



# Efficiency Maine Qualified Partner Manual PY2019



Supplement to RFP EM-009-2019

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## 1. INTRODUCTION

### 1.1. Efficiency Maine Trust

Efficiency Maine Trust (EMT) is the independent administrator for energy efficiency programs in Maine. Efficiency Maine's mission is to lower the cost and environmental impacts of energy in Maine by promoting cost-effective energy efficiency and alternative energy systems. Efficiency Maine does this primarily by providing incentives for the purchase of high-efficiency lights and equipment to help customers save electricity, natural gas and heating fuels throughout the state. Efficiency Maine is governed by a stakeholder Board of Trustees with oversight from the Maine Public Utilities Commission.

The purpose of the Trust is to help Maine's consumers meet their energy needs at the lowest cost by actively promoting investment in cost-effective energy and energy efficiency measures and systems that reduce overall energy costs for consumers in the State. As directed by Maine statute, the Trust also seeks to secure additional benefits from the procurement of these cost-effective resources, including:

- Reducing economic insecurity from overdependence on price-volatile fossil fuels;
- Increasing new jobs and business development to deliver affordable energy and energy efficiency products and services;
- Enhancing heating improvements for households that will increase comfort, improve indoor air quality, and reduce energy costs and the need for future fuel assistance; and
- Reducing greenhouse gas (GHG) emissions.

### 1.2. Leveraging the Private Sector

As noted above, an overarching purpose of the Trust is to reduce the energy costs of Maine's residential and non-residential customers to the maximum extent, consistent with the requirements of cost-effectiveness. A core priority of the Trust in pursuing that purpose is that its programs should leverage private sector activities in the free market. This means that, as much as possible, the Trust will design its programs so that marketing and installation of efficiency, conservation and alternative energy measures are incorporated into the normal, day-to-day activities of the existing supply chain comprising manufacturers, suppliers/distributors, vendors, architects and engineers, contractors (electricians, plumbers, heating technicians, builders), and retail stores. Leveraging the private sector entails taking maximum advantage of competition in the marketplace to push down prices of equipment and services. This approach has the added benefit of removing the Trust from "picking winners" in technology, fuel type, or service providers, leaving the outcome to the efforts of market players and the choices of customers.

This market-based approach also means that in most cases, the homeowner or business owner will bear ultimate responsibility for deciding what upgrades to install and which contractor to use, and for executing and paying for the transaction. The Trust's financial contribution takes the form of an incentive designed to move the customer from the status quo, or from purchasing the standard-efficiency model, to upgrading to a high efficiency model. The incentive is designed to cover a portion of the cost of the energy upgrade, and the balance of the project cost must be borne by the customer. Without this significant financial investment from the customers, the Trust's costs for harvesting cost-effective energy resources would be

greatly increased, the overall cost of delivering energy through utility systems would be considerably higher, and emissions of carbon and other air pollutants would rise.

### 1.3. Defining Commercial and Industrial Sectors

#### 1.3.1. Commercial Sectors

The commercial sector includes the following business segments:

- Auto Sales & Service
- Education
- Health Care
- Grocery
- Lodging
- Office
- Restaurant
- Retail
- Warehouse

#### 1.3.2. Industrial Sectors

The industrial sector, as defined in this program, comprises the following industrial segments:

- Manufacturing
  - Chemicals
  - Petroleum
  - Computers and Electronics
  - Food
  - Beverage
  - Textiles
  - Apparel
  - Wood
  - Metals
  - Paper
  - Plastics
- Mining
- Other Non-Manufacturing

#### 1.3.3. Program Eligibility

Eligible entities for participation in programs offered to the C&I sectors include:

- Businesses, for profit or nonprofit
- Industrial facilities
- Municipalities
- Schools and higher education facilities
- Apartment (Multifamily and Condominium) buildings with **five or more units** in a single structure
- Other non-residential facilities (i.e. licensed; bed & breakfast, nursing homes)

- Seasonal businesses may be eligible, but enrollments require pre-approval before any equipment is purchased

The following entities are not eligible for participation in programs offered to the C&I sectors include:

- Single-family homes
- Multifamily or Condominium buildings with **less than five units** in a single structure
- Home businesses
- Rental homes
- Non-permanent structures
- Facilities engaged in activity under the Maine Medical Use of Marijuana Act (MMUMA)
- Ductless mini-split heat pump installations for grow facilities

## 1.4. Overview of Efficiency Programs Available for the C&I Sector

### 1.4.1. Prescriptive Incentive Program

The Prescriptive Program provides C&I customers access to financial incentives for the installation of energy efficient equipment. The Program prioritizes energy efficient equipment that has practical applications across Maine and across the C&I sector. Application of a prescriptive approach helps to keep program costs low and makes it easier for contractors and customers to access the efficiency measures and associated benefits.

### 1.4.2. Distributor Discount Initiative

The Distributor Discount initiatives for Lighting, HVAC and Commercial Kitchen Solutions seeks to influence the stocking practice by providing the cost offset between a less efficient and the efficient product. Examples of products available include LED lamps, oil, propane, natural gas and compressed natural gas furnaces, boilers, unit heaters, and tankless water heaters as well as commercial kitchen equipment. The intent of the initiatives is to reduce the upfront cost barrier for customers, reduce paperwork for contractors, and promote higher efficiency equipment for quick turn-around projects.

Discounts offered through the initiatives will be provided at the point of sale directly through the participating equipment distributors. There are participating distributors that have entered into an agreement to offer the determined discounts. A full list of participating distributors is available on the QP website.

### 1.4.3. Small Business Initiative

The Small Business Initiative provides a suite of services and financial incentives that cater to the needs of eligible small businesses in targeted areas. For the purposes of this Initiative, small businesses are defined as Small General Service Customers with a monthly demand of 25kW or less. Small businesses traditionally have been underserved in Trust programs and in efficiency programs nationwide. The Program is designed to

overcome the unique barriers experienced by small businesses including the lack of time and expertise to analyze energy options in-house and the perceived hassle of making arrangements to purchase and install upgraded equipment. For businesses operating close to the line of profitability, investing in outsourced services to analyze options, provide advice, and general contracting of project management may seem like a luxury they cannot afford. Due to their relatively small size and lower energy use, these businesses tend to receive less attention from contractors and vendors seeking to develop new projects. This program endeavors to overcome these barriers by bringing information and technical support to the customer's doorstep, offering enhanced financial incentives (compared to the basic incentives of the Prescriptive Program), and scheduling and executing energy upgrades using the "direct install" approach.

