

*OFFICE OF CLEAN ENERGY
CLEAN ENERGY GUIDANCE*

Self-Direct Program Guidance

Version History Log:

| Version | Date Issued | Approval | Changes |
|---------|-------------|-----------------------------|---|
| 1.0 | 2015-08-03 | Colleen Gerwitz, Director | N/A |
| 2.0 | 2016-06-09 | Christina Palmero, Director | Revised to include clarifying language and the common customer application. |

Purpose:

This Energy Efficiency Guidance document is developed to establish common program principles which all utility program administrators must adhere to in the implementation of the Self-Direct Program for large energy users.

Dependent upon interest during the initial enrollment phase of the program and lessons learned during the program implementation, these guidelines may be modified.

All Energy Efficiency Guidance documents are in effect until revised, rescinded or superseded.

Background:

In an order issued February 26, 2015 (REV Order),¹ the Commission required each utility to implement a self-direct program for its large energy users and directed Staff, in collaboration with the utilities and large industrial customers, to develop and issue guidelines that establish rules and principles for the Self-Direct Program. In addition, the Commission required the electric utilities to implement a Self-Direct Program for large energy users by January 1, 2017. The utilities must implement the Self-Direct Program in accordance with the program rules and principles, below.

Program Rules & Principles:

PROGRAM FRAMEWORK:

The Self-Direct Program is intended to encourage individual customers' unique energy management actions by allowing customers to self-direct funds toward a suite of investments over a period of three years and complement existing or future strategic energy management activities. All projects implemented within the Self-Direct Program must be cost-effective and utilities may count the energy savings toward their savings goals. This program is expected to achieve savings at a lower cost than a traditional energy efficiency program. Therefore, the MWh target for this program should be calculated

¹ Case 14-M-0101, Proceeding on Motion of the Commission in Regard to Reforming the Energy Vision, Order Adopting Regulatory Policy Framework and Implementation Plan (issued February 26, 2015).

based on a program-only dollar per MWh² that is at least 7.5% lower³ than the total authorized program-only dollar per MWh of the Company's energy efficiency portfolio, excluding the Self-Direct Program.⁴

A utility may establish a cap for its Self-Direct Program but must, at a minimum, allocate 50% of the three-year⁵ average annual of EE Tracker surcharges⁶ from customers who meet the individual customer eligibility criteria to its Self-Direct Program for each year of the three-year cycle. Each utility must provide the total three-year average annual contributions of customers who meet the individual customer eligibility criteria in its ETIP. In instances where the total enrollments are below the allocated Self-Direct Program budget, the utility may reallocate the budget difference to its portfolio. Energy savings associated with the reallocated budget difference should be added back to the utility portfolio energy savings goal using the utility's program-only cost per MWh.

Funding for the program is collected from the participating customers through a volumetric surcharge, the Energy Efficiency (EE) Tracker. Participants will have the opportunity to self-direct a majority of their own contributions to qualifying projects, however, a portion of the contributions, no more than 15%, is allocated to support program administration and evaluation, measurement and verification (EM&V).

A participating customer must implement its projects within the service territory of the utility providing the funds (i.e., this is not a statewide program). However, participating customers are allowed to aggregate their accounts within a service territory in accordance with the customer eligibility rules.

PROGRAM CYCLE:

The Self-Direct Program is implemented on a three-year cycle. Eligible customers may apply for enrollment in a three year Self-Direct cycle during quarters two and three of the year prior to the first year of the cycle. Throughout the cycle, participants will be able to access at least 85% of their contributions to fund eligible projects, as agreed upon by the customer and the utility. During the cycle, a customer may withdraw from participating in the program, in accordance with customer withdrawal rules described below.

After a three year cycle, any unspent/unencumbered funds may be collectively pooled and made available for efficiency projects through a competitive solicitation available to those participants who did not withdraw from participation in the program during the three-year cycle and third party managers or customers conducting efficiency work in a network area targeted for load deferral. In addition, in instances where a customer withdraws from participation in the program, the balance of that customer's Self-Direct contributions may also be made available for efficiency projects through a competitive solicitation available to current Self-Direct Program participants and third party managers or customers conducting efficiency work in a network area targeted for load deferral.

² The program-only dollar per MWh would not include funds set aside to support program administration and evaluation, measurement and verification (EM&V).

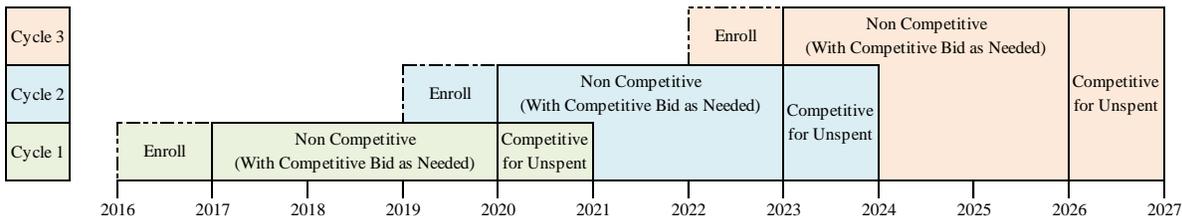
³ The participants project cost per MWh is calculated as the funds withdrawn from the Energy Savings Account (ESA), discussed below, divided by the savings achieved by the project. Project funding from sources other than the ESA are not considered in the cost calculation.

⁴ The program-only dollar per MWh used for purposes of the Self-Direct Program target calculation is that which is reflected in the first year of the program cycle in the latest iteration of the utility ETIP.

⁵ To accommodate program planning, the three-year period is expected to end with the year prior to the enrollment period.

⁶ For the first three-year cycle, the EE Tracker will not have been in effect for the three years to be averaged. For this cycle utilities should use those contributions to a utility's portfolio budget.

Figure 1: Program Cycle



CUSTOMER ELIGIBILITY:

At a minimum, the Self-Direct Program is available to all individual customers with a 36 month⁷ average demand of 2 MW or greater as well as customers with an aggregated 36 month average demand of 4 MW or greater as long as one or more of the accounts being aggregated by the customer has at least a 36 month average demand of 1 MW.⁸

In order to be eligible to participate in the upcoming three-year cycle, current participants in the Self-Direct Program must have accessed 100% of any funds rolled over from the previous cycle and at least 45% of the funds from their ESA by September 30th of the third year of the current cycle and have achieved savings at or below the dollar per MWh to which the participant committed at the time of enrollment.

CUSTOMER ENROLLMENT AND WITHDRAWAL:

Eligible customers may apply for enrollment in a three year Self-Direct cycle during quarters two and three of the year prior to the first year of the cycle.

Staff, the utilities, and large industrial customers jointly developed a common customer application for enrollment (Appendix 1). Utilities should add corporate branding to the application. The common application includes:

- A commitment to achieve savings at a specific dollar per MWh that is at least 7.5% less than the utility's approved portfolio-level program only, dollar per MWh;
- An estimated portfolio savings plan⁹ that contains enough detail to allow a utility to determine the reasonableness of a customer's proposal;
- A list of the customer's accounts that will be included in the aggregated ESA; and
- A statement agreeing to grant the utility and its consultants the right to review all project data and access to perform onsite inspections and metering, as necessary, to verify measure installation and performance, operating parameters and cost documentation.

