



A unit of American Electric Power

Small Business Direct Install Program Manual

November 1, 2016 – July 31, 2017

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From Southwestern Electric Power Company

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Program Overview

Program Description

SWEPCO has selected CLEAResult (Implementer) to serve as the program implementer for its Louisiana Small Business Direct Install (SBDI) Program. The Implementer will conduct outreach to potential participating contractors who provide services to customers who are served by SWEPCO for this program.

SBDI is a market transformation program designed to offer contractor and customer education on energy efficiency technologies, equip participating contractors with the tools they need to succeed in generating revenue from projects in the small business market, and offer substantial incentive rates needed to move small businesses (less than 100 kW peak demand) to install energy efficient products such as high efficiency lighting and refrigeration measures. The program overcomes market barriers by providing incentives to help pay for energy efficiency upgrades. In addition, SBDI connects customers with participating contractors that are qualified to provide design and installation services for energy efficient technologies, and give customers any additional technical support to make them comfortable with the implementation of efficiency measures in their facilities.

The program design is a contractor direct install model enabling market transformation at the contractor and customer level. The program is based on contractor engagement and furthermore provides a Proposal Generation Software Application (Open Field Tool) to empower participating contractors and to streamline program participation. The participating contractor must use the Open Field Tool for all measures to participate in the program. No Customer Proposals for lighting measures will be accepted that were not generated by the Open Field Tool. The Open Field Tool will enable participating contractors to:

- Perform facility surveys for measures listed in the “Measure Eligibility” section
- Generate Customer Proposals which (upon program approval) reserves incentives for the projects
- Obtain electronic customer signature
- Submit Customer Proposal to reserve program funds
- Track project and incentive status

The program focuses on educating and training participating contractors to provide customer support and will provide direct customer assistance as needed.

The program is designed uniquely for the SWEPCO market. This is a program intended to introduce energy efficiency to SWEPCO customers while providing substantial economic benefits to them. This program uses an expedited, simple solution appropriate for engaging contractors and nonresidential customers in energy efficiency projects. The program targets cost-effective equipment retrofits that replace inefficient technologies with high efficiency

relatively low cost technologies, allowing the program to reduce the project costs enough to engage small and very small business in energy efficiency project installation.

The program provides incentives using a performance based approach described in the section on Program Incentive Rates. Streamlined incentive application, and verification and quality control processes are employed to facilitate ease of participation and minimize the time required for incentive payment. The program also equips contractors to participate in the program so they can improve their business while being a resource to drive projects.

Program Goals

SBDI is a market transformation program devised to achieve peak demand and energy savings by providing qualified contractors the direct support, tools, and training necessary to drive energy efficiency among small businesses within the SWEPCO service territory. The SBDI program goal for November 1, 2016 to July 2017 is 344kW reduction in peak demand and 1,038,676kWh reduction in energy usage.

These goals will be met primarily through the installation of lighting, water heating, and refrigeration measures in SWEPCO's service territory, as well as other measures as appropriate for customer facilities. See Measure Eligibility section for a list of measures that are eligible for program incentives.

Participating Contractor Benefits

There are many benefits for contractors participating in the program including incentive levels that offer inroads into the small business sector, incentives that are paid directly to the contractor, training opportunities and free access on the Open Field Tool.

The Open Field Tool is a valuable software tool developed for use with this program which is currently configured to collect existing and new equipment information for lighting measures, collect an electronic customer signature and submit Customer Proposals electronically, and can be used by participating contractors to track the status of their projects and incentive payments. See Participating Contractor Eligibility for more information on how participating contractors can access the Open Field Tool.

Customer Benefits

The program seeks to help small business customers with high energy use by providing them with access to technical knowledge on energy assessments and financial incentives to improve the energy efficiency of their buildings. The program connects customers with participating contractors to provide assistance and perform lighting, refrigeration, and other energy efficiency installations. Participating contractors will work with each customer to identify their specific obstacles to adopting more energy efficient equipment or practices. Participating contractors will provide technical support to help customers identify and evaluate energy efficiency opportunities in order to determine which projects are viable. Participating contractors will also educate

customers on energy efficient technologies and the technical criteria and non-technical considerations (aesthetics, maintenance impacts) to contemplate when selecting a product.

Program Incentive Rates

Incentives are paid to contractors based upon the estimated energy savings resulting from qualified installations. The Program will pay \$0.16/kWh reduced for customers with maximum peak demand of less than 100 kW up to 90% of the project cost.

Sector	Program Incentives	Limitations
< 100kW	\$0.16/kWh reduced	Incentive ≤ 90% project cost
< 100kW	100% of cost	*Direct Install Measures Only

**Direct install measures include faucet aerators, pre-rinse spray valves, and vending economizers (certain beverage machines only).*

Program Dates

The program year runs from November 1, 2016 to July 31, 2016, or until the incentive budget is depleted.

- Program Year Start Date: November 1, 2016
- 2016-2017 Project Completion Due Date: The program will pay the participating contractor for documented usage reduction produced from eligible energy efficiency measures that are completed no later than 60 days past the date of the signature on the Customer Proposal, or by June 2nd, 2016, whichever is earlier.

Program Roles & Responsibilities

Program Sponsor (SWEPCO) - SWEPCO is responsible for:

- Authorizing and issuing incentive payments for completed projects
- Selection and oversight of the Implementer

Implementer - CLEARResult was selected by SWEPCO to serve as the Implementer for SBDI.

