide the customer with information on any additional or extended warranties that may also be applicable. .

4.7 Structural Requirements

The Participating Contractor and Eligible Installer are responsible for determining that a building structure is able to support the additional weight of an ST system and that the installation of that ST system does not over stress the structure and/or increase the dead load beyond acceptable limits as described in all relevant National and New York State codes and standards. NYSERDA encourages consulting with a Licensed Professional Engineer or Registered Architect.

4.8 Maintenance Manual

Upon final completion of the installation, the Installer or Contractor shall provide the customer with a maintenance manual containing manufacturer's information on all the major components along with a schedule on any required system maintenance.

4.9 Mechanical Execution of Work

All solar thermal equipment and accessories shall be installed in a neat and professional manner.

5.0 APPLICATION PROCESS

Each Project Application must include a complete and accurate copy of each of the following:

5.1 Project Application Form

The Eligible Installer or their Participating Contractor must submit all applications electronically, using the PowerClerk database.

The process for projects planning to use GJGNY financing (either the Smart Energy loan, Participation Loan or On-Bill Recovery (OBR)), are as follows:

Residential projects: A Proforma tool must be provided to NYSERDA once the project achieves 'received' status. The Installer/Contractor will receive an e-mail on behalf of PowerClerk that will ask you to email the excel version of the ProForma tool and the applicant's pre-approval loan letter from Energy Finance Solutions (EFS) to stforms@nyserda.ny.gov , using the subject line naming convention provided below.

ProForma Tool, ST (4 digit installer # + Application #) - Name of Customer
(Example) ProForma Tool,ST – 4000-29000, John Smith)

The Proforma tool is used to calculate the cost effectiveness of the GJGNY financing options at different loan terms. In order to qualify for GJGNY financing a project must meet the cost-effectiveness test in the Proforma tool. Once the Proforma is received, your application will be in line for design review. After the Proforma has been reviewed and approved, it will be converted to a pdf and uploaded directly into PowerClerk as part of the project application submission.

Small business and not-for-profit customers

A Proforma tool must be provided to NYSERDA once the project achieves 'received' status. The Installer/Contractor will receive an e-mail on behalf of PowerClerk that will ask you to email the excel version to stforms@nyserda.ny.gov , using the subject line naming convention provided below.

ProForma Tool, ST (4 digit installer # + Application #) - Name of Customer
(Example) ProForma Tool,ST – 4000-29000, John Smith)

The Proforma tool is used to calculate the cost effectiveness of the GJGNY financing options at different loan terms. In order to qualify for GJGNY financing a project must meet the cost-effectiveness test in the Proforma tool. Once the Proforma is received, your application will be in line for design review. After the Proforma has been reviewed and approved, it will be converted to a pdf and uploaded directly into PowerClerk as part of the project application submission.

5.2 Site Map

The site map must include the location of all ST System components including collectors and water tanks, roof type, system orientation and tilt angle, point of connection with existing plumbing system, customer name and address, and Participating Contractor and Eligible Installer name, and Installer number.

5.3 Photos of Major System Components

The installer must submit photos of the major system components, including the collectors, tank, and circulator pump. A manufacturer's equipment datasheet may satisfy this requirement. Installers are also encouraged to submit photos of the site, including the location where collectors and tanks will be installed, as well as photos of the existing water heater.

5.4 Schematics Drawing

All applications require a legible one-line diagram using unique line characteristics and standard symbols to clearly describe the solar thermal system as installed. The one line diagram shall include, but not be limited to: the collectors, water tanks, heat exchanger(s), pumps, meters, piping lengths and sizes, controls, insulation requirements, and associated wiring. Manufacturers' catalog numbers for the key components and other relevant equipment as applicable shall be provided. For SRCC OG-300 rated systems, the diagram on the SRCC certification document may be used to satisfy this requirement.

5.5 Estimating DHW Usage

Residential: The following formulas must be used to calculate the estimated DHW usage:

Existing homes: $20 + [15 * (\# \text{ of residents} - 1)]$

New Homes: $20 + [15 * (\# \text{ of bedrooms} + 1)]$

Existing home example: For a four person household, the gallons per day (gpd) usage would be calculated as follows:

$20 + [15(4-1)] = X$

$$\begin{aligned}
 20 + [15(3)] &= X \\
 20 + 45 &= 65 \text{gpd hot water usage}
 \end{aligned}$$

Commercial (including Not-for-Profit, Government, and Agricultural) systems may require more detailed calculations. Installers/Contractors may need to account for water temperature and seasonal use patterns in their calculations. A calculation or explanation of the site's hot water use must be included as part of the project application.