⁷ To accommodate program planning, the three-year period is expected to end with the year prior to the enrollment period.

⁸ In instances where a utility does not have access to three years of demand data for a customer, the eligibility of the customer will be determined based on the historical demand data to which the utility does have access.

⁹ The estimated portfolio savings plan will be high-level and non-binding; the plan is intended to demonstrate that the customer has potential energy efficiency projects that could be pursued through the Self-Direct Program.

If applications for enrollment exceed the utility cap, where one has been established, customers will be accepted into the program based first on the customer stated dollar per MWh at which the customer will be reimbursed for achieved savings, to ensure that the customers accepted into the program are those with the most cost effective proposals, then if necessary on the application submittal date (first-in, first-enrolled). If applications for enrollment do not exceed the utility cap, all eligible customers who submit an application in compliance with the program rules may be accepted into the program.

Upon enrollment in the Self-Direct Program, each customer is assigned an energy savings goal based on the stated dollar per MWh in the customer application and an Energy Savings Account (ESA) and are no longer eligible to participate in the utility's other energy efficiency programs.

Participants may withdraw from the Self-Direct Program by providing written notice to the utility in the second quarter of any year during the cycle. However, such withdrawal will not be effective until the beginning of the next year and the participant's contributions to the ESA match the amount that the participant has self-directed. Upon withdrawal, the balance of the customer's ESA will be retained by the utility and included in the next competitive solicitation. Customers who withdraw during a three-year cycle will be ineligible to participate in the next Self-Direct Program cycle. Upon the effective date of the withdrawal, customers will be eligible to participate in the utility's other energy efficiency programs.

ENERGY SAVINGS ACCOUNT:¹⁰

Upon enrollment in the Self-Direct Program, each customer is assigned an ESA and receives a schedule for deposits to be made based on the customer's estimated collections during the three year cycle. Beginning January 1 of the first year of the cycle, the utility will regularly allocate a Self-Direct participant's contributions to the utility's energy efficiency portfolio into the participant's ESA, excluding the up-to 15% that is retained by the utility for program administration and EM&V.

Participants have exclusive access to their ESA for the three-year non-competitive cycle. To access funds in the ESA, a customer must submit proof of payment or invoices received towards implementation of efficiency projects. Only projects that have obtained utility approval will be considered eligible for funding.

Customers may apply ESA funds toward the full cost of the implementation of the approved project, but may not exceed the cost per MWh committed to during enrollment. A portion of those funds, as determined by the utility, will be retained until after project completion and verification of savings. At the time of project approval, the utility must inform the participant of the amount of funds that will be retained. Once the savings have been verified to be at or above the project goal, the utility may provide the customer with the entirety of the retained funds. If the project saved less than its goal, the utility will determine, on a pro-rated basis, the amount of retained funds to be paid to the customer.

The balance of the ESA of existing participants who re-enroll in the next three-year cycle will be rolled over from the previous cycle.

The balance of the ESA of existing participants who are not re-enrolled in the next three-year cycle will be forfeited for inclusion in a competitive solicitation. However, these participants will be afforded an additional six months from the end of the cycle to access funds for previously approved projects.

¹⁰ This guidance does not preclude companies from pre-seeding the accounts, dependent upon future discussions and utility ability.

PROJECT ELIGIBILITY:

The Self-Direct Program funds new projects, only. A participating customer may not receive program funds for projects it has already undertaken.

Eligible projects are defined as those electric efficiency projects that achieve MWh savings at the dollar per MWh committed to by the customer at time of enrollment and pass Benefit-Cost criteria to be developed.

Participants in the Self-Direct Program must provide the utility with a detailed Project Plan for utility review and approval prior to initiating the project (Appendix 2). Utilities should add corporate branding to the Project Plan form. The Project Plan includes:

- A detailed description of the proposed project, expected costs and savings target;
- Information and data to support the calculation of the current baseline;
- A proposed method of M&V;
- A schedule for completion and payment milestones;
- A list of third-party contractors;
- A legally binding agreement granting the utility and its consultants the right to review all project data and access to perform onsite inspections and metering, as necessary, to verify measure installation and performance, operating parameters and cost documentation.

PROGRAM TRACKING REQUIREMENTS:

The utilities should be collecting data that will enable a comparison between the Self-Direct Program and other energy efficiency programs.

UTILITY REPORTING REQUIREMENTS:

In addition to the reporting requirements established for all energy efficiency programs funded with the budget authorized in the Budgets and Metrics Plan, the utilities must also provide Staff and the Commission the following information on an annual basis:

- Number of customers enrolled;
- Number of customers who have withdrawn;
- Funds included in competitive solicitations;
- Funds collected;
- Funds self-directed;
- Funds spent by customers
- Funds spent on Administration & EM&V
- Savings expected from self-direct projects (first-year, lifecycle, MWh & Dth, Peak MW)
- Savings acquired

The utility must provide participants with the following information on a quarterly basis:

- ESA balance

PARTICIPANT REPORTING REQUIREMENTS:

On a quarterly basis, participants with on-going projects are required to provide the utility with certain information that will enable the utility to track the progress of approved projects, including:

- Cost sharing (total project cost vs. funding from program)
- Progress toward project milestones
- Savings Acquired

At the time a project is completed, participants are required to provide the utility with written notification.

QUALITY ASSURANCE/QUALITY CONTROL REQUIREMENTS:

The program must include customer-level and program-level EM&V akin to what is required of standard C&I programs.

Self-Direct Program Application

DATE OF APPLICATION

Date Submitted (MM/DD/YYYY):

Date Received (to be completed by **UTILITY**):

ELIGIBILITY SUMMARY

This Self-Direct Program Application ("Application") provides a template to collect Customer information and specifications of the Customer's facility or facilities. **UTILITY** approval of this Application constitutes enrollment of the Customer in the **UTILITY** Self-Direct Program.

Customers with a 36-month average demand of 2 MW or greater are eligible for individual participation in the Self-Direct Program. Customers with an aggregated 36-month average demand of 4 MW or greater within the **UTILITY** service territory are also eligible for participation in the Self-Direct Program, as long as one or more of the accounts being aggregated by the Customer has a 36-month average demand of at least 1 MW.

The following appendices are provided to inform participation in the Self-Direct Program:

- "Appendix A: Multiple Accounts Template" must be completed and attached to this Application for Customers aggregating multiple accounts in **UTILITY**'s service territory for participation in the Self-Direct Program.
- "Appendix B: ESA Schedule of Deposits" will be completed by **UTILITY** and agreed to by the Participant once enrollment has been confirmed.
- "Appendix C: Customer Withdrawal Form" is required to be submitted by Participants who subsequently desire to withdraw from the Self-Direct Program.

The Self-Direct Program is administered on a three-year cycle. Customers may submit this Application for participation in a three-year Program Cycle during calendar quarters two and three of the year prior to the first year of the Program Cycle. The current Program Cycle is: **January 1, 2017 – December 31, 2019**. The deadline for applying for this Program Cycle is: **September 30, 2016**.