#### **1.4.4. Custom Incentive Program**

The Custom Program for C&I customers is designed to overcome the barriers confronting Maine's businesses and institutions from making investments in complex, uncommon or novel energy efficiency and distributed generation projects. C&I customers comprise all non-residential customers, including municipal and institutional customers, as well as multifamily (or apartment) property owners.

The Custom Program will promote energy efficiency projects, in both the commercial buildings and industrial facilities, involving site-specific applications that require customized engineering analysis and/or projects contemplating energy conservation measures that are not covered in the prescriptive offerings.

## **2. QUALIFIED PARTNERS**

### **2.1. Efficiency Maine Trust**

As mentioned in section 1.2, the Trust seeks to leverage the private sector when implementing its programs so that marketing and installation of efficiency, conservation and alternative energy measures are incorporated into the normal, day-to-day activities of the existing supply chain comprising manufacturers, suppliers, vendors, architects and engineers, and contractors (electricians, plumbers, heating technicians, and builders). These trade allies, designated as Qualified Partners (QPs), are the backbone of the C&I programs and integral to the Trust's success in helping the C&I sectors reduce their energy consumption and save money.

### **2.2. How to Obtain Qualified Partner Designation**

To be designated a QP, an applicant must complete the mandatory introductory training in the format of online webinars and provide applicable documentation. Required documentation may include an application, proof of insurance, license information, or other information depending on the type of services that will be offered (described further below). Additional training will be provided as needed to ensure the proficiency of the Qualified Partner. All

materials suppliers and installers must be current Qualified Partners for eligible incentive enrollments. Both companies and individuals can be classified as a Qualified Partner; however, only those that have completed the QP training will have access to the effRT 2.0 database to submit enrollments.

### 2.2.1. Introductory Training

The purpose of the Introductory Training is to obtain the required information about the applicant and provide the necessary training that will provide information as it relates to the Efficiency Maine C&I Prescriptive Incentive Program. The process for obtaining QP designation is as follows:

- Applicant completes the online application available on the Efficiency Maine website and submits it to the Delivery Team Qualified Partner Administrator, along with all required documentation.
- Any applicant that will be installing equipment for customers are required to provide a Certificate of Comprehensive General Liability Insurance and a copy of all applicable licenses.
- Application is reviewed for completeness, and Applicant is sent an email with the “required” training materials.
- Once the training materials have been reviewed, the applicant completes the Proof of Completion form and emails it to Delivery Team Qualified Partner Administrator.
- If the applicant has fulfilled the training obligation:
  - Qualified Partner’s company information is added to effRT and a username is created for the individual that completed training.
  - Qualified Partner is sent an email with login information with the following attachments:
    - effRT User Guide
    - Helpful Hints document
    - Qualified Partner Certificate
- Qualified Partner’s company and individual information is added to the Qualified Partner Locator on the public website; this information is updated periodically.

### 2.2.2. Qualified Partner License Requirements

As mentioned above, if the applicant provides the services for the installation of equipment, proof of certification or licensing is required and applicable with Federal and State laws or rules. The chart on the below provides guidelines for the minimum QP license requirements for installing contractors:

Service Offering	Qualification(s)*
Lighting Solutions	<input type="checkbox"/> Electrician's Examining Board (Master Electrician)
Heating & Cooling Solutions – Electric (Heat Pumps)	<input type="checkbox"/> Environmental Protection Agency (EPA) Section 608, Type II or Universal Refrigerant Handling Certification
Heating Solutions – Natural Gas	<input type="checkbox"/> Maine Fuel Board License (Master or Journeyman, Propane and Natural Gas Technician)
Heating Solutions – Oil, Propane & Compressed NG	<input type="checkbox"/> Maine Fuel Board License (Master or Journeyman, Oil, Propane and Natural Gas Technician)
Compressed Air Solutions	<input type="checkbox"/> Electrician's Examining Board (Master Electrician)
Commercial Kitchen Solutions	<input type="checkbox"/> Electrician's Examining Board (Master Electrician)
Water Heating Solutions	<input type="checkbox"/> Maine Plumber's License (Master or Journeyman)
Agricultural Solutions	<input type="checkbox"/> Electrician's Examining Board (Master Electrician)
Auditor/Consultant	<input type="checkbox"/> Commercial Energy Auditor (CEA) <b>OR</b> <input type="checkbox"/> AEE Certified Energy Manager (CEM) <b>OR</b> <input type="checkbox"/> State of Maine licensed PE <b>OR</b> <input type="checkbox"/> NCQPL Lighting Certified Professional (LC)
Architectural/Engineering Firm	<input type="checkbox"/> State of Maine licensed Architect or PE

\* At least one employee or exclusive subcontractor must be qualified

### Table 2.1 – Qualified Partner Licensing Requirements

To be listed as an Energy Service Company, Energy Auditor/Consultant applicant must be certified as a Commercial Energy Auditor (CEA), Certified Energy Manager (CEM) through the Association of Energy Engineers (AEE), or a State of Maine licensed Professional Engineer (PE). For auditing services of a Multifamily (apartment) Building, the applicant shall possess one or more of the above certification designation **or** the certification of Multifamily Building Analysis through Building Performance Institute (BPI) is permitted.

For a company to be designated as an Architect/Engineering Firm, at least one individual must possess a professional license, i.e. architect license or Professional Engineer (PE).

### 2.3. Qualified Partner Expectations

In order to receive and maintain active status as a Qualified Partner in Efficiency Maine's C&I Prescriptive Incentive Program, all applicants must comply with the following:

- Complete a one-time mandatory new Qualified Partner Training (online webinar or electronic format).
- Participate in an annual C&I Program Certification webinar typically held in May and June.
- Meet certain minimum performance standards, as defined or which may be defined and measured by quality assurance surveys submitted by Efficiency Maine C&I Program participants.
- Maintain a valid email address and telephone number and be responsive to Efficiency Maine and program customers.

