APPLICATION FOR TECHNICAL ASSISTANCE

PROGRAM CONTACT INFORMATION

Progress Energy Carolinas

ENERGY EFFICIENCY FOR BUSINESS

INCENTIVE PROGRAM

Visit our website

http://progress-energy.com/carolinasBusiness

or

Call our program hotline

866.326.6059

or

Contact your Progress Energy Account Executive (if applicable)

Pre-approval Application and Final Application can be submitted via:

FAX: 1.919.573.6942 or toll free 1.877.607.0746

EMAIL: carolinasBusiness@us.kema.com

MAIL: Energy Efficiency for Business
3605 Glenwood Avenue, Suite 435
Raleigh, NC 27612

Energy Efficiency for Business Incentive Application - Technical Assistance

Important: Please read the Terms and Conditions before signing and submitting this application.

You must complete all information and provide required additional documentation to avoid processing delays. For help in completing these forms and with the overall process, please refer to the Instructions Page.

How did you hear about the program?

- ☐ Progress Energy website
- ☐ Progress Energy Account Executive
- ☐ Trade Ally
- ☐ Organization/Trade association
- ☐ Email
- ☐ Other

Customer Information

Indicate Application Type: (Pre-approval or Final) ☐ Pre-Approval ☐ Final

Name of Organization:	Project Name:
PEC account number:	Name as it appears on PEC account:
Taxpayer ID # (SSN/FEIN):	Tax Status: (Corp, Exempt, Other)
Contact Person:	Contact Title:
Contact Phone Number:	Contact Email Address:
Installation Address:	Mailing Address: (if different than installation address)
City, State, Zip	City, State, Zip
Business Type:	Building Sq. Footage:

Incentives Requested

Measure	Incentive Amount	Project Description
Retrofit Incentive		
New Construction Incentive		

Customer Signature

I agree to abide by the Program terms and conditions on page 3. I certify that the information on this application is true and accurate. By submitting this application, I authorize Progress Energy and their third party vendor to utilize my account information and personal data. I understand this information is confidential and will only be used to evaluate my application for compliance with Program Policies and Procedures. North Carolina Utilities Commission Rule R8-69(e) allows customers with annual consumption of 1,000,000 kWh or greater in the previous calendar year and all industrial customers to opt-out of utility-offered DSM/EE programs and, after written notification to the utility, not be subject to the DSM/EE Adjustment (Rate and EMF) included in the Rider BA. By submitting this application, I hereby acknowledge that I shall no longer be eligible for the exemption for 10 years on the accounts listed above.

The Program and associated incentive payments by Progress Energy are for the purpose of Progress Energy achieving its compliance and reporting requirements. The Applicant acknowledges that the incentive payment is an essential determination in Applicant's decision to participate in the Program. In consideration of the incentive payment and other benefits to Applicant, Applicant transfers (and Progress Energy retains) any and all environmental, energy efficiency, and demand reduction benefits and attributes, including all reporting and compliance rights, associated with Applicant's participation in the Program.

Progress Energy Customer Signature | **Total Incentive Requested**

Print Customer Name | **Total Project Cost**

Signature Date | **Project Completion Date**

*Reference *Energy Efficiency for Business* Program Policy and Procedures Manual for documentation requirements.

Terms and Conditions

General Terms and Conditions

1. Facility must be a retail customer of Progress Energy Carolinas, Inc. ("PEC" or "Progress Energy").
2. New Equipment must be installed in the facility and must not be purchased for resale.
3. Itemized and dated receipts along with proof of payment must accompany Final Application.
4. PEC reserves the right to require inspections and/or monitoring of the installation of Equipment listed on Application Form (hereinafter "Project") to verify compliance with the Energy Efficiency for Business Program as filed with the NC Utilities Commission in docket E2, sub 938 (hereinafter "Program") rules, verify the accuracy of project documentation, and verify Equipment/system performance.
5. Customer must allow access to records and installation sites for a period of five (5) years after receipt of incentive payment.
6. The Project must involve a facility improvement that results in improved energy efficiency.
7. Equipment replaced must be removed from service and the resale market and disposed properly.
8. PEC does not guarantee the energy savings and does not make any warranties associated with the measures eligible for incentives under this Program.
9. PEC has no obligations regarding and does not endorse or guarantee any claims, promises, work, or equipment made, performed, or furnished by any contractors or equipment vendors that sell or install any energy efficiency measures.
10. The Program may be modified or terminated without prior notice.
11. Final Application and all required documentation must be received by PEC within 90 days of project completion. All equipment must be purchased and installed prior to submitting the Final Application.
12. Final Applications and all required supporting documentation should be received by no later than February 28th of the year following the year the application was submitted.
13. Customer must comply with requirements stated in the *Energy Efficiency for Business* Policy and Procedures manual.