CUSTOMER INFORMATION

Customer Name (as shown on electric bill):

Federal Tax ID Number:

UTILITY Account Number:

Multiple Accounts: Check this box for Self-Direct portfolios consisting of more than one account. Complete and attach the form provided within Appendix A: Multiple Accounts Template to this Application at the time of submission.

Contact Name:

Daytime Phone:

Service Address:

Fax:

Address 2:

Email:

City:

State:

Zip Code:

Company Type:

- Individual/Sole Proprietor
 Limited Liability Company
 Partnership

- Corporation
 Other

- Exempt Payee (W-9 must be attached)
 Enter the tax classification (D = entity, C = Corporation, P= Partnership): _____

APPLICANT INFORMATION

Check if Applicant is the same as Customer. If checked, Applicant Information is not needed.

Applicant/Company Name:

Contact Name:

Address 1:

Contact Title:

Address 2:

Daytime Phone:

City:

State:

Zip Code:

Fax:

Relationship to Customer:

Email:

(Utility Phone)

(Utility Fax)

(Utility Email)

(Utility Website)

Self-Direct Program Application

ACCOUNT FACILITY INFORMATION

| | | | |
|--|----------------------------|-------------------------------|---|
| UTILITY Electric Meter Number: | | Electric Rate Classification: | NYPA Hydro Allocation Recipient: <input type="checkbox"/> Yes <input type="checkbox"/> No |
| <i>The following information should be provided to the extent available for each account covered by this Application. For multiple accounts, please provide this information on Appendix A. Approximations may be used if necessary.</i> | | | |
| Square Footage: | Annual Hours of Operation: | Year Built: | Building Sector Type: |
| # of Buildings at Facility: | Multifamily # of Units: | Number of Floors: | |

SAVINGS PLAN

The information provided below is non-binding and will be used for evaluation of this Application.

Proposed energy efficiency measure categories anticipated to be undertaken by Customer during the Program Cycle:

| | | |
|--|--|--|
| <input type="checkbox"/> Lighting | <input type="checkbox"/> HVAC/Chiller | <input type="checkbox"/> Building Management Systems/Controls |
| <input type="checkbox"/> Process Efficiency | <input type="checkbox"/> Non-electric Cooling | <input type="checkbox"/> Demand Response (DR) Enablement (excluding generation and energy storage) |
| <input type="checkbox"/> Process Support Systems | <input type="checkbox"/> Other (please specify): _____ | |

| | |
|---|---|
| Existing Annual Consumption (kWh) (single accounts only): | Number of Accounts to Complete Projects (multiple accounts only): |
|---|---|

The U.S. Department of Energy ("DOE") has developed guidance for large-use facilities creating voluntary strategic energy management plans. These plans may address multiple factors, including energy efficiency, demand, supply, reliability, air quality, and greenhouse gas emissions. A generic strategic management plan is useful for facility management and is foundational for attaining further DOE certifications. ISO 50001 system standards, developed by the International Organization for Standardization ("ISO"), provide the specifics needed to voluntarily establish, implement, maintain, and improve energy systems. Facilities with ISO 50001 experience and a strong record of energy savings can begin the Superior Energy Performance ("SEP") certification process, administered by the DOE.

| | |
|---|--|
| If the energy efficiency projects identified above will be part of an energy management plan, please check the applicable plan(s): <input type="checkbox"/> Strategic Energy Management Plan <input type="checkbox"/> ISO 50001 Certification <input type="checkbox"/> SEP Certification | Expected date(s) of certification (MM/YYYY): |
|---|--|

ACKNOWLEDGEMENT OF COST REQUIREMENTS

Customers will be accepted into the Self-Direct Program based first on the Customer-stated dollar-per-MWh at which the Customer will be reimbursed for achieved savings (with priority given to those with the lowest cost per MWh), then, if necessary, based on the application submittal date (i.e., first in, first enrolled).

Customer projects must be completed at a cost that does not exceed the Maximum Customer Cost per MWh, identified below. A Participant may commit to achieving projects at a lower cost per MWh than is required, but the **Customer Commitment below is firm and shall not be adjusted after enrollment**. Enrollment priority will be given to those Applicants who commit to the lowest project cost per MWh. For purposes of this Acknowledgement, Customer's cost is based on funds withdrawn from Customer's ESA divided by the MWh savings realized during the first 12 months of each measure's installation. The Customer can contribute additional funds, incremental to funds withdrawn from the ESA, toward completion of qualified projects, but such funds shall not be counted toward these cost requirements. A final cost calculation will be performed by **UTILITY** upon project completion.

| | |
|---|--|
| Maximum Customer Cost per MWh (to be completed by UTILITY): \$ _____ per MWh | Customer Committed Cost per MWh: \$ _____ per MWh |
| Customer Signature: | Date of Signature: |

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| (Utility Phone) | (Utility Fax) | (Utility Email) | (Utility Website) |
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Self-Direct Program Application

TERMS AND CONDITIONS

Definitions:

- (a) "Applicant" means the person or entity applying to participate in the Self-Direct Program. The Applicant may be the Customer or may be an agent of the Customer.
- (b) "Business Day" means Monday through Friday, excluding federal holidays.
- (c) "Competitive Cycle" refers to the one-year period following the Program Cycle during which Participants, or third party managers or Customers conducting energy efficiency work in an area targeted for load deferral by **UTILITY**, may compete for project funding by submitting proposals for energy efficiency projects to **UTILITY**.
- (d) "Customer" means the account holder maintaining an account for service with **UTILITY** and who satisfies the Self-Direct Program eligibility requirements established by **UTILITY**. The Federal Tax ID Number will be used to distinguish unique Customers.
- (e) "DPS Staff" refers to the New York State Department of Public Service Staff with oversight of the energy efficiency programs.
- (f) "EEMs" are those energy efficiency measures described in the Program Materials or other custom measures that may be approved by **UTILITY**.
- (g) "EE Tracker" refers to the rate component assessed to Customers on their utility delivery bill that funds the utility-administered energy efficiency programs.
- (h) "ESA" refers to the energy savings account wherein funds collected from the Customer through the EE Tracker that would otherwise be directed into the general pool of available funds for **UTILITY**-administered energy efficiency programs are instead allocated to a Customer participating in the Self-Direct Program for application towards approved projects. The ESA will be maintained and administered by **UTILITY**.
- (i) "Facility" means a Customer location served by **UTILITY** where EEMs are to be installed.
- (j) "Participant" refers to a Customer whose Application has been approved by **UTILITY**.
- (k) "Party" refers to the Applicant or **UTILITY** individually who may collectively be referred to as "Parties" herein.
- (l) "Program" means the energy efficiency Self-Direct Program offered by **UTILITY** to Customers.
- (m) "Program Cycle" refers to the three-year non-competitive period during which Participants may implement approved energy efficiency projects. The Program Cycle is the only period covered by this Application.
- (n) "Program Materials" means the documents and information provided by **UTILITY** specifying the qualifying EEMs, technology requirements, costs and other Program requirements, which include, without limitation, Program guidelines and requirements, application forms, and approval letters issued by **UTILITY**.
- (o) "PSC" means the New York State Public Service Commission.
- (p) "**UTILITY**" means **UTILITY** or any of its employees or agents, including consultants, vendors, subcontractors, and representatives.

