

HPD RETROFIT ELECTRIFICATION PILOT: PRE-CLOSING PROCESS FOR PARTICIPANTS
(All steps & documents required to receive Final NYSERDA Incentive Letter)

Project: Project Name		
Recipient: Project Team including Owner/ Sponsor, Architect, HVAC consultant, HPD Program		
	Item:	
Initiating Party:	UPON PRELIMINARY ACCEPTANCE	Responsible Recipient:
TAP	Unsigned <u>Incentive Eligibility Letter</u> (including ProForma) from NYSERDA signed by HPD noting HPD Approval	Owner Team
Owner Team	Signed <u>DRAF(s)</u> and <u>Con Ed Authorization Form</u> - downloaded from Website	TAP
Owner Team	<u>W-9</u>	TAP
Owner Team	<u>Participation Agreement</u> - downloaded from website, signed by Owner Team	TAP
Owner Team	Confirm, via email, whether signatory of W9 and Participation Agreement will be the ultimate recipient of incentive money when project closes and construction begins.	TAP & NYSERDA
Initiating Party:	POST ACCEPTANCE/ DESIGN PHASE	Responsible Recipient:
TAP	<u>Lender Letter and Unsigned Incentive Eligibility Letter</u> to be sent to Senior Lender	Owner Team
TAP	Design Meeting 1 (Schematic Design)	Owner Team, TAP, PM
TAP	Design Meeting 2 (Design Development)	Owner Team, TAP, PM
Owner Team	Furnish a budget estimate for maintenance of Heat Pump Equipment	TAP
Owner Team	<u>Receipt/case number</u> from ConEd confirming Con Ed Load Letter was submitted	Con Ed (copy TAP)
Owner Team	Submit <u>ConEd Clean Heat Application and advise TAP</u> ; when notifying TAP, include <u>Clean Heat Estimate</u> and proof that Clean Heat Application has been submitted. Estimate should be confirmed with ConEd Clean Heat Team.	Con Ed (copy TAP)
Initiating Party:	IN PREPARATION FOR BIDDING/ PRICING	Responsible Recipient:
TAP	Design Meeting 3 - final items (Construction Drawings)	Owner Team, TAP, PM
Owner Team	<u>Finalized Construction Documents</u> including M,E,P drawings and specs addressing <u>all</u> outstanding TAP comments issued via the Design Review Checklist	TAP
TAP	TAP approves Finalized Construction Documents and sends the completed <u>Design Review Checklist</u> (showing no outstanding items) so that project can be bid	HPD PM
TAP	<u>Outstanding Items Letter</u> and <u>Final Incentive Checklist</u> sent to team and PM	Owner Team + HPD Program
Owner Team	Unsigned <u>Electrification Rider</u> (will be shared as part of Bid Documents)	Bidding Contractors
Initiating Party:	AT LEAST 4-6 WEEKS PRIOR TO CLOSING - The following documents must be received by TAP. Once received, it will take 4-6 weeks to generate the signed Final Incentive Award Letter from NYSERDA.	Responsible Recipient:
TAP	Prior to requesting final Incentive Award Letter, confirm whether signatory of W9 and Participation Agreement will be the ultimate recipient of incentive money when project closes and construction begins.	Owner
TAP	Send signed TAP memo (with project scope & cost breakdown attached ; draft is fine) to NYSERDA to get Incentive Award Letter in the queue	NYSERDA
Owner Team	<u>Final Project Budget</u> (with <u>Itemized Electrification Scope</u> , Comprehensive Maintenance Plan costs for Heat Pump equipment and noting all Clean Heat and Pilot Incentives)	TAP
Owner Team	Comprehensive Maintenance Plan	TAP
Owner Team	Completed <u>Electrification Rider</u> signed by Owner Team and Contractor	TAP
Owner Team	<u>Draft Construction Schedule</u>	TAP
Owner Team	<u>Requisition Format</u> with <u>Itemized Electrification Scope</u> (examples provided on Pilot Webpage; a draft Requisition is acceptable and a finalized version shall be submitted as soon as available)	TAP
TAP	<u>Final Proforma</u> released noting final incentive amount	Owner Team + HPD Program
NYSERDA	(If requested by Lender) coordinate with NYSERDA on executing Lender Assignment of Incentive letter	Lender/Legal/Owner
Maelyn	Put signed Incentive Award Letter in folder on Sharepoint	TAP
Initiating Party:	PRIOR TO CLOSING - TAP releases the signed Final Incentive Award Letter contingent on receiving all documents	Responsible Recipient:
TAP	TAP releases the signed Final Incentive Award Letter (including updated ProForma). Note: this letter cannot be released until documents above are submitted. <i>Some lenders may be able to close with an unsigned Final Incentive Award Letter. TAP will provide upon request. If a project needs the signed letter, it is imperative that the documents are submitted 4-6 week prior to closing.</i>	Owner Team
Initiating Party:	IMMEDIATELY AFTER CLOSING - Documents required before requisitions can be paid.	Responsible Recipient:

Owner Team	<u>Construction Contract</u>	TAP
Owner Team	<u>HPD Commitment Letter</u> to abide by Construction Schedule	TAP
Owner Team	<u>Updated Construction Schedule</u> : Specifically identifying Refrigerant piping rough-in (typically first TAP inspection).	TAP
Initiating Party:	CONSTRUCTION - TAP remains engaged to oversee the Electrification Scope & approve milestone payments	Responsible Recipient:
Owner Team	Schedules construction kick-off meeting that includes TAP. It is critical that the owner stays engaged with the TAP throughout the process.	TAP
TAP	TAP will attend project kick-off, attend 3+ site visits to ensure quality control, and will sign off on the NYSERDA incentive payments to ensure timely delivery of incentive. <i>*Separate Construction Checklist to follow</i>	Owner Team



[Click here to access the Retrofit Electrification Pilot website for the underlined items](#)