The Implementer is responsible for:

- Conducting and/or assigning formal on-site pre- and post-installation inspections of eligible projects to approve kW and kWh savings and incentive amounts
- Conducting outreach to potential participating contractors
- Educating customers and providing technical assistance including identification of energy efficiency projects
- Approving eligibility and enrollment for customers
- Reviewing and approving Customer Proposals
- Oversight and training of participating contractors

Participating Contractor - To participate in SWEPCO SDBI, participating contractors will be asked to fulfill the following Program requirements:

- Commit to the terms of the SDBI Participating Contractor Agreement
- Conduct a comprehensive facility survey with the Open Field Tool, or appropriate calculator
- Conduct facility surveys to identify energy efficiency projects that are eligible for incentives
- Educate customers and provide technical assistance including identification of energy efficiency opportunities
- Provide customers with Customer Proposals using the Open Field Tool, or appropriate calculator
- Document hot water heating type as “gas”, “electric”, or “no tank” within the tool and prior to project approval.
- Obtain signed Customer Proposals and submit them to the Implementer
- Schedule and conduct installations
- Provide installations at qualifying customer facilities in the SWEPCO service territory according to the Customer Proposal provided within 60 days of the date on the Customer Proposal
- Install products that comply with the Product Quality Requirements included in Appendix A
- Educate customers and provide technical assistance where needed during project installation
- Ensure excellent professional customer service for the facility survey and project installation
- Notify Implementer of project completion within 24 hours of installation
- Submit project invoice upon completion to Implementer
- Provide Implementer with feedback on the program

Customer of Participating Contractor - Customers will be asked to:

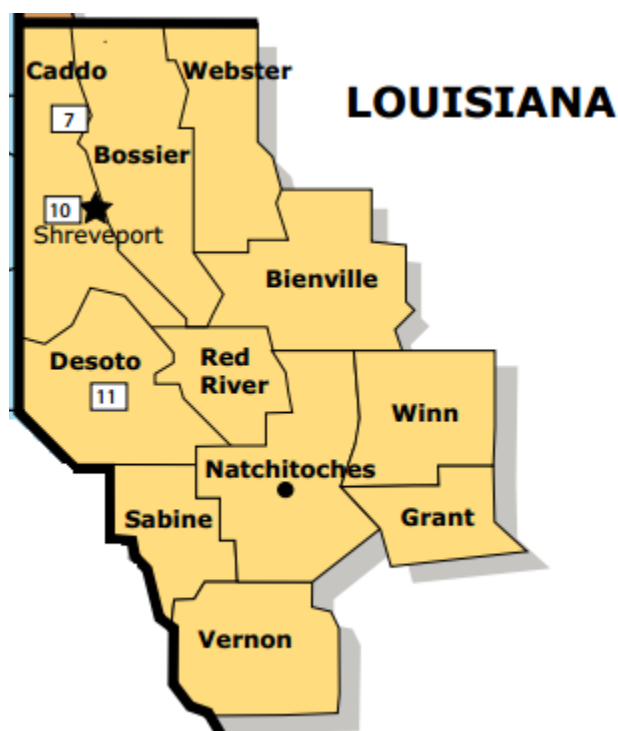
- Sign the Customer Proposal and commit to installation in order to reserve incentives
- Provide documentation, including but not limited to an account number, necessary to verify SWEPCO provides electric delivery service to their facility
- Provide access to project facilities both before and after project completion for inspection of the baseline and post-retrofit condition
- Pay any remaining project cost to the participating contractor after program incentives have been applied to the project once installation is complete

Program Eligibility

Customer Eligibility

The program is offered to valid SWEPCO customers who have a maximum peak demand usage below 100kW at any one facility. For the purposes of this program, a “Customer” is defined by a single Tax ID number or benefitting entity as determined by the Implementer.

The map below shows the SWEPCO service areas that are eligible to participate in this program. The maps are provided for reference only, as customers located within these service territories may or may not receive electric delivery service from SWEPCO. For a project at a specific facility to be eligible for financial incentives in the program, the SWEPCO account number must be provided in order to verify SWEPCO provides electric delivery service for the facility.



Participating Contractor Eligibility

Any contractor who submits a completed and approved Participating Contractor Agreement and agrees to fulfill the role of the participating contractor as laid out in Roles and Responsibilities may participate in the Program. To view contractor eligibility requirements, reference the Participating Contractor Agreement in Appendix F.

Participating contractors have the right and responsibility to use the Open Field Tool that was designed for use with this program. Access and training on the Open Field Tool will be as follows:

- The tool will be provided at no cost to participating contractors
- After submitting necessary paperwork to become a participating contractor, they will attend training on effective use of the Open Field Tool. Instructions for accessing the Open Field Tool will be provided during this training
- The Open Field Tool can be installed on a PC, laptop, or an iOS enabled device.
- If for any reason the participating contractor loses the right to participate in the program, the Open Field Tool will be remotely deactivated

Measure Eligibility

SWEPCO offers incentives for the following measures:

Eligible Deemed Savings Measures	
Lighting Efficiency	<ul style="list-style-type: none"> ▪ Linear Fluorescent lamp and ballast replacements ▪ High-intensity discharge (HID) fixture replacements ▪ CFLs ▪ LED interior and exterior lamps and fixtures
Refrigeration	<ul style="list-style-type: none"> ▪ Solid & Glass Door Reach-Ins ▪ ECM Evaporator Fan Motors ▪ Door Heater Controls
Food Service Measures	<ul style="list-style-type: none"> ▪ Vending Machine Controls ▪ Pre-Rinse Spray Valves
Lighting & HVAC Controls	<ul style="list-style-type: none"> ▪ Day Lighting Controls ▪ Occupancy Controls (Lighting & HVAC)
Other	<ul style="list-style-type: none"> ▪ Custom measures as needed and qualified

SWEPCO SBDI provides financial incentives based upon reductions in energy usage at a facility resulting from the completed installation of an energy efficiency measure which reliably and measurably reduces energy use in accordance with the Arkansas Technical Resource Manual v3.05. SWEPCO has made a limited amount of funding available for these incentives to be paid within the program year (11/1/2016 – 7/31/2017).