Eligibility: Participation in the Self-Direct Program is limited to Customers who meet the average monthly demand requirements and pay into the EE Tracker. Customers with a 36-month average demand of 2 MW or greater are eligible for individual participation in the Self-Direct Program. Customers with an aggregated 36-month average demand of 4 MW or greater within the **UTILITY** service territory are also eligible for participation in the Self-Direct Program, as long as one or more of the accounts being aggregated by the Customer has a 36-month average demand of at least 1 MW. Customers who receive a New York Power Authority ("NYPA") Hydro Allocation are eligible to participate in the Self-Direct Program, but only the consumption attributed to the **UTILITY** portion of the utility bill shall be considered when determining eligibility for enrollment and calculating the maximum customer project cost. All projects proposed and implemented under the Self-Direct Program must be in the **UTILITY** electric service territory. **UTILITY** may establish an enrollment cap for the Self-Direct Program, based on the total contributions of its eligible Customers towards the EE Tracker.

Participation in Other Energy Efficiency Programs: Customers who maintain an account for electric service with **UTILITY** may not receive incentives for any electric EEM installed during the Program Cycle from other EE Tracker-funded energy efficiency programs. Customers who withdraw from the Self-Direct Program, or Customers who do not enroll for an upcoming Program Cycle, are prohibited from receiving electric EEM incentives through other EE Tracker-funded energy efficiency programs until funds withdrawn from the respective Customer's ESA match actual funds collected by the Customer through the EE Tracker.

Customer Cost Commitment: Customer projects must be completed at a cost that is at least 7.5 percent lower than **UTILITY**'s total authorized program-only dollar per MWh, excluding the Self-Direct Program. The Customer's commitment to achieve savings at a project cost no higher than the amount identified on page 2 of this Application is firm and shall not be adjusted, even if the project scope is amended and agreed to by **UTILITY**. The cost commitment may be used to evaluate applications when applications to enroll in the Self-Direct Program exceed the program cap established by **UTILITY**, with priority given to those Applicants who commit to the lowest project cost. A final cost calculation will be performed by **UTILITY** upon project completion, using funds withdrawn from the Customer's ESA divided by achieved first-year energy savings. Exceeding the committed cost presented on page 2 of this Application will render the Customer ineligible for participation in the next Program Cycle. Customers may contribute funds from sources other than the ESA and such other funds will not affect the final project cost-per-MWh calculation.

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Self-Direct Program Application

TERMS AND CONDITIONS continued

ESA: The Energy Savings Account (“ESA”) will be administered by **UTILITY**. An estimate of the Customer’s contributions towards the EE Tracker will be calculated upon enrollment in the Self-Direct Program. Of the Customer’s actual contributions, **UTILITY** may retain up to 15 percent for Self-Direct Program administration and evaluation costs. If the completed project achieves less energy savings than the proposed energy savings goal, funds remitted to the Customer from the retained portion may be pro-rated. Projects that achieve more energy savings than the proposed energy savings goal are not eligible for additional ESA funds. ESA funds may only be applied towards implementation costs for approved projects and must be accompanied by proof of payment or an invoice for such approved projects. **UTILITY** is authorized to hold a portion of the approved project cost from payment until the project has been completed and the achieved energy savings have been verified, and such amount will be as agreed to in the Self-Direct Project Plan. The balance of the ESA for existing Customers can be applied to the same Customer’s ESA for the next Program Cycle upon approval of a completed Application. Customers who do not re-enroll in the next Program Cycle will forfeit any remaining funds in their ESA to competitive solicitation for Self-Direct projects if such funds are not accessed within six months after the end of the current Program Cycle. In order to be eligible to participate in the upcoming Program Cycle, current Participants in the Self-Direct Program must have accessed 100 percent of all ESA funds rolled over from the previous Program Cycle and at least 45 percent of the ESA funds from the current Program Cycle as of September 30th of the third year of the current Program Cycle.

Measurement and Verification of Savings: The Customer shall authorize **UTILITY** and its agents the right to review all project data and grant access to perform onsite pre and post project inspections and measurements, as necessary, to verify measure installation and performance, operating parameters, and cost documentation. As a condition of enrollment in the Self-Direct Program, the Customer agrees to provide access and information to **UTILITY** and cooperate with **UTILITY** regarding such monitoring and inspection. By participating in the Self-Direct Program, the Customer acknowledges and agrees that no such activity by **UTILITY** includes any kind of safety, code, or other compliance review. The “New York Standard Approach for Estimating Energy Savings from Energy Efficiency Programs” (known as the “Technical Resource Manual” or “TRM”) may be used to calculate energy savings attributed to certain EEMs included in the TRM.

Qualifying Projects and Completion of Project Plan: The Self-Direct Program applies solely to new energy efficiency projects. Energy efficiency projects that have already commenced or been completed prior to enrollment in the Self-Direct Program are not eligible for cost recovery through ESA reimbursement. **UTILITY** approval of the Self-Direct Project Plan is required prior to the Customer’s purchase of equipment or commencement of project work, and before any request to withdraw funds from the ESA may be submitted.

Benefit-Cost Testing of Proposed Projects: All projects proposed in a Project Plan must undergo cost-effectiveness screening by the **UTILITY** using the same benefit-cost calculation methodology applicable to the **UTILITY**’s energy efficiency portfolio. Additional information may be requested from the Customer to calculate the benefit-cost ratio and shall be provided by the Customer before approval of the Project Plan. The proposed project must pass the cost-effectiveness screening as a contingency for approval of the Project Plan.

Application Process and Requirement for Approval: This Application and Appendix A, if applicable, must be submitted by the Customer or its representative to **UTILITY** during quarters two and three of the year prior to the commencement of the Program Cycle. Appendix B will be filled in by **UTILITY** after a completed Application is received, and will be returned to the Customer for completion and execution only if the Customer is accepted for participation in the Self-Direct Program. The Customer must submit a completed and signed Appendix B back to **UTILITY** before the commencement of the Program Cycle to be eligible to participate in that Program Cycle.

Reporting Requirements: **UTILITY** will provide the Self-Direct Program Participant with the balance of the Customer’s ESA on a quarterly basis. The first quarterly report will be provided to the Applicant thirty (30) calendar days following the end of the first quarter of the Program year. On a quarterly basis, Participants with on-going projects are required to provide **UTILITY** with information that will enable **UTILITY** to track the progress of approved projects, including cost sharing information (total project cost vs. funding from ESA), progress toward projects milestones, and savings acquired. Additional information may be requested by **UTILITY** and shall be provided by the Participant.

Dispute Resolution: In the event of a dispute, either Party shall provide the other Party with a written notice of dispute (“Notice”). Such Notice shall describe in detail the nature of the dispute. If the dispute has not been resolved within ten (10) Business Days after receipt of the Notice, the Parties agree to submit the dispute to the Department of Public Service through the Department’s existing customer complaint process. The Parties agree to participate in good faith in the complaint process for a period of up to ninety (90) calendar days. If the Parties are not successful in resolving their disputes through mediation, then the Parties may refer the dispute for resolution to the PSC, which shall maintain continuing jurisdiction over the Self-Direct Program.