- Execute an agreement with Efficiency Maine that will include:
  - Commitment to meet certain minimum performance standards as required by the C&I Program and measured by quality assurance surveys submitted by Efficiency Maine C&I Program participants;
  - Agreement to be subject to any quality-control inspections that may be required by Efficiency Maine and to cooperate with inspections and verifications of Qualified Partner projects;
  - Agreement to maintain confidentiality of customer information;
  - Agreement to provide proof of \$1 million general liability insurance coverage;
  - Agreement to indemnify and hold Efficiency Maine harmless from any claims, costs, liability or damages arising from the Qualified Partner's acts or omissions.
- Agree to conduct business in an honest and ethical manner in the following areas:
  - Avoid conflicts of interest with all parties.
  - Comply with applicable law, ordinances, regulations and codes.
  - Fulfill contractual obligations.
- Conduct business in a manner that does not adversely affect Efficiency Maine's business, operations, reputation, or goodwill. This includes:
  - Respectful treatment of the customer's facility and property, including communication with the customer and Program implementation team and/or the Program Administrator when damage to the facility or property has occurred as a result of the Qualified Partner's acts or omissions.Truthfulness in all aspects of engagement with Efficiency Maine. This includes accuracy in all information provided to a customer and to Efficiency Maine, and truthful and accurate reporting on project completions, customer eligibility for a program incentive, accuracy in the attributed savings resulting from retrofits and installation, and complete and accurate information in program applications and reports.

#### 2.4. Qualified Partner Terms and Conditions

All applicants wishing to have the designation as a Qualified Partner must agree to the following terms and conditions:

- Applicant approval will be effective as of the date of an Application Approval Notice and Applicant shall abide and be bound by these Efficiency Maine Terms and Conditions, and any supplemental program-specific terms and conditions, in connection with participation or performance under any Efficiency Maine program. Efficiency Maine Qualified Partner approval will continue for a term of one year from the date of the program's Application Approval Notice and will automatically renew each year on the anniversary of such Application Approval Notice for additional one-year periods, unless otherwise suspended or terminated in accordance with these terms and conditions.
- Once approved as an Efficiency Maine Qualified Partner:
  - Applicant agrees to allow their company's name to appear on the Qualified Partners list on the Efficiency Maine website and on other marketing material. Efficiency Maine may remove Qualified Partner's listing at any time for non-compliance with these Terms and Conditions or for any other reason that Efficiency Maine determines is in the best interests of its program or customers.

- Applicant is authorized to use the Efficiency Maine Qualified Partner logo consistent with Efficiency Maine logo usage guidelines, provided that Applicant submits the proposed materials for review and approval by Efficiency Maine prior to use. QP logo usage guidelines are available on the Qualified Partner website. All usage must be consistent with the Efficiency Maine trademark usage guidelines.
- Efficiency Maine will provide Applicant with informational training materials, and additional training as required by each Efficiency Maine Program for which Applicant has been approved.
- Listing in the Qualified Partner database does not constitute any endorsement of the Qualified Partner by Efficiency Maine and in no event shall Efficiency Maine be responsible or liable for any act or omission of Qualified Partner or its agents. The Qualified Partner is an independent contractor participating in one or more of Efficiency Maine's Programs and not an employee of, or under contract to, Efficiency Maine or any of Efficiency Maine's contractors. In performing any work or services under an Efficiency Maine program, Qualified Partner is a direct contractor to the customer and is not a contractor or agent of Efficiency Maine. Qualified Partner shall not hold itself out as an agent or representative of Efficiency Maine, nor shall Qualified Partner make any representation on behalf of or bind Efficiency Maine in any manner.
- Participation of Qualified Partner in Efficiency Maine Program(s) is voluntary and may be terminated by either party at any time, for any reason without penalty.
- Qualified Partner shall provide Efficiency Maine program customers a high level of customer service and shall treat Efficiency Maine customers fairly, ethically, and in accordance with all applicable trade practices and consumer protection laws. Qualified Partner shall exercise commercially reasonable efforts to deliver promised services on time and respond to customer requests in a timely and professional manner.
- Qualified Partner warrants to perform all work for Efficiency Maine customers in a good and workmanlike manner and in accordance with all applicable codes and standards. Materials installed shall carry manufacturer's warranty, and Qualified Partner shall provide customers with a services or workmanship warranty as may be consistent with industry standard. Efficiency Maine does not endorse, guarantee, or warrant any particular manufacturer or product, and it provides no warranties, express or implied, for any product or services. Efficiency Maine is not responsible for assuring that the design, engineering, construction, or installation of the energy conservation measures is proper or complies with any particular laws, codes, or industry standards. Efficiency Maine does not make any representations regarding the results to be achieved by the measures or the adequacy or safety of such measures. Under no circumstances shall Efficiency Maine be liable to Qualified Partner or any third party for any direct or indirect damages, losses, or costs arising from or related to any representations, warranties, work or services provided by Qualified Partner or its agents.
- Qualified Partner shall comply with all applicable health and safety requirements including, but not limited to, compliance with OSHA Construction Industry Safety and Health Standards, achieving proper indoor air quality per ASHRAE Standard 62.2, and compliance with other applicable standards from OSHA, ASHRAE, EPA, NFPA, ANSI and UL. Qualified Partner will install all equipment and materials in accordance with the manufacturer's specifications and governing codes.
- Qualified Partner will maintain procedures for quality assurance, for resolution of customer complaints or disputes and for response to customer emergencies.