Commercial Example: A commercial carwash washes, on average, 50 cars per day, and each car wash uses about 10 gallons of hot water.
 50 cars x 10 gallons per car = 500 gallons per day.

5.6 Existing DHW Thermal Load and System Production

Calculation or data detailing the existing thermal load for DHW usage must accompany an estimate of annual system production (displaced kWh) and be submitted as part of the application process.

For residential systems installed on one to four family homes, the SRCC OG-300 system rating may be used to size and estimate the annual system production in kWh if the properly sized system falls within Program guidelines for maximum displaced DHW load of 80%.

For all calculations, installers shall assume a storage tank water temperature of 120 degrees in the design. Should the installer use a higher temperature, they must provide justification of the higher value with the application.

For larger non-residential systems using non OG-300 components, or residential systems using OG-100 components, a more detailed estimate of system production, and existing thermal load calculations will need to be provided in conjunction with a more detailed system design including a one-line drawing as noted above. Calculations and methods used to determine the system production in non-residential systems must be included in the application.

5.7 System Loss Analysis

Installers must calculate all potential system output losses (kilowatt hours or kWh, or equivalent BTU for fossil fuel based systems), generated after all losses associated with shading, system orientation, tilt angle, etc are applied. Such losses must be detailed using industry accepted shading and orientation tools, verifiable assumptions, and calculations. Incentives will not be approved where losses due to system shading and orientation exceed 25% of what the ideal system for that location would be without any site losses. In cases where trees or any other obstruction must be removed or moved in order to meet the program rules, incentive payment will not be made until a new system loss analysis and photos have been submitted and reviewed by NYSERDA.

5.8 Utility Bill for Commercial, Agricultural and Not-for-Profit Applications Only

The site address on the utility bill must match the installation site address on the Project Application Form and submittal of the customer's historic usage for the past twelve (12) months will be required. For new construction, the Installer or Contractor must submit detailed calculations on anticipated electric usage. For existing

construction where 12 months of past billing is not available, the installer or contractor will use the usage info for those months that are available, along with supplemental calculations to estimate the anticipated yearly usage.
NOTE: submittal of utility bill for Residential project applications is not required.

5.9 Permits

Copies of all necessary permits, approvals, certificates, etc. can be submitted either with the project application or with the incentive request. All permits must clearly reference installation of the approved ST System at the customer site. If permit(s) are not needed for installation, a signed letter from the Town Code Officer or Authority Having Jurisdiction (AHJ) must be submitted stating that no building permit is required. However, AHJs may require plumbing and electrical permits. Submittal of an AHJ inspection certificate is required prior to an incentive payment being processed.

5.10 Addendum to Customer Purchase/Lease Agreement

Submittal of the Addendum to Customer Purchase/Lease Agreement (Addendum) is not required as part of the project application submittal package, but must be made available to NYSERDA upon request.

The Addendum can be found at:

<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities/PON-2149-Solar-Thermal-Incentive-Program>

5.11 Customer Purchase or Lease Agreement,

The Customer Purchase, or Lease Agreement is very important document as it is the Contract between the customer and the participating contractor. The Contract defines the responsibilities of both the customer and participating contractor associated with the installation and payment of a Solar Thermal system. **The Participating Contractor must provide the customer with a copy of the Contract that has been signed by both parties.**

For Solar Thermal systems that are being purchased, the Contract must include, at a minimum, the following:

- Installation location, including town, street, and lot or building number;
- Installation schedule (a realistic installation schedule needs to take into account NYSERDA and local permitting and inspection requirements);
- System description, including a description of the ST system being purchased and an outline of system specifications, the make and model of major system components, identification and location of easy-to-read meter, references to SRCC listing, etc.
- Estimate of annual energy displacement in kWh that summarizes the results of the System Loss Analysis;
- Total system and itemized costs broken down as follows: cost of panels, balance of system costs (solar storage tanks, pumps, piping, insulation, etc.), and labor and overhead (labor, permitting, etc.);
- Applicable incentives. The Customer Purchase Agreement must reflect the entire amount of the anticipated NYSERDA Incentive;
- An explanation and estimate of any additional costs that the customer will incur associated with the development, installation, and commissioning of ST systems;

- Payment schedule;
- Party (customer or contractor) responsible for scheduling, obtaining and paying for permits, inspections or other regulatory requirements;
- Warranty: A full warranty to the purchaser of the ST system installed under the Agreement for a period of five years after installation. The warranty should cover all components of the ST system against breakdown. The warranty must cover the full costs, including labor and repair or replacement of defective components or systems.
- Contract must be completed and signed by both the customer and the Eligible Installer/Contractor.