Program / Terms and Conditions Changes: Program expenditures, requirements and eligibility, and these Terms and Conditions are subject to change by the PSC or DPS Staff at any time. **UTILITY** reserves the right to withhold approval of Self-Direct Program projects for which the Customer may apply and to cancel or alter the Program at any time, but shall provide affected Customers with prior written notice. Approved Self-Direct Program applications will be processed under the Terms and Conditions and Program Materials in effect at the time of such approval by **UTILITY**.

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Self-Direct Program Application

TERMS AND CONDITIONS continued

Indemnification and Limitation of UTILITY's Liability: The Customer shall indemnify, defend and hold harmless UTILITY, its affiliates and their respective contractors, officers, directors, employees, agents, representatives and assigns ("Indemnified Parties") from and against any and all claims, damages, losses and expenses, including reasonable attorneys' fees and costs incurred to enforce this indemnity arising out of the acts and/or omissions of the Customer or the Applicant in connection with the Customer's participation in the Self-Direct Program ("Damages") brought by or for a third party except to the extent that Damages are caused by the negligence of the Indemnified Parties. To the fullest extent allowed by law, UTILITY's liability will be limited to administration of the ESA in accordance with the Self-Direct Program Terms and Conditions and the Program Materials, and UTILITY and its affiliates and their respective contractors, officers, directors, employees, agents, representatives and assigns shall not be liable to the Customer or any other party for any other obligation except to extent liability is caused by the negligence of UTILITY and its affiliates and their respective contractors, officers, directors, employees, agents, representatives and assigns. Except for the Customer's indemnity obligations hereunder, neither UTILITY nor the Customer shall be liable for any special, indirect, incidental, penal, punitive, or consequential damages of any nature in connection with Customer's participation in the Self-Direct Program or the Self-Direct Program Terms and Conditions.

No Warranties or Representations by UTILITY: (a) UTILITY does not endorse, guarantee, or warranty any contractor, manufacturer or product, and UTILITY makes no representations, warranties or guarantees in connection with the Self-Direct Program or any services performed in connection herewith or therewith, whether statutory, oral, written, express, or implied, including, without limitation, warranties of merchantability and fitness for a particular purpose. This disclaimer shall survive any cancellation, completion, termination or expiration of the Customer's participation in the Self-Direct Program. Customer acknowledges and agrees that any warranties provided by original manufacturers, licensors, or providers of materials, equipment, or other items provided or used in connection with the Self-Direct Program ("third party warranties"), are not to be considered warranties of UTILITY and UTILITY makes no representations, guarantees, or warranties as to the applicability or enforceability of any such third party warranties. The terms of this section shall govern over any contrary verbal statements of language appearing in any of UTILITY's other documents. The provisions of this section shall survive the termination, cancellation or completion of the customer's participation in the Self-Direct Program.

(b) Neither UTILITY nor any of its employees, contractors, agents, representatives or assigns is/are responsible for determining that the design, engineering or installation of EEMs is proper or complies with any particular laws, codes, or industry standards. UTILITY does not make any representations of any kind regarding the benefits or energy savings to be achieved by the EEMs or the adequacy or safety of the EEMs.

(c) The Customer acknowledges and agrees that it is solely responsible (directly-based on its own judgment or indirectly-based on the advice of an independent expert, not UTILITY) for all aspects of the EEMs and related work including, but not limited to: selecting the EEMs; selecting contractors to perform the work; ensuring that the EEMs is/are in good working order and condition; suitable for the Customer's purpose; and determining if work was properly performed.

(d) The Customer agrees and acknowledges that UTILITY is not a manufacturer of, or regularly engaged in the sale or distribution of, or an expert with regard to, any equipment or work which might be used to install the EEMs under the Self-Direct Program.

(e) The provisions of this Section shall survive the termination, cancellation or completion of the Customer's participation in the Self-Direct Program.

Customer Confidentiality: The Customer grants to UTILITY the right to use and reference the Customer's participation in the Self-Direct Program and the energy savings related to the Customer's participation in the Self-Direct Program for regulatory purposes with no public disclosure of a particular Customer's identity or consumption data. UTILITY shall keep the Customer's information in strict confidence, shall exercise reasonable care to maintain the confidentiality, and shall not divulge the Customer's information to any third party without the prior written consent of the Customer, except to the extent expressly permitted by these Terms and Conditions or when required to disclose by law. The provisions of this Section shall survive the termination, cancellation or completion of the Customer's participation in the Self-Direct Program.

Counterpart Execution; Scanned Copy: Any and all agreements and documents requiring signatures for the Self-Direct Program may be executed in counterparts, each of which, when executed, shall be deemed to be an original, but all of which together shall constitute one and the same instrument. A scanned or electronically reproduced copy or image of such agreements and documents bearing the signatures of the Parties shall be deemed an original and may be introduced or submitted in any action or proceeding as competent evidence of the execution, terms and existence of such agreements and documents notwithstanding the failure or inability to produce or tender an original, executed counterpart of the same and without the requirement that the unavailability of such original, executed counterpart of the same first be proven.

Miscellaneous: (a) If any provision of these Terms and Conditions is deemed invalid by any court or administrative body having jurisdiction, such ruling shall not invalidate any other provision, and the remaining provisions shall remain in full force and effect in accordance with their terms.

(b) These Terms and Conditions shall be interpreted and enforced according the laws of the State of New York.

(c) In the event of any conflict or inconsistency between these Terms and Conditions and Program Materials, these Terms and Conditions shall be controlling,

(d) Except as expressly provided herein, there shall be no modification or amendment to these Terms and Conditions or the Program Materials unless such modification or amendment is in writing and duly authorized by UTILITY.

(e) The provisions of this Section shall survive the termination, cancellation or completion of the Customer's participation in the Self-Direct Program.

Self-Direct Program Application

AGREEMENT AND SIGNATURE

I certify that all statements made in this Application and required documents provided are true and correct to the best of my knowledge. I agree to the terms and conditions of the Self-Direct Program set forth in this Application. **A signature is required from the UTILITY Account Holder and the Applicant, if different.**

| | | |
|--------------------------------|----------------------------------|--------------|
| Customer Name (print): | Account Holder Signature: | Date: |
| Applicant Name (print): | Applicant Signature: | Date: |

ACCOUNT HOLDER AGREEMENT AND SIGNATURE FOR RELEASE OF CUSTOMER INFORMATION

I hereby authorize UTILITY and its agents the right to review all energy efficiency project data and grant access to UTILITY and its authorized agents to perform on-site inspections and measurements, as necessary, to verify measure installation and performance, operating parameters, and cost documentation.

| | | |
|-------------------------------|----------------------------------|--------------|
| Customer Name (print): | Account Holder Signature: | Date: |
|-------------------------------|----------------------------------|--------------|

| | | | |
|------------------------|----------------------|------------------------|--------------------------|
| (Utility Phone) | (Utility Fax) | (Utility Email) | (Utility Website) |
|------------------------|----------------------|------------------------|--------------------------|

Self-Direct Program Application

Appendix B: ESA Schedule of Deposits

ENERGY SAVINGS ACCOUNT SUMMARY

The Energy Savings Account ("ESA") will be administered by **UTILITY**. An estimate of the Customer's contributions towards the EE Tracker will be calculated upon the Customer's enrollment in the Self-Direct Program. Of the total contributions, **UTILITY** may retain up to 15 percent for Self-Direct Program administration and evaluation costs. Funds will be available according to the deposit schedule outlined below. ESA funds may only be applied towards implementation costs for approved projects and must be accompanied by proof of payment or an invoice for the approved projects. **UTILITY** may hold a portion of the approved project cost, as identified in the approved Project Plan, from payment until the project has been completed and the achieved savings have been verified. The balance of the ESA may be applied to the next Program Cycle for continuing Participants. Customers who do not re-enroll in the next Program Cycle will forfeit any remaining funds in their ESA at the end of the Program Cycle to competitive solicitation for Self-Direct Program projects of others.