- Applicant understands that there will be inspections and verifications of Partner's work in accordance with policies and procedures of the Efficiency Maine program. Applicant must cooperate with these inspections and verifications and continue to perform at an acceptable standard.
- Qualified Partner acknowledges that the submission of any program application, checklist, invoice, payment request, report, or any other program-related document constitutes a representation by Qualified Partner that all information is complete and accurate, with no intentional omission of material information. By submitting a project completion form or payment request, Qualified Partner is making a representation that all equipment has been properly installed and all related work is complete.
- Qualified Partner acknowledges that certain records or information, including the social security number, address, telephone number and e-mail address of a customer that has participated or may participate in an Efficiency Maine program and information about the customer's energy usage profile is deemed confidential under the Efficiency Maine Trust Act, 35-A M.R.S. Section 10106.
- Qualified Partner shall indemnify and hold Efficiency Maine harmless from and against any claim of loss, damage or injury by or on behalf of Qualified Partner's employees or agents arising from or relating to any work or services performed in connection with an Efficiency Maine program without regard to any alleged negligence of Efficiency Maine or its agents, and Qualified Partner expressly waives any workers compensation immunity as to Efficiency Maine to the extent necessary to give effect to this indemnity.
- Notwithstanding customer's ownership of any equipment or energy efficiency measures installed by Qualified Partner under an Efficiency Maine program, Efficiency Maine shall have all right, title, and interest in and to the electric capacity credits, carbon credits, and any other energy or environmental credits generated by the equipment and efficiency measures installed under an Efficiency Maine program, and Efficiency Maine shall have sole right to use, transfer, trade, sell or otherwise dispose of all such credits and benefits.
- Efficiency Maine shall have no responsibility for the discovery, presence, handling, removal, or disposal of hazardous materials of any kind, including without limitation asbestos, asbestos products, PCBs, or other toxic substances at a customer location; or exposure of Qualified Partner or any other persons to such materials in connection with Qualified Partner's participation in any Efficiency Maine program. Qualified Partner shall dispose of hazardous materials and waste generated as a result of any work performed in any of Efficiency Maine's programs in accordance with all applicable laws, codes, and regulations.
- Partner status may not be assigned. Applicant may discontinue participating as a Partner by notifying Efficiency Maine in writing. Efficiency Maine may suspend or terminate a person's "Partner" status if, in its sole discretion, it determines that a Partner has failed to provide services in accordance with, or has failed to abide by, the policies and procedures of the Efficiency Maine C&I Program or has otherwise acted in a manner that is materially averse to Efficiency Maine's C&I Program. Written notification of suspension or cancellation of a Partner's status shall be sent to a Partner's last known address and will be effective upon mailing. Refer to Section 2.7 for additional information regarding probation or termination of a person's Partner status.

## 2.5. Qualified Partner Benefits

When you receive the Qualified Partner designation, you will become eligible for benefits to help you gain new customers, provide energy efficiency solutions to your existing customers and receive support from Efficiency Maine. Additionally, you gain access to:

- Efficiency Maine’s effRT 2.0 project database, where you can enter new enrollments and check project status for individual jobs
- Access to exclusive Efficiency Maine Qualified Partner website featuring:
  - Recent news and announcements
  - E-News archive
  - Reference forms for measures and incentives
  - Data collection forms
  - Tools and calculators
  - Energy-efficiency training information
  - Contact us with questions online form
  - Contact information for Delivery Team personnel
- All Efficiency Maine training programs—free or at a discount
- Technical information and advice from field personnel, engineers, efficiency experts and/or other technically trained professionals
- Joint sales calls between participants and Efficiency Maine field personnel

### Receive Added Exposure and Marketing Help

- Supply of promotional materials
- Inclusion in searchable list of Qualified Partners by type, services, program and service area (indicating mileage between Qualified Partner and user’s place of business)
- Increased exposure on the Efficiency Maine website

### Earn Recognition and Network

- Certificate of Qualification for display at your place of business, to be updated annually
- Annual Qualified Partner recognition event
- Qualified Partner meetings to introduce new program features and marketing initiatives
- Attend and participate in Qualified Partner Committee Meetings or Advisory Groups

## 2.6. Qualified Partner Website

As mentioned in section 2.5, QPs have access to an exclusive website where a repository of information and materials can be referenced. This is your source for all current information regarding the program and incentives.

## 2.7. Probation or Termination of Partner Status

As mentioned in section 2.4, participation of Qualified Partner in Efficiency Maine program(s) is voluntary and may be terminated by either party at any time, for any reason. Without limiting the foregoing, Efficiency Maine reserves the right to terminate Qualified Partner’s participation in the program, or all Efficiency Maine programs, for breach of these Terms and Conditions or violation of law.

If the Program determines that an individual has not followed the rules, the Qualified Partner will receive a written warning from the Delivery Team for their first offense. If the same Qualified Partner fails to abide by the Program rules and guidelines, the Qualified Partner will be placed on a one-year probation, which will include the following:

1. The Qualified Partner must seek Pre-Approval for all projects until otherwise notified by the Delivery Team;
2. Incentive payments will be sent to the customer only (incentives will not be paid to the Qualified Partner, even with authorization to do so from the customer); and
3. Failure to comply with the requirements above and all Program rules, QP Terms and Conditions & QP Expectations, probation will result in termination as outlined in Section 2.4;
4. Any Qualified Partner that has received a one-year suspension may re-apply to become an active Qualified Partner after the suspension has been lifted. The individual(s) will be required to complete training as directed by the Delivery Team and provide all required documentation to the program Administrator.

### 3. C&I PRESCRIPTIVE INCENTIVE PROGRAM

#### 3.1. Overview

The Prescriptive Program provides C&I customers access to financial incentives for the installation of energy efficient equipment. The Program prioritizes energy efficient equipment that has practical applications across Maine and across the C&I sector. Application of a prescriptive approach helps to keep program costs low and makes it easier for contractors and customers to access the efficiency measures and associated benefits.

#### 3.2. Objectives

- Reduce total energy costs for electricity consumers in the State by increasing the efficiency with which electricity is consumed
- Increase consumer awareness of cost-effective options for conserving natural gas, propane, and oil
- Motivate C&I customers to improve building energy consumption performance through early retirement of inefficient equipment
- Promote highest efficiency equipment options when customers are replacing old equipment or adding new equipment
- Create more favorable market conditions for the increased use of energy-efficient products and services
- Promote sustainable economic development and reduce environmental damage

### 3.3. Program Design

The Program uses a market-based approach, connecting contractors with Maine's C&I community to install high-efficiency equipment. The Program incentivizes these contractors and customers to choose the high-efficiency options with incentives that reduce the incremental cost between the low- and high-efficiency options. As described in the opportunity description above, the Trust anticipates delivering this program at levels consistent with the regular cycle of equipment replacements in the marketplace.

The Program encourages the installation of "off-the-shelf" high-efficiency equipment through established rebates and access to a network of trade allies (Qualified Partners). These measures are commonly available, easily installed, and achieve relatively uniform, predictable energy savings. Nonresidential energy customers, including businesses, municipalities, schools, other non-residential customers, and multifamily and condominium properties with five or more units per building, are eligible to participate in the program.