For Solar Thermal systems that are a Lease or a Power Purchase Agreement (PPA), the Contract must include, at a minimum, the following:

- Installation location; including town, street, and lot or building number;
- Installation schedule (a realistic installation schedule needs to take into account NYSERDA and local permitting and inspection requirements);
- System description, including a description of the ST system being purchased and an outline of system specifications, the make and model of major system components, identification and location of revenue-grade production meter, references to SRCC listing, etc.
- Estimate of annual energy displacement in kWh that summarizes the results of the System Loss Analysis;
- Total Agreement cost and applicable incentives. The Lease or PPA must reflect the entire amount of the approved NYSERDA Incentive;
- An explanation and estimate of any and all additional costs that the customer will incur associated with the development, installation, and commissioning of the ST system;
- Payment schedule;
- Party (customer or contractor) responsible for scheduling, obtaining and paying for permits, inspections or other regulatory requirements;
- Warranty: At a minimum, the Contractor shall offer a production guarantee to the Customer for the initial term of this Agreement. This production guarantee will provide the customer with compensation if the system produces less than the guaranteed output as specified in the PPA or lease agreement. Guaranteed output may not allow cumulative degradation in output of more than one percent per year from the original rated output for the initial term of this agreement. Under no circumstance will Customers be responsible for any labor and repair or replacement costs of defective components or systems over the initial term of this Agreement. Should the customer sell the residence at which this solar facility is located, the production guarantee is fully transferrable to a new lessee.
- Other terms such as the party (customer or Contractor) responsible for costs related to movement and re-installation of the system or parts of the system if needed due to necessary roof repairs or other issues and the terms under which those actions will be taken; and any insurance coverage related to the system;
- Contract must be completed and signed by both the customer and the Eligible Installer/Contractor.

5.12 Not-for-Profit or Agricultural Documentation

To qualify for the Not-for-Profit/Agricultural incentive, project applications submitted to the program must include the following:

- Not-for Profit: IRS determination letter
- Agricultural: Documentation verifying that the operation meets the Agriculture and Markets Law 301 definition of “farm operation.”

Other documentation will be considered on a case-by-case basis by NYSERDA.

6.0 QUALITY ASSURANCE AND COMPLIANCE

NYSERDA maintains the integrity of its ST Program through an independent Quality, Standards and Compliance (QSC) team which manages the quality assurance system for the ST Program. The quality assurance system has several components including review of qualifications and credentials, paperwork audits, establishment of program standards and a comprehensive field inspection. QA Field inspection includes verification of contracted scope of work, accuracy of site analysis, comparison of installation to submitted design drawings and the delivered quality of the ST installation. NYSERDA QSC or its representatives may make a reasonable number of visits to the customer site before, during and/or after installation of a ST System. Field QA inspections are typically conducted by a qualified independent third party chosen by NYSERDA.

Such visit(s) will be at a time convenient to the customer. The customer is given the option of having the Installer or contractor attend the field inspection. If the customer declines to have the installer or contractor present at the time of the field inspection, no notice of scheduled field inspections is sent out. If the customer accepts the attendance of the installer and contractor, a notice of the scheduled field inspections will be sent to both a week in advance. We will make an effort to accommodate the schedule of the installer and contractor, but the customer’s schedule and efficient scheduling of inspections take precedence.

6. 1 Field Inspection of Completed Projects

NYSERDA selects specific “completed” projects for QA field inspection following a sampling protocol. The sampling protocol utilizes random sampling of completed units with sampling rates primarily based upon the current ST program status of the Eligible Installer and “Contractor.”.

NYSERDA intends to conduct field inspections on 15% of units installed by full status installers and contractors. Probationary and Suspended status installers and contractors will be subjected to 30% inspection overall and up to 100% inspection on specific units for cause.

Provisional installers and contractors will initially be subjected to up to 100% inspection and after demonstrated competency their inspection rate will be lowered to 30%.

The purpose of the site visit(s) is to provide NYSERDA with an opportunity to evaluate the accuracy of the site analysis, design paperwork, and the installed ST System in order to determine the actual kWh displaced for program evaluation purposes and to verify that the ST System was installed according to all ST Program requirements including applicable code.