ESA SCHEDULE OF DEPOSITS (to be completed by **UTILITY**)

| | | | |
|--|--|--|--|
| Customer's Estimated Average Annual Contributions: | | Total Contributions Retained by UTILITY : | |
| Amount Carried Over from Previous Cycle: | | Amount Pre-Funded by UTILITY : | |
| Amount to be Deposited: | Deposit Frequency: <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually | Date of Deposits: | |

PAYEE INFORMATION

| | | | |
|--|--------|---------------------------------------|--------|
| <input type="checkbox"/> The Payee is designated as the Customer identified on page 1 of this Application. (If checked, no further information is necessary) | | | |
| <input type="checkbox"/> The Payee is designated as the Applicant identified on page 1 of this Application. (Signature required below) | | | |
| <input type="checkbox"/> The Payee is designated as the Payee below. (Signature required below) | | | |
| Payee Name: | | Contact Name (if Payee is an entity): | |
| Address 1: | | Contact Title: | |
| Address 2: | | Daytime Phone: | |
| City: | State: | Zip Code: | Email: |

CUSTOMER ASSIGNMENT OF RIGHTS TO ESA FUNDS

*(Required to be completed only if **UTILITY** is authorized to issue the ESA funds to an individual or entity other than the Customer.)*

I hereby assign any right, title, or interest that I may have in the funds contained in the Energy Savings Account ("ESA") to the Applicant identified on page 1 of this Application.

I hereby assign any right, title, or interest that I may have in the funds contained in the Energy Savings Account ("ESA") to the Payee identified above.

| | | |
|--|---------------------------|--------------------|
| Account Holder Name and Title (print): | Account Holder Signature: | Date (MM/DD/YYYY): |
|--|---------------------------|--------------------|

REPORTING REQUIREMENTS

UTILITY will provide the Self-Direct Program Participant with a report on the balance of the Customer's ESA on a quarterly basis. The first quarterly report will be provided to the Applicant thirty (30) calendar days following the end of the first quarter of the Program year.

| | | | |
|-----------------|---------------|-----------------|-------------------|
| (Utility Phone) | (Utility Fax) | (Utility Email) | (Utility Website) |
|-----------------|---------------|-----------------|-------------------|

Self-Direct Program Application Appendix C: Customer Withdrawal Form

WITHDRAWAL FROM SELF-DIRECT PROGRAM

Participants desiring to withdraw from the Self-Direct Program must do so by completing and submitting the following notice to **UTILITY** in the second quarter of any year during the Program Cycle. Such withdrawal shall become effective at the beginning of the following year, or the date upon which the Customer's contributions to the ESA match the amount that the Customer has withdrawn for payment, whichever is later. Upon the withdrawal becoming effective, the balance of the Customer's ESA will be retained by **UTILITY** and included in the Self-Direct Competitive Cycle. Customers who withdraw during the current Self-Direct Program Cycle will be ineligible to participate in the next Self-Direct Program Cycle. Once the withdrawal from the Self-Direct Program becomes effective, the Customer will become eligible for participation in the other **UTILITY** energy efficiency programs.

REQUEST TO WITHDRAW

I hereby withdraw from the Self-Direct Program and agree to release the balance of my assigned ESA funds to **UTILITY**

| | | |
|--------------------------------|-----------------------------|---------------------------|
| Customer Name (print): | Customer Signature: | Date (MM/DD/YYYY): |
| Applicant Name (print): | Applicant Signature: | Date (MM/DD/YYYY): |

EFFECTIVE DATE OF WITHDRAWAL (to be completed by **UTILITY**):

Customer contributions to the respective ESA will be greater than or equal to payments made from the ESA as of January 1 following withdrawal request.

| | |
|------------------------------------|--|
| Date Received (MM/DD/YYYY): | Effective Date of Withdrawal: January 1, _____ |
|------------------------------------|--|

Customer contributions to the assigned ESA are expected to be less than payments made from the ESA as of January 1 following withdrawal request.

| | |
|---|--------------------------------------|
| Estimated Date of Final Contribution to ESA: | Effective Date of Withdrawal: |
|---|--------------------------------------|

| | | | |
|------------------------|----------------------|------------------------|--------------------------|
| (Utility Phone) | (Utility Fax) | (Utility Email) | (Utility Website) |
|------------------------|----------------------|------------------------|--------------------------|

Self-Direct Project Plan

DATE OF PROJECT PLAN

Date Submitted (MM/DD/YYYY):

Date Received (to be completed by **UTILITY**):

ELIGIBILITY SUMMARY

This Self-Direct Program Project Plan (this "Project Plan") provides a template to collect energy efficiency project and equipment information and specifications and may only be submitted after **UTILITY** has approved a Self-Direct Program Application. After **UTILITY** approves a Self-Direct Program Application, a participant may submit a Project Plan at any time during the Program Cycle.

The Self-Direct Program applies solely to new energy efficiency projects. Energy efficiency projects must achieve savings at or below the committed dollar-per-MWh, which is determined during the time of enrollment, and pass the benefit-cost criteria to be considered eligible. Energy efficiency projects that have already commenced or been completed prior to approval of this Project Plan are not eligible. **UTILITY** approval of this Project Plan is required prior to the purchase of equipment or commencement of energy efficiency project work and before submitting any request to withdraw funds from the Energy Savings Account ("ESA").

Once an approved project has been completed, the Participant must complete and submit to **UTILITY** "Appendix 1: Project Completion Notice."

CUSTOMER INFORMATION

Customer Name (as shown on electric bill):

Federal Tax ID Number:

UTILITY Account Number:

Multiple Accounts: Check this box if the proposed project is being applied to more than one account. Appendix A: Multiple Accounts Template submitted with the enrollment Application must be updated to reflect enrolled accounts affected by this Project Plan.

Contact Name:

Daytime Phone:

Service Address:

Fax:

Address 2:

Email:

City:

State:

Zip Code:

Company Type:

- Individual/Sole Proprietor
 Limited Liability Company
 Partnership

- Corporation
 Other

- Exempt Payee (W-9 must be attached)
 Enter the tax classification (D = entity, C = Corporation,
 P= Partnership): _____

APPLICANT INFORMATION

Check if Applicant is the same as Customer. If checked, Applicant Information is not needed.