Specific Terms and Conditions

1. Incentive amount for Custom Measures cannot exceed 75 percent of the incremental measure cost.
2. Custom measures are required to meet PEC cost-effective requirements for an incentive.
3. Financial incentives will be limited based on the following tiers:

Tier	Incentive Dollar Potential	% Earned Amount
Tier 1	up to $100,000	100
Tier 2	Between $100,001 and $500,000	50
Tier 3	Between $500,001 and $1,000,000	25
Tier 4	Over $1,000,000	10

4. PEC will make the final determination of incentive levels for this Project and based on the Final Application documentation.
5. Upon the occurrence of either of the following events, PEC may request from the Customer and the Customer shall pay to PEC within thirty (30) days of PEC's request, a refund of requested incentive monies paid from PEC to the Customer:
   a. The Customer does not install the equipment identified in this project ; or
   b. The Customer removes the equipment identified in this project before the earlier of five (5) years from the date of equipment installation or the end of the equipment life; or
   c. If upon any sale, lease or other disposition by the Customer, of the facility/property listed on the Application Form upon which the equipment is located or installed the Customer does not secure an agreement transferring all Agreement related rights, obligations and liabilities (including payment obligations of the DSM/EE adjustments under Rider BA-1, or any other applicable Rider) and including Program participation to the buyer of the property upon which the equipment is located or installed.

In the event PEC requests a refund, PEC's refund will be a prorated amount of all incentive funds originally provided by PEC to the Customer based on: i) the actual period of time in which the related equipment was installed and operating; or ii) the full amount of originally provided incentive funds from PEC to the Customer, if the equipment was never installed.

Payment Release Authorization (OPTIONAL)

Complete this section **ONLY** if incentive payment is to be paid to an entity other than the Progress Energy customer (listed on the application information).

I am authorizing the payment of the incentive to the third party named below and I understand that I will not be receiving the incentive payment from Progress Energy. I also understand that my release of the payment to a third party does not exempt me from the program requirements outlined in the Measure Specifications and Terms & Conditions.

Authorized by:

Customer Signature (Progress Energy Customer)	**Print Name**	**Date**

Check should be made payable to:

Payee: Company/Individual Name			
Mailing Address			
City, State, Zip			
Telephone #			
Taxpayer ID Number (SSN#/FEIN of Payee)		**Tax Status (Corp, Exempt, Other)**	

I agree to abide by the program terms and conditions. I certify that the information on this application is true and accurate.

Third Party Payee Signature	**Print Name**	**Date**

APPLICATION INSTRUCTIONS

Introduction

The Energy Efficiency for Business Program provides incentives to non-residential customers of Progress Energy Carolinas to purchase and install equipment and/or systems that result in a reduction of electrical energy for a facility, as measured in kWh at the meter. These instructions provide basic guidance on the completion and submittal of the appropriate documents necessary for the review and approval by Program personnel. Applicants are urged to download and review the Policy and Procedures Manual, located at:
http://www.progress-energy.com/custservice/carbusiness/efficiency/programs/eebiz/CIG_Policies_Procedures.pdf
for complete details on the requirements of the program. Applicants may also contact Program personnel toll free at 1-866-326-6059, or by email at carolinasBusiness@us.kema.com for more information.

Program Eligibility

The program is available to applicants that purchase qualified energy efficiency measures and have these measures installed in a facility or campus that receives electric distribution services from Progress Energy Carolinas. The facility must have at least one meter on one of the following non-residential rate schedules: SGS, SGS-TOU, MGS, SI, CH-TOUE, GS-TES, APH-TES, LGS, LGS-TOU, LGE-RTP, CSG or CSE.

