

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				
No.	Item:	Responsible Recipient:	Received	Comments
	Initiating Party: UPON PRELIMINARY ACCEPTANCE			
1	TAP	Unsigned <u>Incentive Eligibility Letter</u> (including ProForma) from NYSERDA signed by HPD noting HPD Approval	Owner Team	
2	Owner Team	Signed <u>DRAF(s)</u> and <u>Con Ed Authorization Form</u> - downloaded from Website	TAP	
3	Owner Team	<u>W-9</u>	TAP	
4	Owner Team	<u>Participation Agreement</u> - downloaded from website, signed by Owner Team	TAP	
5	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			
6	TAP	Lender Letter and <u>Signed Incentive Eligibility Letter</u> to be sent to Senior Lender	Owner Team	sent if requested by project team or lender
7	TAP	<u>Design Meeting 1 (Schematic Design)</u>	Owner Team, TAP, PM	
8	TAP	<u>Design Meeting 2 (Design Development)</u>	Owner Team, TAP, PM	
9	Owner Team	<u>Receipt/case number</u> from ConEd confirming Con Ed Load Letter was submitted	Con Ed (copy TAP)	
10	Owner Team	Submit <u>ConEd Clean Heat Application</u> and advise TAP; 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			
11	TAP	<u>Design Meeting 3 - final items (Construction Drawings)</u>	Owner Team, TAP, PM	
12	Owner Team	<u>Finalized Construction Documents</u> including M,E,P drawings and specs addressing all outstanding TAP comments issued via the Design Review Checklist	TAP	
13	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	
14	TAP	<u>Outstanding Items Letter</u> and <u>Final Incentive Checklist</u> sent to team and PM	Owner Team + HPD Program	
15	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.			
16	Owner Team	<u>Final Project Budget</u> (with <u>Itemized Electrification Scope</u> and noting all Clean Heat and Pilot Incentives)	TAP	
17	Owner Team	Completed <u>Electrification Rider</u> signed by Owner Team and Contractor	TAP	
18	Owner Team	<u>Draft Construction Schedule</u>	TAP	
19	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	
20	TAP	<u>Final Proforma</u> released noting final incentive amount	Owner Team + HPD Program	
21	NYSERDA	(If requested by Lender) coordinate with NYSERDA on executing Lender Assignment of Incentive letter	Lender/Legal/Owner	if requested by lender
	Initiating Party: PRIOR TO CLOSING - TAP releases the signed Final Incentive Award Letter contingent on receiving all documents			
22	TAP	TAP releases the signed <u>Final Incentive Award Letter</u> (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.			
23	Owner Team	<u>Construction Contract</u>	TAP	
24	Owner Team	<u>HPD Commitment Letter</u> to abide by Construction Schedule	TAP	
25	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			
26	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	
27	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>*Seperate Construction Checklist to follow</i>	Owner Team	



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