Applicant/Company Name:

Contact Name:

Address 1:

Contact Title:

Address 2:

Daytime Phone:

City:

State:

Zip Code:

Fax:

Relationship to Customer:

Email:

(Utility Phone)

(Utility Fax)

(Utility Email)

(Utility Website)

Self-Direct Project Plan

PROJECT DESCRIPTION

Energy efficiency measure categories to be included:

| | | |
|--|--|--|
| <input type="checkbox"/> Lighting | <input type="checkbox"/> HVAC/Chiller | <input type="checkbox"/> Building Management Systems/Controls |
| <input type="checkbox"/> Process Efficiency | <input type="checkbox"/> Non-electric Cooling | <input type="checkbox"/> Demand Response (DR) Enablement (excluding generation and energy storage) |
| <input type="checkbox"/> Process Support Systems | <input type="checkbox"/> Other (please specify): _____ | |

General description of energy efficiency project, including operating schedules and parameters *(attach additional sheets if necessary):*

PROPOSED EQUIPMENT AND MATERIALS

Detailed description of proposed equipment and operations to be included in energy efficiency project, including controls and sequencing information and load data where applicable. Please also provide information on each measure's expected useful life. Please provide any cut sheets for materials or performance ratings (BHP, CFM, kW, etc.) or provide nameplate data if cut sheets are unavailable. Attach additional sheets if necessary.

PROPOSED FEASIBILITY STUDIES

Detailed description of proposed feasibility studies being conducted to inform project specifications, including timelines and scope. These studies may include technical assessments, engineering studies, or energy audits paid for by the Customer. Attach additional sheets if necessary.

| | | | |
|------------------------|----------------------|------------------------|--------------------------|
| (Utility Phone) | (Utility Fax) | (Utility Email) | (Utility Website) |
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Self-Direct Project Plan

ACCOUNT SAVINGS CALCULATIONS

Please show any calculations used to determine electricity savings, including existing and proposed consumption (kWh), at the account level. This shall be broken down into appropriate electric time-of-day rate categories, if applicable, to determine average \$/kWh saved.

All engineering formulas and documentation of all factors, values, assumptions shall be provided, and any spreadsheets (Excel preferred) must be submitted showing all energy and demand savings calculations. Only energy modeling software approved by **UTILITY** as part of the measurement and verification methodology below may be used to determine savings, and both input and output data from the model shall be provided. Attach additional sheets if necessary.

| | |
|--|---------------------------------------|
| Estimated Annual Energy Savings (kWh): | Estimated Peak Demand Reduction (kW): |
|--|---------------------------------------|

Peak demand reduction is for the summer peak kW savings that occurs during summer peak load conditions. It is calculated as the demand savings during the hottest weekday non-holiday hour between **XX** pm and **XX** pm in the months of **June** through **September**.

Demand reductions may be reflected in the **UTILITY**-performed benefit-cost analysis, but will not be counted for purposes of establishing the cost requirements for the Self-Direct Program.

NON-ELECTRIC BENEFITS AND EFFECTS

Installing the proposed measure may result in significant savings or possibly increased costs for the Customer beyond electric savings. Examples include water, sewer, fossil fuel, and labor costs. Please provide information regarding these effects below and indicate whether the effect results in savings or in added cost:

| | |
|---|---|
| <p>Gas- Space Heating (MMBtu): _____ therms <input type="checkbox"/> Savings <input type="checkbox"/> Added Usage</p> | <p>Wastewater (Sewer): _____ gallons <input type="checkbox"/> Savings <input type="checkbox"/> Added Usage</p> |
| <p>Gas Non Heating (MMBtu): _____ therms <input type="checkbox"/> Savings <input type="checkbox"/> Added Usage</p> | <p>O&M (\$/year) (Labor & Materials): \$ _____ <input type="checkbox"/> Savings <input type="checkbox"/> Added Cost</p> |
| <p>Oil (MMBtu): _____ gallons <input type="checkbox"/> Savings <input type="checkbox"/> Added Usage</p> | <p>Site Environmental: \$ _____ <input type="checkbox"/> Savings <input type="checkbox"/> Added Cost</p> |
| <p>Water: _____ gallons <input type="checkbox"/> Savings <input type="checkbox"/> Added Usage</p> | <p>Other: _____ <input type="checkbox"/> Benefit <input type="checkbox"/> Detriment</p> |

| | | | |
|------------------------|----------------------|------------------------|--------------------------|
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Self-Direct Project Plan

| EXPECTED COSTS | | |
|---|---|--|
| Total Energy Efficiency Project Cost includes the total cost of the project being proposed as part of this Project Plan, including all equipment, materials, studies, labor, and any other costs which the Customer incurs for this project. | Estimated Total Energy Efficiency Project Cost: | |
| Total Material Cost includes the cost of any equipment or materials purchased to be installed as part of the proposed project. If existing equipment is to be modified, the cost to do so should be reflected in this field. Please exclude sales tax. | Estimated Total Material Cost: | |
| Sales Tax may be estimated for the equipment and materials purchased as part of this project. Sales tax is eligible for reimbursement from the ESA. | Estimated Sales Tax: | |
| Feasibility Studies Cost includes the cost incurred by the Customer for technical assessments, engineering studies, or energy audits used to inform project specifications. | Estimated Feasibility Studies Cost: | |
| Internal Labor Cost includes an estimate of the cost of internal labor attributed to the completion of this project. | Estimated Internal Labor Cost: | |
| External Labor Cost includes costs incurred by the Customer for the installation of equipment and materials by external contractors, for which the Customer was invoiced. | Estimated External Labor Cost: | |
| <i>Please provide back-up documentation for all material and labor costs, broken down by major pieces of equipment and project components.</i> | | |
| Salvage/Resale Value of existing equipment should reflect the estimated market rate value attributed to the salvaging or resale of existing equipment being replaced or removed as part of this project. | Estimated Salvage/Resale Value: | |
| Contributions from the ESA may be applied towards eligible costs for the purchase and installation of equipment and materials. | Total Contributions Expected from ESA: | |
| Other Fund Sources may be used to cover costs not covered by the ESA, and such sources should be identified below. | Total Contributions from Other Fund Sources: | |
| <input type="checkbox"/> Internal Capital \$ _____ | <input type="checkbox"/> Federal Loans/Grants \$ _____ | <input type="checkbox"/> NYSERDA-Administered Funding Source \$ _____ |
| <input type="checkbox"/> Other (please specify) _____ | | \$ _____ |

| EXPECTED CUSTOMER COST PER MWH (to be completed by UTILITY) | |
|---|---|
| This amount should be copied from "Expected Costs" table on page 5 of this Project Plan. | Total Contributions Expected from ESA: |
| This amount should be taken from "Account Savings Calculation" on page 4 of this Project Plan. A conversion may be needed calculate savings into MWh for this field. | Estimated Annual Energy Savings (MWh): |
| This amount should be calculated as the Total Contributions Expected from ESA divided by the Estimated Annual Energy Savings. | Estimated Project Cost per MWh: |
| Customer energy efficiency projects must not exceed the cost per MWh approved in the Self-Direct Program Application. This amount should be copied from "Acknowledgment of Cost Requirements" on page 2 of the Self-Direct Program Application. | Customer Committed Cost per MWh: \$ _____ per MWh |

| | | | |
|------------------------|----------------------|------------------------|--------------------------|
| (Utility Phone) | (Utility Fax) | (Utility Email) | (Utility Website) |
|------------------------|----------------------|------------------------|--------------------------|