For lighting solutions projects, there are two different incentive approaches, Deemed and Energy Savings. The Deemed approach will utilize deemed values for measure cost, wattages, hours of use and have a set incentive dollar amount per unit installed. The Energy Savings approach will allow the applicant to utilize actual wattages, hours of use and add project specific costs. The incentives will be calculated based on the savings achieved. Note that all Energy Savings approach applications require pre-approval before any equipment is purchased.

### 3.4. Program Project Application (Enrollment) Rules

#### 3.4.1. Project Timeline

- For projects not requiring Pre-Approval (see section 3.4.2 below), the date of first equipment purchase as listed on the material invoice from the supplier is the project start date
  - The project must be entered into effRT by a Qualified Partner and the customer must accept the Program's Terms and Conditions within 14 days of the first equipment purchase date
- For projects that require Pre-Approval (see section 3.4.2 below), the date of the Pre-Approval letter, submitted to the customer and the Qualified Partner, determines the project start date.
  - The customer has 14 days upon receipt of the Pre-Approval letter to acknowledge and accept the conditions of the project Pre-Approval letter and provide an estimated project completion date.
- To manage the project pipeline, projects must be completed within the following timetables, Table 3.1 is for all Lighting Solutions and Table 3.2 is for all Non-Lighting Solutions:

<b>Project Timelines</b>					
<b>Incentive Amount</b>	<b>Incentive Approach</b>	<b>Project Pre-Approval</b>	<b>Project Time</b>	<b>Start Date Determination</b>	<b>End Date Determination</b>
<\$1,000	Prescriptive Only	NO	60 days/2 months	Date of Material purchase	Date of Signed Project Acceptance Form Upload
\$1,000<\$5,000	Prescriptive or Optional Pay for Performance	NO for Prescriptive Required for Pay for Performance	60 days/2 months	Date of Material purchase or Pre-Approval Letter	Date of Signed Project Acceptance Form Upload
\$5,000<\$10,000 (1)	Pay for Performance Only	Pre-Approval Required	90 days/3 months	Date of Pre-Approval Letter	Date of Signed Project Acceptance Form Upload
\$10,000<\$50,000 (2)	Pay for Performance Only	Pre-Approval Required	180 days/6 months	Date of Pre-Approval Letter	Date of Signed Project Acceptance Form Upload
\$50,000<\$100,000 (2)	Pay for Performance Only	Pre-Approval Required	9 months	Date of Pre-Approval Letter	Date of Signed Project Acceptance Form Upload
>\$100,000 (2)	Pay for Performance Only	Pre-Approval Required	1 year	Date of Pre-Approval Letter	Date of Signed Project Acceptance Form Upload
(1) Extension may be granted provided 75% of project is completed - Extension request must be made within 30 days prior to required completion date (2) Extension may be granted provided 50% of project is completed - Extension request must be made within 30 days prior to required completion date					

**Table 3.1 – Project Timeline Requirements by Project Type for Lighting Solutions**

<b>Project Timelines</b>				
<b>Incentive Amount</b>	<b>Project Pre-Approval</b>	<b>Project Time</b>	<b>Start Date Determination</b>	<b>End Date Determination</b>
<\$1,000	NO	60 days/2 months	Date of Material purchase	Date of Labor Invoice Upload
\$1,000<\$5,000	NO	60 days/2 months	Date of Material purchase or Pre-Approval Letter	Date of Labor Invoice Upload
\$5,000<\$10,000 (1)	Pre-Approval Required	90 days/3 months	Date of Pre-Approval Letter	Date of Labor Invoice Upload
\$10,000<\$50,000 (2)	Pre-Approval Required	180 days/6 months	Date of Pre-Approval Letter	Date of Labor Invoice Upload
\$50,000<\$100,000 (2)	Pre-Approval Required	9 months	Date of Pre-Approval Letter	Date of Labor Invoice Upload
>\$100,000 (2)	Pre-Approval Required	1 year	Date of Pre-Approval Letter	Date of Labor Invoice Upload
(1) Extension may be granted provided 75% of project is completed - Extension request must be made within 30 days prior to required completion date (2) Extension may be granted provided 50% of project is completed - Extension request must be made within 30 days prior to required completion date				

**Table 3.2 – Project Timeline Requirements by Project Type for Non-Lighting Solutions**

### 3.4.2. Project Pre-Approval Process

- Applications that request incentives greater than \$5,000 require Pre-Approval before any equipment is purchased
- Applications that request incentives greater than \$1,000 and less than \$5,000 may be submitted for Pre-Approval:
  - Pre-Approval is required for lighting projects submitted for the Energy Savings incentive approach
  - Pre-Approval is optional for all non-lighting projects
- The Pre-Approval process involves a thorough review of the proposed measures for completeness and accuracy, confirmation of energy savings for each measure, eligibility

determinations for the proposed equipment, and ensuring that the appropriate equipment specification sheets, AHRI certificates or CAGI data sheets, or other required backup documentation have been provided with the application. The specification sheets must also clearly identify the full model numbers for the equipment proposed to be installed. Where applicable, the Program relies on third-party standards where eligibility determinations include reviewing products listed on the DesignLights Consortium Qualified Products List (DLC QPL), Energy Star (ES) listings, certificates on the AHRI Directory of Certified Product Performance, and CAGI data sheets, depending on the application type, as compared to the corresponding Programs' eligibility criteria.

- If any issues are identified during the Pre-Approval process, the Delivery Team will contact the Qualified Partner that submitted the application for assistance or clarification.
- When the measures are confirmed eligible and the application is accurate and complete, Pre-Approval is issued for the project.
  - A Pre-Approval Offer Email is then sent to the Applicant and copied to all Qualified Partners involved in the specific project.
  - The Pre-Approval offer includes the pre-approved incentive amount
    - The Pre-Approval Offer directs and requires the Applicant to acknowledge the offer, as well as provide an estimated completion date for the project. Acceptance of the offer must be completed within 14 days.