SWEPCO offers the following incentives based on peak electric demand and energy usage:

- For qualified customers (less than 100kW) incentives are = \$0.16/kWh reduced, up to 90% of project costs.

- A participating contractor may submit one Customer Proposal per property
- A participating contractor may agree to install additional measures; however only installed measures that meet the requirements of the program will receive incentives
- Costs in excess of the incentive amount, costs related to any measure not on the prescribed list, and costs for any measure on the prescribed list that exceed the program project cap are the responsibility of the customer
- Customer Proposals are accepted until 1) all funding is allocated 2) the program completion date comes to pass, or 3) the program is discontinued for any reason. The incentive is payable upon the verified completion of the project (as described in the Customer Proposal). The process for oversubscription is included in the Limits on Participation section
- Program incentives will be paid directly to the participating contractor after the project is completed, documented and verified (post-inspection is required). Checks will be issued within 30 days of project verification
- No participating contractor has an unconditional entitlement to program incentive funds

Savings Calculations and Verification

The program will provide post-inspections, deemed savings calculations, and other verification activities.

M&V procedures will vary in detail and rigor depending on the measures installed. For each installed measure, the chosen procedures will depend upon the predictability of equipment operation, the availability of evaluation data from previous programs, and the benefits of the chosen M&V approach relative to its cost.

All lighting products installed that receive program incentives must meet the Lighting Product Quality Requirements provided in Appendix A.

All projects submitted by each participating contractor will be subject to a pre-inspection to verify:

- Correct facility type
- Existing equipment type and number of units/fixtures
- Recommended measures
- Customer satisfaction

All projects installed may be subject to a post-inspection to verify:

- Installed new equipment type and number of units/fixtures
- Quality of installation
- Operating hours reported in survey
- Customer satisfaction

Program Processes

Program Implementation and Delivery

Key elements of the program implementation strategy include:

- Trade ally recruitment and training: The program will recruit and train a limited number of contractors to perform facility surveys, identify potential lighting projects and/ or other energy efficiency opportunities. Contractors will be recruited to participate in training sessions regarding program incentives, participation processes and requirements, and use of the Open Field Tool
- Customer recruitment: Customers will be recruited through outreach conducted by the Implementer and participating contractors
- Technical assistance: The Implementer will guide customers and participating contractors through the participation process to maximize knowledge of program processes and requirements and to overcome barriers to participation. Where needed, the Implementer will also provide technical assistance to customers to identify and implement cost-effective energy efficiency measures
- QA/QC review: Customer Proposals will be subject to a quality assurance review by program technical staff to ensure accuracy of savings and incentive calculations
- Project verification: SWEPCO and the Implementer reserve the right to site-verify installations prior to project approval. All projects may receive a post-inspection by the Implementer prior to incentive payment

Customer Proposal Process

Once a participating contractor has been approved for the program, the participating contractor may begin submitting projects via a Customer Proposal for approval. Project approval by the Implementer is required before incentive funds are reserved.

Below is a step-by-step process by which a participating contractor may identify a project opportunity and have it accepted into the program with financial incentives reserved. The incentive for a project is paid following this process:

- Qualifying Participant Verification
- Facility Assessment
- Signed Customer Proposal
- Pre-Installation Inspection
- Project Approved / Incentives Reserved
- Project Installation
- Project Completion Notice
- Post-Installation Inspection
- Incentive Payment

Project Identification

Participating contractors conduct facility surveys for qualified small businesses. Qualified small businesses that accept program-provided surveys are asked to sign a Customer Proposal on the date of the survey. Upon receipt of a signed Customer Proposal, the Implementer will review the Customer Proposal for completeness and eligibility. The Implementer may deny approval of a Customer Proposal for a variety of reasons, including, but not limited to:

- The Customer Proposal is incomplete
- The Customer Proposal is received after all funding has been reserved by other participating contractors
- The participating contractor fails to meet program requirements
- The participating contractor fails to submit the required supporting documentation
- The participating contractor is found to have made material misrepresentations in the Customer Proposal
- The participating contractor fails to comply with applicable federal, state and local laws and regulations. Specifically if participating contractor's status changes after initial qualification and enrollment

If the Implementer denies approval of a Customer Proposal, the Implementer will follow up with the participating contractor to request specific information or recommend specific steps to revise the Customer Proposal. The participating contractor can submit the revised Customer Proposal and the Implementer will consider it for approval by the date the new submission is received.

The participating contractor will follow up with qualified small businesses that accept surveys but do not move ahead with projects. Qualified small businesses are expected to exert their best efforts to submit and complete viable projects. The program is not intended to simply provide assessments and customer education. It is intended to stimulate the installation of improvement projects that result in verifiable energy savings for customers, provide business for participating contractors, and add to local economy.

Pre-Installation Inspection and Incentive Reservation

The Implementer will send an inspector to the site or sites to perform a pre-installation inspection (if required) and then notify the customer stating that incentive funding has been reserved for the project(s). A pre-installation inspection must pass before any installation work can begin. If pre-installation inspection fails, the Customer Proposal will be reviewed and updated to depict corrections.

Incentives are subject to availability and reservation. In order to receive incentives from the program, participating contractors must first reserve incentives by completing and submitting a signed Customer Proposal for each individual project. The Implementer will review submitted Customer Proposals and approve eligible projects for an initial incentive reservation. The

Implementer will update the participating contractor if any significant changes are made to the incentive amount reserved for their projects. For more information, please see the “Limits on Participation” section.