Technical Assistance incentive payments for retrofit projects are capped as described in **Section 6.3** of the Policy and Procedure Manual. To qualify, facilities must use at least 500,000 kWh per year. For retrofit customers the incentive is capped at 50% of feasibility study or retro commissioning costs. PEC will pay a maximum of $10,000 for those customers whose use falls between 500,000 kWh and 2 million kWh and $20,000 for larger use customers. Technical Assistance incentive payments for new construction projects are capped as described in **Section 7.4** of the Policy and Procedure Manual**.** The new construction facility must have 20,000 ft^2 or more to qualify for the Building modeling or Design Assistance incentive.

Overall Process

Applicants must provide application forms and other documentation to Program personnel that meet the requirements of the Program to qualify for an incentive.   The basic documentation to be provided for most applications would be a completed "Application Agreement" form, completed worksheet(s) showing the study objectives, description of tasks performed and/or a description of the Bulding Energy Model run, and also a copy of the proposal associated with the techincal assistance. For Final applciations, we will also need a copy of a final invoice that shows the work performed, along with documentation of the service provided. Once the Final submittal application and documents have been reviewed and approved by Program personnel, the incentive check is mailed, usually within 6 - 8 weeks. The following sections provide more details on the overall process of submitting an application.

Pre-approval required

1) Submit an Application Agreement form, noted as "Pre Approval", along with applicable documentation, which would include may include the study proposal or related engineering submittals.
2) Program personnel may inspect facility provide approval.
3) Obtain a funding reservation letter.
4) Perform work detailed in application.
5) Submit an Application Agreement form, noted as "Final", along with applicable documentation, and copies of invoices showing work performed. Post inspection may be required.
6) Receive incentive payment 6 - 8 weeks after final approval.

Pre Approval Application

The Pre-Approval Application consists of an Application Agreement form, marked as "Pre-Approval", either the Retrofit or New Construction worksheet, and applicable documentation, which may include the study proposal or related engineering submittals.   Project personnel reviewing the application may request more information as needed to process the project.

For Retrofit assistance, project personnel may contact the Contractor, or Owner's representative (as noted on the form) to arrange for a site visit to inspect existing conditions, and to confirm the equipment and conditions prior to approving the request.

Technical Assistance applications require Pre-approval to allow for Program personnel to verify existing equipment and other baseline conditions. Failure to submit a pre-approval agreement when required may result in disqualification.

APPLICATION INSTRUCTIONS

Funding Reservation Letter

Applicants that submit a Pre-Approval application will receive a Funding Reservation Letter that the proposed measures are likely to qualify for an incentive and that funding for the incentive is currently available. The Funding Reservation Letter may contain various conditions such as a maximum incentive amount and a time limit to complete the project. The Funding Reservation Letter simply reserves funding for the applicant. The letter does NOT guarantee, in any manner, that the proposed measures will be eligible for an incentive or that a specific incentive amount is promised. The eligibility of each measure and the amount of incentive will be determined only after the Project Final Application is submitted.

Final Application

The Project Final Application consists of an Application Agreement form, marked "Final", either the Retrofit or New Construction worksheet, and copies of invoices showing the work performed as part of the project. The Application Agreement Form must also include a Third Party Incentive Authorization form when the applicant has directed the incentive check to be sent to a third party.

A Federal W-9 form must be included with the Final Application.

The Final Application should be submitted within 90 days after the study is completed or, for new construction, construction is completed. Failure to submit within 90 days could result in disqualification for the incentive.

Program personnel may request documentation from the applicant to verify measure eligibility and costs. Applicant should be prepared to provide copies of a final invoice that provides sufficient itemization to assess the work performed and the amount paid for the work performed. Applicant should also provide copies of any studies or submittals related to the application. Applicant should also expect to provide documentation on assumptions and calculation methods used to estimate savings for projects. Program personnel reserve the right to request additional documentation as deemed necessary to verify eligibility, costs, and estimated savings.

Application Tips

The following tips may assist in the review and approval of the application:

1) Provide W-9 form.
2) Customer signature must be on pre-approval and final approval application forms.
3) Provide applicable calculations to document energy savings.
4) Ensure all entries are legible, and required entries in the forms have been completed.
5) If using the Microsoft Excel version of the application form, note that you can access the various forms by clicking on the worksheet tabs at the bottom of the window. You do not need to print or forward any worksheets that do not apply to the project.
6) Review the Checklist provided below prior to submitting an application to insure that the application is complete and ready for review.
7) Ensure that the Owner has read and understands the "Terms and Conditions" associated with the application before submittal.