Following the QA Field Inspection NYSERDA will produce a detailed report and determine whether the project fully complies with all program requirements and meets acceptable standards of workmanship. The report will be made available to the installer and contractor approximately 15 days after the inspection following an internal review and scoring by NYSERDA. The report will be made available to the owner upon submission of a request directly to NYSERDA.

NYSERDA may select any completed project at any point in the future for Field Inspection based upon customer complaints, warranty related issues or a review of the work done by an Installer or Contractor under status review or program disciplinary action.

6. 2 Handling Non-Conformance and Corrective Action

The QA report generated from the field inspection will provide details of all evaluated elements of the project and list any non-conformances that were identified. The report will identify the overall score of the project and whether this result passes or fails program requirements.

Projects that have non-conformances related to critical (Health & Safety) or major (System Performance) attributes will automatically fail. Projects that have only non-conformances to minor or incidental attributes may pass or fail based upon their overall merits.

All non-conformances are expected to be addressed and corrected with regard to future work conducted in the ST program. Acknowledgement and plans for preventing future problems may be requested with the report.

While some non-conformances cannot be corrected post installation, others can be remedied through corrective action to the documentation, incentive applied to the project or remediation of the installation or its components.

When NYSERDA seeks specific corrective action, a Corrective Action notice will be provided with the QA report. The Corrective Action notice must be either disputed within 15 days by contacting NYSERDA or remedied within 30 days. Sufficient evidence of the remediation must be provided to NYSERDA to document the completion of the required corrective action. NYSERDA may at its option conduct a field verification of the remediated installation.

NYSERDA retains the right to provide a copy of the QA report or specific information from the QA Field Inspection directly to the owner, all authorities having local jurisdiction or the interconnecting utility based upon health, safety and compliance concerns. In an emergency NYSERDA or its representatives may shut down the system. NYSERDA will notify the installer or contractor whenever it takes such action as soon as is practicable.

NYSERDA may, at NYSERDA's discretion, communicate by voice and/or written format with any ST System customer with respect to any matter relevant to a proposed or installed ST System. Such communications may be in reply to an inquiry from a customer or at NYSERDA's initiation.

6. 3 Probation and Disciplinary Action

When an installer or contractor either fails to consistently complete projects which pass NYSERDA's QA evaluation or fails to respond to or remedy Corrective Action notices, NYSERDA will review the contractor or installer status in the ST Program.

An installer or contractor may be moved to either a probation status in which specific results and a timeline for demonstrating those results will be prescribed and monitored or to a disciplinary status such as suspension or termination from the ST Program.

The complete details of the Participation Status and Review Process are stated in Article 6 of the SOLAR ST PROGRAM PARTICIPATION AGREEMENT.

7.0 NYSERDA LOGO USE AND PARTNER PORTAL

7.1 Use of Logo

NYSERDA has very strict policies with regard to our logo. There are very few companies that are eligible to use a version of NYSERDA's logo on their marketing materials. For these purposes, we have established three distinctive attribution marks: Sponsored by NYSERDA, Supported by NYSERDA, and an Independent Contractor to NYSERDA. These attribution marks are distributed by NYSERDA and are evaluated on an individual basis for their appropriateness.

The Sponsored by NYSERDA logo is specifically for Events that NYSERDA has provided funding to sponsor. The Supported by NYSERDA is intended specifically for companies that have received a contract award from NYSERDA, or in instances where NYSERDA is funding specific research, development, or deployment of an energy efficient technology, or service. The Independent contractor logo is reserved for those contractors who have been tasked specifically with customer outreach on NYSERDA's behalf.

In the case of Solar Installers, ESCOs, participating builders, building contractors, and other organizations that have been qualified by NYSERDA, but not contracted, or funded by NYSERDA, it is not appropriate for them to use NYSERDA's logo on their organizations' website, or any marketing materials including business cards. In the future, should you have a need for NYSERDA's logo, you may request one at the following website: <http://www.nyserda.ny.gov/About/Resources/Logo-Requests.aspx>

7.2 Partner Portal

NYSERDA has a *Partner Portal* on NYSERDA's website for eligible Solar Thermal Installers/Contractors who participate in the PON 2149 ST Incentive Program. Partner Portal: <http://cmsapps.nyserda.ny.gov/PartnerPortal/>

Currently the Partner Portal contains information such as past Solar Thermal conference call/webinar summaries, upcoming training announcements and other documents and links pertaining to the Solar Thermal Incentive Program. Your user name is your email address, and your password is Welcome123. After logging in, choose "Advanced Technologies."