Project Installation

Upon completion and written approval of the pre-installation inspection, the participating contractor proceeds with the project installation. Participating contractor must notify the Implementer immediately of any and all changes to the project scope, equipment selection, or timeline during installation. The participating contractor shall provide a copy of the purchase order to verify timeline on a case-by-case basis, as requested by the Implementer.

Project Completion Notice

After the project has been installed, the participating contractor will notify the Implementer of the project’s completion as soon as possible in order to arrange a post-installation inspection of the project. The participating contractor is expected to work with the Implementer to confirm (and update if necessary) the supporting documentation that accompanied the approved Customer Proposal for the now completed project.

Post Installation Inspection

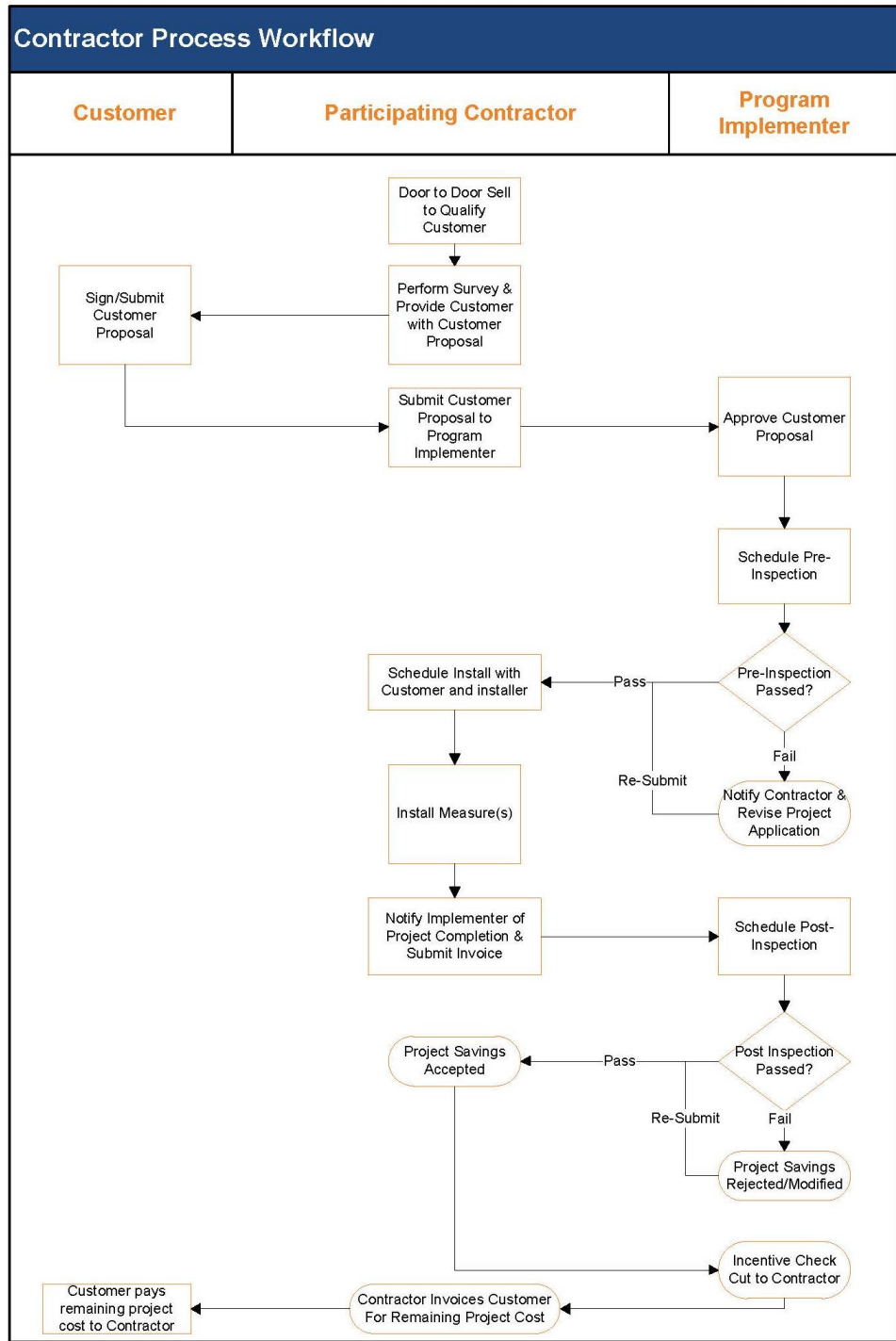
Once the project is completed, the Implementer schedules a post-installation inspection. Using the most recent project documentation, a program inspector will visit the site or sites to verify the equipment has been replaced as indicated. The participating contractor must provide a knowledgeable representative to accompany the inspector on the post-installation inspection.

The Implementer will pre and post inspect 100% of the first five projects submitted by each contractor. Once a contractor successfully passes the initial period an ongoing QC process will be implemented requiring 100% verification on all documentation, and inspections of 20% of total project installations – proportionate to contractor project volume. If a contractor is observed repeatedly failing inspections, or not meeting customer satisfaction requirements, a three strikes policy consisting of an initial notification and correction, probation, and finally program exclusion will be implemented.

Incentive Payment Process

Any incentives received through the program are paid directly to the participating contractor after the project is completed, verified, and a post-installation inspection is conducted. Using the results of the post-installation inspection, the Implementer will determine the eligible peak demand savings (kW) and annual energy savings (kWh/yr) for the project and determine the amount of incentives due to the participating contractor. The program is not under any obligation to provide a participating contractor with more incentives than the amount reserved by the Customer Proposal for any project, even if the participating contractor achieves greater energy

savings by the project than were estimated. However, if budget is still available when a project achieves greater energy savings than estimated, the Implementer has the option to pay the participating contractor more than the amount reserved, up to the incentive calculated by the achieved energy savings. For additional details on how incentive payments are determined, scheduled, and paid, please see the “Measure Eligibility” section in this manual.