### 3.4.3. Project Documentation

- Submitting project (Enrollment) documentation is a requirement and must be completed in proper sequence by the Qualified Partner(s) involved in the project.
- The following is a list of documents that may be required (see Table 3.2 for more information by project type):
  - Material Invoice – an itemized list of the equipment for which an incentive is being requested.
  - Labor Invoice – an itemized list of the equipment and the labor cost of installation for the equipment for which an incentive is being requested.
  - Material Cut Sheets – normally provided by the equipment manufacturers or distributors.
  - Equipment Eligibility Certificate – normally provided through a third-party verification repository such as AHRI, DLC, EnergyStar, etc.
  - Lighting Assessment Tool
  - Incentive Assignment Authorization – allows customers to authorize the payment of the project incentive to a 3<sup>rd</sup> party (must be a Qualified Partner).
- All Material invoices must include:
  - Customer
  - Sales date
  - Line item quantity
  - Line item model number
  - Line item cost
- Copy of installation invoice provided to the customer must include:
  - Customer
  - Installation date
  - Quantity of each unique piece of equipment installed

- Equipment model number for each unique piece of equipment installed
- Total labor cost
- If an initially enrolled project does not have the documents as required by the program the enrollment will be classified as **Open-Missing Information** and an email is sent to the Qualified Partner(s) for their action.
  - For completed projects, enrollments that are classified as Open-Missing Information will be cancelled after 14 days if the missing information is not provided.

<b>Project Documentation</b>						
<b>Documentation</b>	<b>Lighting Deemed</b>	<b>Lighting Energy Assessment</b>	<b>HVAC</b>	<b>Compressed Air</b>	<b>Agriculture</b>	<b>Distributor Discount</b>
Specification Sheets		X	X	X	X	
Lighting Assessment Tool	X	X				
Customer Acceptance Form (signed)	X	X				
DLC/Energy Star Listings		X				
AHRI Certificate			X			
CAGI Sheets				X		
Material Invoice		X	X	X	X	X
Installation Invoice			X	X	X	
Distributor Upload Tool						X

**Table 3.2 – Project Documentation Requirements by Project Type**

### 3.4.4. Project Inspections

- As part of Efficiency Maine on-going quality assurance, projects (enrollments) may be selected for pre-inspections (prior to project Pre-Approval) or post project completion (prior to payment of project incentive).
- Inspections are coordinated between Efficiency Maine and the customer.
  - The Qualified Partner(s) will be notified by Efficiency Maine and may be present during the inspection.
- Pre-Inspection Project Rates
  - 10% <\$10,000
  - 25% > \$10,000 <\$50,000
  - 50% >50,000 <\$100,000
  - All >\$100,000
- Post-Project Inspection Rates
  - 10% <\$10,000
  - 25% > \$10,000 <\$50,000
  - 50% >50,000 <\$100,000
  - All >\$100,000

### 3.5. Prescriptive Energy Efficiency Solutions

Efficiency Maine’s C&I Prescriptive Program offers energy efficiency solutions that are fixed or “prescriptive incentives” to reduce the cost of projects that help businesses use energy more

efficiently. C&I Prescriptive Solutions are available for various customer needs, such as:

- Lighting Solutions
- Heating Solutions (oil, propane, natural gas and compressed natural gas)
- Heating & Cooling – Electric Solutions
- Commercial Kitchen Solutions
- Water Heating Solutions
- Compressed Air Solutions
- Agricultural Solutions

Measures and incentive amounts are reviewed on a quarterly basis and subject to change. Refer to the C&I Prescriptive Measure Information Sheet posted on the Qualified Partner website for a current list of all active prescriptive measures. Refer to the Measure Code Reference Guides available on the Qualified Partner website for current incentive amounts and eligibility criteria.

The C&I Prescriptive Solutions are applicable to all project types. Qualified Partners will need to provide the reason for each project in the enrollment, and the various project reasons in effRT are listed below:

- New construction or addition
- Planned replacement, upgrade, or renovation
- Replacement of failed equipment
- Proactive replacement of equipment
- Early/unplanned replacement of operating equipment
- Unknown

## 4. C&I DISTRIBUTOR DISCOUNT INITIATIVE

### 4.1. Overview

The Distributor Discount initiatives for Lighting, HVAC and Commercial Kitchen Solutions provide discounted sale prices for LED lamps and retrofit kits, oil, propane, natural gas and compressed natural gas furnaces, boilers, unit heaters, and tankless water heaters as well as commercial kitchen equipment at the distributor level.

### 4.2. Objectives

- Reduce the upfront cost barrier for customers
- Reduce paperwork for contractors
- Promote higher efficiency equipment for quick turn-around projects by providing a discount on the high efficiency equipment

### 4.3. Program Design

Discounts offered through the initiative will be provided at the point of sale directly through the participating equipment distributors. There are participating distributors that have entered into an agreement with Efficiency Maine to offer the determined discounts. A full list of participating distributors is available on the QP website. The participating distributors will provide the discount at the point of sale, then submit their monthly sales information to the delivery team. Distributors are defined as those that have a physical storefront in Maine where eligible equipment is sold to installers or end users.

## 5. C&I SMALL BUSINESS INITIATIVE (SBI)

### 5.1. Overview

The Small Business Initiative provides a suite of services and financial incentives that cater to the needs of eligible small businesses in targeted areas. Small businesses traditionally have been underserved in Trust programs and in efficiency programs nationwide. The Initiative is designed to overcome the unique barriers experienced by small businesses including the lack of time and expertise to analyze energy options in-house and the perceived hassle of making arrangements to purchase and install upgraded equipment. For businesses operating close to the line of profitability, investing in outsourced services to analyze options, provide advice, and general contracting of project management may seem like a luxury they cannot afford. Due to their relatively small size and lower energy use, these businesses tend to receive less attention from contractors and vendors seeking to develop new projects. This Initiative endeavors to overcome these barriers by bringing information and technical support to the customer's doorstep, offering enhanced financial incentives (compared to the basic incentives of the Prescriptive Program), and scheduling and executing energy upgrades using the "direct install" approach.

For this Initiative, small businesses are defined as Small General Service Customers with a monthly demand of 25kW or less.