Self-Direct Project Plan

REPORTING REQUIREMENTS

Participants in the Self-Direct Program are required to provide quarterly reports to **UTILITY** on progress towards the energy efficiency project milestones. At a minimum, these quarterly reports must include:

- Progress toward project milestones
- Funds expended to date
- Funds submitted for reimbursement from ESA
- Funds received from other sources and applied towards project cost
- Savings acquired to date

SCHEDULE FOR COMPLETION AND PROJECT MILESTONES

| | |
|--|---|
| Estimated Start Date (MM/YYYY): | Estimated Completion Date (MM/YYYY): |
| <p>Please provide any schedules or milestones in order to complete the project <i>(attach additional sheets if necessary)</i>:</p> | |

INSTALLATION CONTRACTOR INFORMATION

| | |
|--|----------------------|
| Installation Performed By: <input type="checkbox"/> Customer <input type="checkbox"/> Installation Contractor (Vendor) | |
| Installation Company Name: | Address 1: |
| Contact Name: | Address 2: |
| Email Address: | Phone Number: |

EQUIPMENT VENDOR INFORMATION:

| | |
|-------------------------------|----------------------|
| Equipment Vendor Name: | Address 1: |
| Contact Name: | Address 2: |
| Email Address: | Phone Number: |

| | | | |
|------------------------|----------------------|------------------------|--------------------------|
| (Utility Phone) | (Utility Fax) | (Utility Email) | (Utility Website) |
|------------------------|----------------------|------------------------|--------------------------|

Self-Direct Project Plan

MEASUREMENT AND VERIFICATION

Participants in the Self-Direct Program are required to undergo measurement and verification (“M&V”) of energy efficiency measure installation and project savings, to be performed by **UTILITY** or a third party contractor. The Participant and **UTILITY** may develop the M&V approach based on project-specific requirements and operations cycles, and the mutually acceptable approach shall be identified below. Approval of this Project Plan shall constitute approval of the proposed M&V methodology, and a Participant may not deviate from the approved M&V methodology without written approval by **UTILITY**. A portion of the eligible project costs will be withheld from deposit into the Customer’s ESA until the final M&V is conducted upon project completion.

M&V METHODOLOGY

PRE-INSPECTION (to be completed by **UTILITY or third party contractor, after acceptance of Project Plan)**

| | |
|-------------------------|--------------------------------|
| Date of Pre-Inspection: | Inspector Name: |
| Inspector Signature: | Inspector Company Affiliation: |
| Company Address: | Contact Phone Number: |
| Notes: | |

POST-INSPECTION (to be completed by **UTILITY or third party contractor, after completion of project)**

| | |
|--------------------------|--------------------------------|
| Date of Post-Inspection: | Inspector Name: |
| Inspector Signature: | Inspector Company Affiliation: |
| Company Address: | Contact Phone Number: |
| Notes: | |

ESA FUNDS TO BE RETAINED FOR THIS PROJECT (to be completed by **UTILITY)**

Upon **UTILITY** approval of this Project Plan, an updated Self-Direct Program Application – Appendix B: ESA Schedule of Deposits should be submitted by the Customer to **UTILITY** for approval.

| | |
|---|--|
| Estimated Total Contributions from ESA towards Project: \$ _____ | Amount of ESA Contributions Retained by UTILITY until Final M&V is completed: \$ _____ |
|---|--|

| | | | |
|------------------------|----------------------|------------------------|--------------------------|
| (Utility Phone) | (Utility Fax) | (Utility Email) | (Utility Website) |
|------------------------|----------------------|------------------------|--------------------------|

Self-Direct Project Plan

| FORM COMPLETED BY | |
|-------------------|--|
| Name: | Affiliation (Customer or Applicant) and Title: |
| Phone Number: | Email Address: |

| AGREEMENT AND SIGNATURE | | |
|--|----------------------|-------|
| I certify that all statements made in this Project Plan and required documents provided are true and correct to the best of my knowledge. I agree to the terms and conditions of the Self-Direct Program set forth in this Project Plan. A signature is required from the UTILITY Account Holder and the Applicant, if different. | | |
| Customer Name (print): | Customer Signature: | Date: |
| Applicant Name (print): | Applicant Signature: | Date: |

| ACCOUNT HOLDER AGREEMENT AND SIGNATURE FOR RELEASE OF CUSTOMER INFORMATION | | |
|---|---------------------------|-------|
| <input type="checkbox"/> I hereby authorize UTILITY and its agents the right to review all energy efficiency project data and grant access to the UTILITY and its agents to perform on-site inspections and measurements, as necessary, to verify measure installation and performance, operating parameters, and cost documentation. | | |
| Customer Name and Title (print): | Account Holder Signature: | Date: |

| UTILITY APPROVAL OF PROJECT PLAN (to be completed by UTILITY) | |
|---|--|
| Project Tracking Number, if applicable: | UTILITY Representative Name: |
| UTILITY Representative Phone Number: | UTILITY Representative Title: |
| Approval Date: | UTILITY Representative Signature: |

| | | | |
|------------------------|----------------------|------------------------|--------------------------|
| (Utility Phone) | (Utility Fax) | (Utility Email) | (Utility Website) |
|------------------------|----------------------|------------------------|--------------------------|

Self-Direct Project Plan

Appendix 1: Project Completion Notice

PROJECT COMPLETION

This notice is to be submitted to **UTILITY** upon completion of the energy efficiency project identified in this Project Plan.

PROJECT INFORMATION

| | |
|---|-------------------------------|
| Project Completion Date (MM/DD/YY): | |
| Please detail all energy efficiency measures installed as a part of this project: | |
| Please detail all M&V methodology utilized for this project to date, and please attach any M&V reports: | |
| Total Project Costs: | Total Savings Achieved (MWh): |

AGREEMENT AND SIGNATURE

I certify that all statements made in this Project Plan and required documents provided are true and correct to the best of my knowledge. I agree to the terms and conditions of the Self-Direct Program set forth in this Project Plan. **A signature is required from the **UTILITY** Account Holder and the Applicant, if different.**

| | | |
|-------------------------|----------------------|-------|
| Customer Name (print): | Customer Signature: | Date: |
| Applicant Name (print): | Applicant Signature: | Date: |

UTILITY ACKNOWLEDGMENT OF COMPLETION (to be completed by **UTILITY)**

| | | | |
|--|---------------------------------|---|--|
| M&V Process Complete: <input type="checkbox"/> Yes | | Verified Achieved Electric Savings (MWh): | |
| Date Completed (MM/DD/YYYY): _____ | | | |
| Total Contributions from ESA to Date: | Final ESA Payment to be Issued: | Final Project Cost per MWh Achieved: | |
| \$ _____ | \$ _____ | \$ _____ / MWh | |
| UTILITY Representative Name: | | UTILITY Representative Title: | |
| Approval Date: | | UTILITY Representative Signature: | |

| | | | |
|------------------------|----------------------|------------------------|--------------------------|
| (Utility Phone) | (Utility Fax) | (Utility Email) | (Utility Website) |
|------------------------|----------------------|------------------------|--------------------------|