Quality

Management System

Quality Assurance	
Program Process Trainings (QA)	<ul style="list-style-type: none"> ▪ The participating contractor will perform an initial survey to identify energy efficiency opportunities. The participating contractor will work with the customer to identify cost-effective upgrades based on the survey findings and their specific needs ▪ Participating contractors will be educated about the program's process for identifying and incentivizing energy efficiency projects
Customer Proposal Review (QA)	<ul style="list-style-type: none"> ▪ Customer Proposals are reviewed and verified by the Implementer
Quality Control	
Post-Installation Inspections (QC)	<ul style="list-style-type: none"> ▪ All projects may receive a pre-inspection. All projects may receive a post-inspection. Any issues noted during the inspections will be discussed with the participating contractors and recommendations for program compliance will be made. Any changes in project scope identified during the post-inspection may result in an adjustment of projected savings and incentive amount
Customer Satisfaction Surveys (QC)	<ul style="list-style-type: none"> ▪ The Implementer may conduct Customer Satisfaction Surveys

Limits on Participation

Incentive budgets available through the program are limited and are made available to participating contractors on a first-come, first-served basis. In the event that incentive reservations exceed the program budget for incentives, the program is considered fully or over-subscribed. If oversubscription to the program should arise, participating contractors will be placed on a waiting list, in the order of when the Customer Proposal was received. Participating Contractors on the waiting list may be able to reserve program incentive funding if projects are cancelled and funds become available.

For property owners with multiple properties, a determination on eligibility for SBDI will be made based on the aggregate usage of owned/managed accounts by program staff.

Program Non-Conformance

Customer Satisfaction

Customers are encouraged to contact program contacts listed on page 14 to report and resolve any complaints about the program. Receiving direct feedback from customers is an essential part of the QA process. Customer feedback can help determine customer satisfaction, program compliance, and identify high and low performing contractors. Customer satisfaction feedback can result in a corrective action (see below: Addressing Non-Conformances and Failures).

Addressing Non-Conformances and Failures

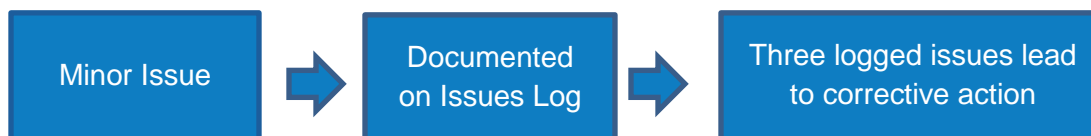
Non-conformance occurs whenever the acceptable variance for a quality indicator is not met or the installation does not measure up to the state and local building standards. The following qualify as non-conformance:

- Installed measures that do not meet industry best practices and standards
- Incorrect incentive amounts based on inspection findings
- Customer or measure eligibility issues
- Customer dissatisfaction

Critical And Non-Critical Issues

Critical issues will move directly to a corrective action that may include a suspension or removal from program participation.

Non-critical issues are things that do not adversely impact the kW and kWh savings and incentive calculations, but that are not accurately recorded and reported, such as equipment model numbers, will be recorded in an Issue Log. If a contractor has repetitive non-critical issues reported on the Issue Log it will be deemed as a systemic issue and will be addressed with a Corrective Action.



Program Contact Information

For questions on program implementation including inspections, payment questions, participation questions, etc., contact:

SWEPCO

Contact: Jeff Thigpen

Phone: 318.673.3372

Email: jdthigpen@aep.com

CLEARResult

Contact: Ryan Stillwell

Phone: (318) 861-8430

Email: ryan.stillwell@clearResult.com

www.swepcogridsmart.com

Disclaimers

The selection of a participating contractor to perform work is the sole decision of the property owner, customer, and/or authorized lessee/occupant. Inclusion of a contractor in the participating contractor list for the program does not constitute an endorsement of any product, individual, or company by SWEPCO or the Implementer. Work performed by participating contractors is not guaranteed or subject to any representation or warranty, either expressed, implied or otherwise, by either SWEPCO or the Implementer. Neither SWEPCO nor Implementer make any guarantee or any other representation or warranty, expressed, implied or otherwise, as to the quality, cost, or effectiveness of any product(s) provided or work(s) performed by any participating contractor, any participating contractor employees, subcontractors, or supplies. Energy efficiency gains are subject to a number of variable conditions and circumstances. While it is the intent of the program to achieve energy efficiencies, neither SWEPCO nor Implementer warrants that any specific energy efficiency gains will be achieved for a particular customer under the program.

Appendices

Appendix A	QA/QC Requirements
Appendix B	Definitions
Appendix C	Frequently Asked Questions
Appendix D	Program Marketing Material
Appendix E	Participating Contractor Agreement

Appendix A: QA/QC Requirements

All products installed as part of SWEPCO SBDI must meet the following Quality Requirements in order to receive program incentives.