### 5.2. Objectives

- Advance the statutory directive to target at least 10% of the Electricity Efficiency Procurement or \$2.6 million, whichever is greater, to programs for small business customers
- Increase consumer awareness of cost-effective energy efficient options
- Create favorable market conditions for the increased use of energy efficiency
- Reduce total energy costs for electricity consumers in the State by increasing the efficiency with which electricity and natural gas is consumed
- Maintain a strategic approach to deliver efficiency and conservation resources, cost-effectively and equitably, to Maine's small businesses

### 5.3. Program Design

The Initiative will target areas having a significant number of small businesses under 25kW; the Initiative is particularly well-suited to targeting regions located outside of traditional energy efficiency supply chains or traditionally under-served by the contractor community. The

Initiative pairs local marketing with streamlined delivery to incentivize customers in a targeted geographic area to act quickly to replace inefficient lights with high-efficiency models. The Initiative has a higher adoption rate than the Prescriptive Program because it is designed specifically to overcome most obstacles to installing energy efficient measures in eligible businesses.

“Direct install” is a term that describes delivery of efficiency measures that are brought directly to the attention of the property owner at the property site, and where the equipment procurement, scheduling and installation (with the consent of the customer) are arranged by the program delivery team. This contrasts from prescriptive or custom program delivery approaches in which the customer (or their contractor) is relied upon to initiate and manage purchases and project installation. Under the Small Business Initiative, the customer pays a portion of the project costs upon its completion while Efficiency Maine pays the balance of the project cost to the installing contractor. This arrangement means the customer does not need to pay the full cost of the project upon completion and then wait for the incentive payment.

#### **5.4. Technical Assistance**

The Initiative provides technical assistance to customers directly through on-site energy assessments and discussions of potential solutions and projected energy savings. The Initiative supports field personnel with a customized tool (Energy Assessment Tool or EAT) that evaluates project energy savings and cost-effectiveness on-site. Measures that are not cost-effective are eliminated from the scope of work before the proposal is presented to the customer.

The field teams are typically local contractors who are also Efficiency Maine Qualified Partners. Information pertaining to contractor requirements and responsibilities are provided in the following sections.

#### **5.5. Participating Contractor Requirements**

The Small Business Initiative utilizes local electrical contractors to complete the lighting retrofit projects for small businesses within each region. To be a participating contractor through the SBI, the following requirements must be met:

- Must be an active Qualified Partner (or bring certification up-to-date)
- Execute a subcontractor agreement with the delivery team
- Have or set up an account with the SBI Supplier

#### **5.6. Project Assignments**

Projects completed by participating contractors through the SBI consist of lighting retrofit projects only. Projects are assigned to local participating contractors as eligible customers are identified. Participating contractors may also bring their own eligible customers into the initiative.

#### **5.7. Project Tasks**

For background information, the typical process for SBI projects is outlined below:

- a) The small business customer is confirmed eligible through a review of their utility bill and assigned to a participating contractor (customers may select a participating contractor, or contractors may be assigned by delivery team based on location and availability; contractors may also bring customers into the initiative).
- b) The participating contractor performs a lighting assessment at the business and completes the Energy Assessment Tool (EAT). The EAT is an Excel file that documents the customer's information, the existing and proposed fixtures, the associated project costs, and the project's estimated energy savings. All required SBI project documentation is also generated by the EAT file, including the Scope of Work, Bill of Materials (BOM), and Measure Acceptance Form. The EAT is also utilized to upload the project into Efficiency Maine's effRT database.
- c) The delivery team reviews the EAT for pre-approval.
- d) Upon pre-approval, the participating contractor has the customer sign the Scope of Work generated by the EAT.
- e) The participating contractor then submits the BOM to the SBI Supplier for the specific region.
- f) The Supplier fulfills the material order with the approved SBI products at the approved set prices and within the agreed upon delivery times.
- g) The participating contractor installs the new lighting as outlined in signed Scope of Work.
- h) The participating contractor obtains the customer's sign-off on the project when complete (the customer and the contractor must sign the Measure Acceptance Form), and submits final documentation to the delivery team.
- i) The customer pays the participating contractor for their portion of the project costs (approximately 25 percent of the total project cost).
- j) The contractor pays the Supplier for the material order.
- k) Efficiency Maine pays the balance of the project costs (approximately 75 percent of the total project cost) directly to the participating contractor, typically within 14 days of receipt of final documentation.

## 6. C&I CUSTOM PROGRAM

The Custom Program for C&I customers is designed to overcome the barriers confronting Maine's businesses and institutions from making investments in complex, uncommon or novel energy efficiency and distributed generation projects. C&I customers comprise all non-residential customers, including municipal and institutional customers, as well as multifamily (or apartment) property owners.

The Custom Program will promote energy efficiency projects, in both the commercial buildings and industrial facilities, involving site-specific applications that require customized engineering analysis and/or projects contemplating energy conservation measures that are not covered in the prescriptive offerings.

## 7. EFFICIENCY MAINE REPORTING AND TRACKING (EFFRT 2.0) DATABASE

### 7.1. Overview

The Trust's program activities are data driven and program success hinges on the capacity to measure and verify the energy and cost savings derived from program participation. The primary tool that Efficiency Maine has developed for data management is known as the Efficiency Maine Reporting & Tracking System (effRT) database. Qualified Partners that have completed the required training will have a unique username for access. The database can be used to create and submit incentive enrollments and track their progress through the workflow steps.

### 7.2. Accessing effRT 2.0

Separate Production and User Acceptance (UA) sites have been created. **Perform all application testing in the UA site.**

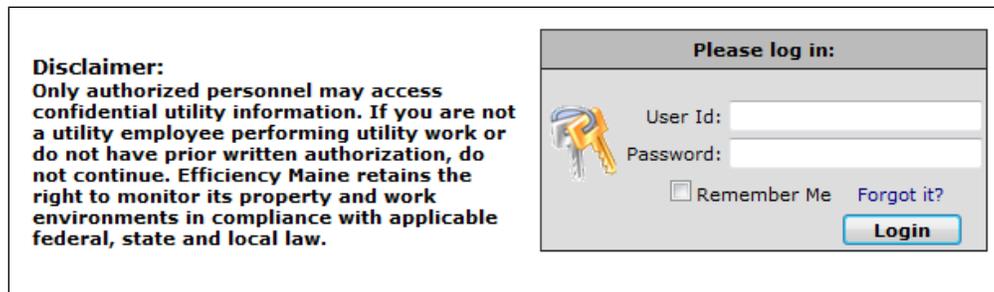
Production Website: <https://effRT.energymaine.com/eecp/>

UA Website (Test Site): <https://effrt-ua.directtechnology.com/eecp>

Logging In:

1. Go to the effRT website (see link to production website above)
2. At the Login window (Figure 4.1 below), enter your Username and Password.
3. Click Login.