APPLICATION INSTRUCTIONS

Checklist

APPLICANT INFORMATION FORM

Incentive Check Information

□ Customer name matches the name that appears on the Progress Energy bill.
□ Progress Energy account number is complete and accurate. (Note: New Construction account information may not be available for Pre-approval application, but is required for the final application.)
□ Taxpayer ID is complete and accurate.
□ IRS W-9 Form completed.

Contractor Information

□ Full contact information for project contractor is provided. (We may need to contact your contractor to verify project details.)

Third Party Payment Release

□ If the customer wishes to have the rebate check sent to a third party, the Payment Release Authorization needs to be completed, signed and return with application.

STEPS FOR SUBMITTING APPLICATION FORMS

Applicants who submit incomplete applications will be notified of deficiencies and will lose their position in the review process until all requested information is received. Incentives cannot be processed for payment until the complete application and all required documentation is received and approved.

□ Submit the Pre-Approval Application. Select the "Pre-Approval" label from the list at the top of the Application Ageement Worksheet.
□ Make sure the applicable incentive worksheet is completed for each applicable measure.

□ Submit the Final Application with all required documentation within 90 days of project completion. Project documentation includes copies of all itemized, paid invoices and receipts, which detail the services provided and other costs. An updated copy of the Pre-Notification Application can be submitted with “Final Application” selected at the top. Applications submitted after six months will be ineligible for payment.

TERMS & CONDITIONS OF APPLICATION

□ Customer has read and agrees with the Terms and Conditions of the Energy Efficiency for Business Program.
□ If customer has agreed to release the incentive check to a third party, they too have read and agree to the terms and conditions of the Energy Efficiency for Business Program.

AGREEMENT FORM

□ The customer has signed, dated, and filled in all sections of the Application Agreement in the Customer Signature section.

ADDITIONAL DOCUMENTATION

Invoices

□ Invoices, contracts, agreements, purchase orders, or work orders are dated after April 21, 2009.
□ The installation address is listed on the invoice and is that of the eligible Progress Energy customer listed on the application form.
□ The invoice is itemized to list service(s) provided.
□ Invoice indicates that it has been paid by the customer (e.g., show zero balance due, stamped paid, or check number and paid date are all included).

Retrofit Technical Assistance Worksheet

Study Type (check one)	**Existing Buildings** ☐ **Feasibility** ☐ **Retro-Commissioning**		
Study Objective (Briefly Describe Project)			
End Uses Analyzed			
Study Contract Date		**Completion Date**	

List of Major Tasks to be performed as part of the study

#	Task (provide a brief description for each task)	Cost per task
1		
2		
3		
4		
5		
6		
7		
8		

Annual kWh		**Total Study Cost:**	
		Incentive - 50% of Study Cost:	

For retrofit technical assistance the incentive is capped at 50% of feasibility study or retro commissioning costs for facilities with annual energy use > 500,000 kWh. PEC will pay a maximum of $10,000 for those facilities whose annual usage falls between 500,000 kWh and 2 million kWh and $20,000 for larger facilities.

Note: Please attach all available supporting documentation.

Contractor Information

Contracting Company:	
Contact Person:	
Email Address:	
Phone Number:	
Address:	
City, State, Zip:	

New Construction Technical Assistance Worksheet

Study Type (Check Appropriate Box)	**New Construction/Major Renovation** ☐ **Design Incentive** ☐ **Building Energy Model**
Study Objective (Briefly Describe Project)	
End Uses Analyzed	

Study Contract Date		**Completion Date**	

Design Incentive

Building Code (BC) Energy Usage (BTU) (A)	**Energy Usage As Built (BTU) (B)**	**Energy Saved Beyond BC (A-B)**	**% Difference from BC [(A-B)/A]*100**	
kWh Saved Beyond BC	**Square Feet**		**Incentive Total**	

#	**Building Energy Model** (provide a brief description for each model run)	**Cost per run**
1		
2		
3		
4		
	Total Study Cost	

New Construction Technical Assistance Total ☐

For new construction, the Facility must have 20,000 ft² to qualify for the Building modeling or Design Assistance incentive.
Note: Please attach all available supporting documentation.

Contractor Information

Contracting Company:	
Contact Person:	
Email Address:	
Phone Number:	
Address:	
City, State, Zip:	