Summary of Lighting Quality Requirements

- Ballast, lamp, LED product and control check have been rolled into a broader *Equipment Checks* step
- Ballast Check
 - Requirements for 8-foot T8 systems, where system efficacy (incl. ballast and lamps) must be greater or equal to 80 mean lumens per watt (MLPW)
 - CEE qualified ballast requirements now extend to ballasts running 2-foot, 3-foot, 4-ft 30W, and U-bend T-8 lamps
- Lamp Check
 - Requirements

Specifications for Qualifying T8 Lamps and Ballasts					
Lamp Description	Rated Lamp Life (hrs)	CRI	Initial Lumens per Lamp	Mean Lumens per Lamp	Minimum Mean Lumens per Watt (MLPW)
4-foot and U-Bend T8 Lamps ¹	≥ 24,000	> 80	≥ 3100	≥ 2900	90 (IS ballast) ³ 88 (PRS ballast) ³
4-foot and U-Bend T8 25W and 28W Reduced Wattage Lamps ²	≥ 18,000	> 80	≥ 2585(28W); ≥ 2400 (25W)	≥ 2430(28W); ≥ 2256 (25 W)	90 ³
2-foot T8 and Reduced Wattage lamps	≥ 20,000	> 80	NA	NA	75 ⁴
3-foot T8 and Reduced Wattage Lamps	≥ 20,000	> 80	NA	NA	75 ⁴
4-foot T8 30W Reduced Wattage Lamps	≥ 24,000	> 80	NA	NA	80 ⁴
8-foot T8 Lamp and Ballast Systems	≥ 18,000	> 80	NA	NA	80 ³
21.5"/22.5" Reduced Watt long twin tube CFL	≥ 20,000	> 80	NA	NA	92 ⁴

1. For lamps with color temperatures > 4500 K, minimum requirement of 2950 initial and 2750 mean lamp lumens
2. For lamps with color temperatures > 4500 K and/or > 24,000 hrs rated life, minimum requirements of 88 MLPW system efficacy and for 28W lamps (2600 initial lumens; 2430 mean lumens) and 25W lamps (2300 initial lumens; 2185 mean lumens)
3. System Efficacy = Mean System Lumens/System Wattage; Lamp and Ballast performance taken together.
4. Lamp Efficacy = Mean Lumens/Lamp Wattage

- LED Product Checks, similar to ballast/lamp checks, have been added
 - Resolutions to special cases where unqualified LEDs cannot be avoided
- For 4-foot T8 system retrofits, only CEE-approved T8 lamps and CEE-approved premium efficiency ballasts qualify. Similar requirements apply to 2-foot, 3-foot, U-bend and 30W 4-foot T8 lamps and ballasts and 8-foot T8 lamps

- There are special procedures described at the end of this section for re-lamping projects

Lighting Project Document Requirements

All deemed savings projects require complete documentation of the items below:

- If invoice or shipping receipt cannot be obtained, legible photo documentation will be required
- Insufficient equipment documentation will result in reduced savings or disqualification of the project
- Project Invoices or Shipping Receipts that contain legible part numbers and quantities for all project ballast, lamp, LED product and control equipment are required
- CEE Ballast requirements that were effective in 2011 will be monitored and validated against required invoice/receipt/photo documentation
- CEE lamp requirements that were effective in 2011 will be monitored and validated against required invoice/receipt/photo documentation
- LEDs with insufficient documentation will be treated as unqualified LEDs and cannot receive program incentives
- Fixture Counts
- Fixture Type
- Fixture Location
- Equipment Checks: Ballast, Lamp, LED product, and Control
- Building Type
- Number of Non-Operating Fixtures
- Inspection

Please note the following:

- Any fixtures or areas NOT represented in a pre-inspection form for retrofit projects do not qualify for savings. Multiple pre-inspection forms may be completed for a project prior to removal
- A retrofit project will be considered non-compliant only if building type changes (e.g., warehouse converted to an office building) and/or the building is demolished to the structure (i.e., gutted).

Lighting Project Requirements/Deemed Equipment Requirements

Ballast Check—Retrofit

- Only premium ballasts will be allowed
- Only CEE- approved ballasts will be considered premium ballasts for 2-foot, 3-foot, U-bend and 4-foot T8 systems. Must be validated by Project Invoice, or Shipping Receipt or Photo documentation. Consult CEE Web site for the latest listings: <http://www.cee1.org/com/com-lt/lamps-ballasts.xls>

- 8-foot T8 systems (lamp and ballast combination) must meet the total system efficacy requirements shown in the Non-CEE Specifications for T8 Lamps and Ballasts table below to be considered premium.
 - Specification sheet on all 8-foot lamps must be provided showing the part number, the mean lumens, the rated life, and the CRI; Part number must be validated by Project Invoice, or Shipping Receipt or Photo documentation.
- Project invoice or shipping receipt documentation is required to verify savings and eligibility. Legible part numbers and quantities of all installed ballasts must be included

If invoice or shipping receipt cannot be obtained, legible photo documentation of ballast part numbers installed in field will be required for the fixtures identified.

Lamp Check—Retrofit

- Only premium lamps, as defined below, will be allowed.
- 4-foot T8 Lamps: Only CEE- approved lamps will be considered premium lamps. Must be validated by Project Invoice, or Shipping Receipt or Photo documentation. Consult CEE Web site for the latest listings: <http://www.cee1.org/com/com-lt/lamps-ballasts.xls>
- 2-foot, 3-foot, U-bend, 30W 4-foot, 8-foot T8, and CFT40W long twin tube CFL lamps must meet all the applicable requirements in the table below to be considered premium
- Specification sheet on the lamps must be provided showing the part number, the mean lumens, the rated life, and the CRI; Part number must be validated by Project Invoice, or Shipping Receipt or Photo documentation
- Project invoice or shipping receipt documentation is required to verify savings and eligibility. Legible part numbers, quantities of all installed lamps, and costs must be included

If invoice or shipping receipt cannot be obtained, legible photo documentation of lamp part numbers installed in field will be required for the fixtures identified.