Note: Please contact the program delivery team if you do not have a user ID or password.



**Disclaimer:**  
Only authorized personnel may access confidential utility information. If you are not a utility employee performing utility work or do not have prior written authorization, do not continue. Efficiency Maine retains the right to monitor its property and work environments in compliance with applicable federal, state and local law.

**Please log in:**

User Id:

Password:

Remember Me [Forgot it?](#)

**Figure 4.1 – Login Screen**

**effRT TIP:** If you forgot your password, click the “Forgot It?” link to have an email sent to you with directions to reset your password.

### 7.3. Understanding the Workflow Steps

The effRT database is used to manage projects from the project inception to final payment. The Workflow Step and Workflow Step Status is used to let users know exactly where the project is in the enrollment process. Figure 7.1 shows the flowchart for the full application process.

The following lists the Workflow definitions:

**Workflow Steps:**

- Application – Workflow step is used to collect all information about the project including customer information, premise information, and measures installed.
- Inspection – The enrollment is ready for equipment installation verification.
- Technical Review – Workflow step allows Delivery Team to review and update measure information based on review results.
- Management Review – Final review of the enrollment for accuracy before an incentive payment is approved.

**Workflow Step Status:**

- Open – New – Application has been created in effRT but has not been submitted for processing.
- Pending Ts&Cs Acceptance – Awaiting end user to accept the program Terms and Conditions.
- Pending Acceptance – Application has been submitted to Delivery Team for review.
- Missing Information – Information required for the enrollment to be processed has not been received. (i.e. cutsheets, invoices, etc.)
- Pending PA Assignment – Enrollment is ready to be assigned for review for pre-approval.
- Pending PA – Enrollment has been assigned to Delivery Team for pre-approval review.
- PA Acknowledgement – The pre-approval has been completed and the pre-approval offer has been sent to the end customer for acceptance of the terms and conditions.
- PA – Awaiting Results – The pre-approval offer has been accepted and the enrollment is waiting for final invoice submissions.

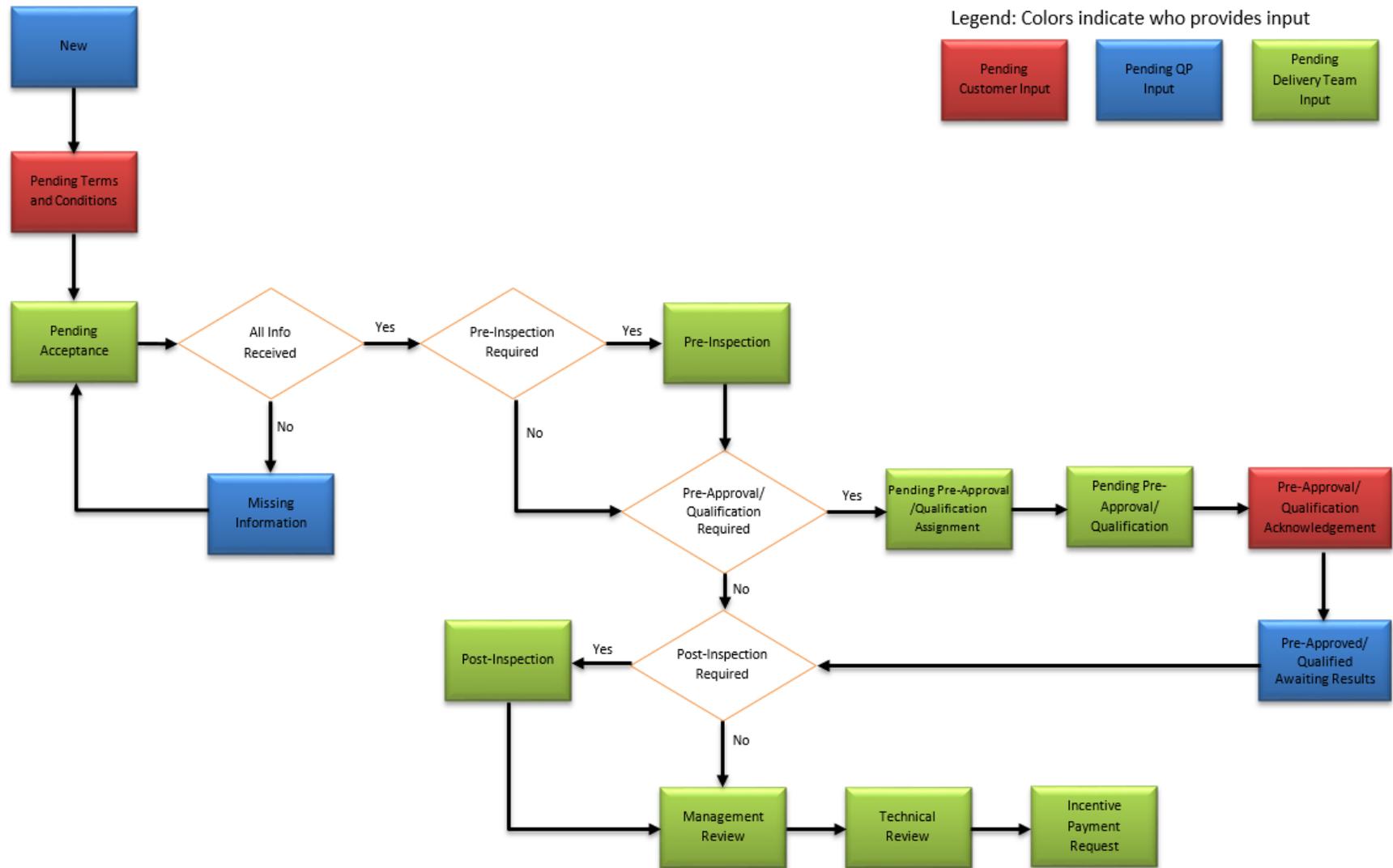


Figure 7.1 – effRT 2.0 Application Flowchart

#### **7.4. Qualified Partner effRT User Guide**

For detailed instructions on how to access effRT, create new enrollments, add measures, upload documents and submit enrollments for processing, please refer to the “Qualified Partner effRT User Guide” pdf document.