	Minimum Mean Lumens per Watt (MLPW)	Color Rendering Index (CRI)	Rated Lamp Life (hrs)
2-foot T8 and Reduced Wattage lamps	75 MLPW*	>80	20,000
3-foot T8 and Reduced Wattage Lamps	75 MLPW*	>80	20,000
4-foot T8 30W Reduced Wattage Lamps	80 MLPW*	>80	24,000
8-foot T8 Lamp and Ballast Systems	80 MLPW**	>80	18,000
22.5" U-Bend T8 Lamps	80 MLPW*	>80	18,000
21.5"/22.5" Reduced Watt long twin tube CFL (CFT40W)	92 MLPW*	>80	20,000

* Lamp Efficacy = Mean Lumens/Lamp Wattage

** System Efficacy = Mean System Lumens/System Wattage; Lamp and Ballast performance taken together.

LED Product Check

- Particular products or applications are subject to either ENERGY STAR or DLC requirements, but never both. See LED Product Qualification Listing below for a listing of what products/applications are currently covered by what approval body and go to the appropriate link shown to see if a particular product has been approved¹
- Only LEDs that appear by part number on the approved listings qualify for incentives
- Project invoice or shipping receipt documentation is required to verify savings and eligibility; Legible part numbers, quantities of all installed LEDs, and costs must be included
- If invoice or shipping receipt cannot be obtained, legible photo documentation of LED part numbers installed in field will be required for the fixtures identified
- Resolutions to special cases where unqualified LEDs cannot be avoided on a project are provided at the end of this LED section
- LED products with insufficient documentation will be treated as unqualified LEDs and will not receive program incentives

LED Product Qualification Listings		
ENERGY STAR LED Lamps (Bulbs) http://www.energystar.gov → Find ENERGY STAR Products → LED Light Bulbs	<ul style="list-style-type: none"> ▪ Integral Lamps – “LED Light Bulbs” 	
ENERGY STAR LED Fixtures http://www.energystar.gov → Find Energy Star Products → Business & Government → Commercial LED Lighting	<ul style="list-style-type: none"> ▪ Recessed Downlights ▪ Under-cabinet task lighting ▪ Desk task lamps 	
Design Lights Consortium (DLC) LED Fixtures: http://www.designlights.org → Solid State Lighting → Qualified Products List (QPL)	<ul style="list-style-type: none"> ▪ Outdoor Area/Roadway ▪ Outdoor Decorative ▪ Outdoor Wall-Mount ▪ Parking Garage ▪ Track and Directional ▪ Refrigerated Case-Horizontal ▪ Refrigerated Case-Vertical ▪ Display Case 	<ul style="list-style-type: none"> ▪ 2x4, 2x2 and 1x4 troffers ▪ Floodlights ▪ Retrofit kits ▪ Highbay/Highbay Aisle/Lowbay ▪ Fuel Pump Canopy ▪ 4-foot Linear Replacements Lamps ▪ Bollards ▪ Wall-wash Luminaires

Special Case Resolutions for Unqualified LEDs

- If unqualified LEDs are included in a retrofit project, options include:
 - Get qualified LED products substituted
 - Seek qualification of the product through one of the approved options listed
 - Use the pre-retrofit fixture code for both pre and post
- If unqualified LED makes up a significant portion of a project, options include:
 - Get qualified LED products substituted

¹ Products and Applications are added or dropped by these approval bodies periodically, so please check the links provided for the most up-to-date information.

Seek qualification of the product through one of the approved options listed - Control Check

- Select the appropriate control type or combination of control types for both pre and post, as is applicable to the project
- Project invoice or shipping receipt documentation is required to verify savings and eligibility. Legible part numbers, quantities of all installed controls, and costs must be included
- If invoice or shipping receipt cannot be obtained, photo documentation of controls installed in field will be required for the controls identified

Re-lamping Projects for Linear Fluorescents

- Project Invoice or Shipping Receipt is required (as outlined in the Equipment Check) to validate lamp eligibility
- Reduced-wattage lamps used in re-lamping projects must be CEE listed lamps
- Lamp Checks will be performed
- For projects that involve whole system (lamp and ballast) change outs, use the standard program Lighting Survey Form to document those savings
- De-lamping outside the context of full system (lamp and ballast) change out is not eligible

Summary of Non-Lighting Quality Requirements

All non-lighting measures meeting the requirements of LPSC's active Technical Resource Manual will be handled individually between the coordination of the participating contractor and the Implementer.

Appendix B: Definitions

Customer Proposal – In order to qualify as a participant and reserve financial incentives through SWEPCO SBDI, participating contractor must submit a signed Customer Proposal, and provide complete details on the location, account, etc., of the participating customer.

Deemed Savings – A set of pre-determined, validated estimates of energy and peak demand savings attributable to energy efficiency measures in particular types of applications that an electric utility may use instead of energy and peak demand savings determined through measurement and verification activities.

Demand Savings (kW) – Peak demand savings that have been approved using one of the eligible measurement and verification protocols as set forth in this Program Manual.

Estimated Incentive Payment – Contained in the Customer Proposal (once approved by the Implementer), this is the amount of incentives reserved in the program budget for the list of committed projects.

Participating Contractor Agreement – Non-binding agreement signed and submitted by participating contractor, stating their intent to participate in the program.

Peak demand – Electrical demand at the times of highest annual demand on the utility's system.

Peak demand reduction – Reduction in demand on the utility system throughout the utility system's peak period.

Peak period – For the purpose of this section, the peak period consists of the hours from one p.m. to seven p.m., during the months of June, July, August, and September, excluding weekends and Federal holidays.

Post-Installation Inspection – Inspection performed after installation of new equipment. Post installation inspection verifies actual installed measure(s) to verify resulting deemed or measured and verified demand and energy savings.

Pre-Installation Inspection – Inspection performed prior to any replacement of existing equipment or device to validate and collect data on existing equipment and measures.

Appendix C: Frequently Asked Questions

For Customers

Q1.What is the Program?

A1. SBDI brings energy efficiency solutions to small businesses. The program offers the following incentives to eligible customers:

- Free, no-obligation facility assessment to identify potential energy-saving opportunities
- Recommendations and estimates of energy savings, project costs, and payback periods
- Installation of approved energy-saving equipment by a local pre-qualified contractor
- Pre- and post-installation inspections at no cost
- Incentives paid directly to your contractor by the program

Q2.How do I know if I am an eligible customer?

A2. SBDI is available to non-residential commercial class customers with a valid SWEPCO account number and whose peak demand is less than 100kW.

Q3.Which products qualify for incentives?

A3. Incentives are available through a participating contractor for qualifying high efficiency lighting, water heating, and refrigeration technologies. Incentives will be reflected as a discount on your contractor's bill.

Q4.How do I find a participating contractor?

A4. Visit www.swepcogridsmart.com for a list of participating SWEPCO contractors and their contact information.

For Contractors

Q1.What are the incentives?

A1. The Program will pay \$0.16/kWh reduced for customers up to 90% of the project cost.

Q2.How do I get involved?

A2. Visit www.swepcogridsmart.com or contact a SWEPCO representative at 479.935.9060.

Q3.How do I schedule a training session?

A3. Contact Laura Drexel at laura.drexel@clearesult.com or 512.777.6706 to schedule a training session.

Q4.What's involved in training?

A4. Participating contractors will participate in classroom and field training using the Proposal Generation Software Application (Open Field Tool), which enables contractors to do the following:

- Perform facility surveys for measures listed in the "Measure Eligibility" section

- Generate Customer Proposals which (upon program approval) reserves incentives for the projects
- Obtain electronic customer signature
- Submit Customer Proposal to reserve program funds
- Track project and incentive status

Q5.How much does the field tool cost?

A5.The Open Field Tool is provided to approved participating contractors free of charge, upon completion of the Participating Contractor Agreement. Any participating contractor wishing to utilize the Open Field Tool will be responsible for acquiring his/her own compatible mobile device.

2016-2017 Participating Contractor Agreement

SWEPCO is offering the Small Business Direct Install to improve the energy efficiency of small commercial facilities located within SWEPCO's Louisiana service territory. SWEPCO contracted with CLEAResult to promote and administer the program.

Contractor Network Benefits

The program provides the following benefits to participating contractors:

- Training for participating contractors
- Complimentary access and support to the Proposal Generation Software Application (Open Field Tool) to quantify, and demonstrate the value of energy efficiency opportunities and incentives provided by the program
- Access to trainers who are available to assist in clarifying program processes and use of the Open Field Tool
- The opportunity to promote and market the program to customers of SWEPCO
- Aggressive peak electric demand savings-based incentives aimed at increasing customer adoption of energy efficiency measures

Participation Requirements

Insurance

During the term, participating contractors shall maintain and provide proof of the following Commercial General Liability Insurance Minimums:

- \$1,000,000 general liability insurance coverage
- Worker's compensation and employer's liability coverage
- Business automobile liability coverage including owned, non-owned, and hired vehicles

Licenses

At all times during the program, participating contractors must adhere to all permitting and licensing requirements as set forth by federal, state, county, and/or municipal authorities with jurisdiction overseeing work performed.

Enrollment Instructions

Step 1: Complete an Application and Agreement.

Step 2: Complete a W-9

Step 3: Submit completed Application and Agreement, W-9, certificate of insurance, and copies of required licenses and/or training certificates (if applicable) via:

Email: programs.swepcola@clearResult.com

Mail: SWEPCO SBDI
 910 Pierremont Rd., Suite 410
 Shreveport, LA 71106

Company Information					
Company Name:					
Address:					
City:		State:		Zip:	
Contact Name:					
Phone:		Fax Number:			
E-Mail Address:					
Website					
Mailing and Incentive Information					
Mailing Address:					
City:		State:		Zip:	
Company Tax ID or SSN:					
Please identify products and/or services provided by company.					
<input type="checkbox"/> Lighting Efficiency <input type="checkbox"/> Lighting Controls <input type="checkbox"/> Refrigeration <input type="checkbox"/> Other					
*Required BPI or RESNET certified auditor on staff? <input type="checkbox"/> Yes <input type="checkbox"/> No					
Staff, Training, and Certifications					
Staff Member Name	Trainings/Certifications			Date Completed	

Terms and Conditions

This Contractor Agreement (“Agreement”) is made and entered into by and between CLEAResult, (hereinafter “Implementer”), and _____ (hereinafter “Participating Contractor”), (Implementer and Participating Contractor each hereinafter referred to as a “Party” and together as the “Parties”). Implementer administers the Small Business Direct Install program (hereinafter “Program”) on behalf of SWEPCO, a division of American Electric Power (hereinafter “Utility”). In consideration of the mutual covenants and agreements hereinafter set forth, the adequacy and sufficiency of which are hereby acknowledged, the Parties hereby agree as follows:

As a Participating Contractor in the Program, Participating Contractor hereby agrees to the following:

1. The Participating Contractor agrees to the roles, responsibilities, requirements, policies, terms, conditions, and guidelines of the Program as set forth in the SBDI Program Manual.
2. Participating Contractor is an independent contractor in relation to the Implementer and Utility, and is voluntarily participating in the Program to deliver the services as outlined in the program manual directly to customers for whom Utility provides electric delivery service (“Customer”). As such, Participating Contractor shall not be deemed a partner, agent, or employee of the Implementer, Utility, or Customer for any purpose. Participating Contractor will pay all of its administrative, overhead, and other costs, including withholding taxes, social security, unemployment, disability, health, workers’ compensation, or other insurance coverage.
3. Participating Contractor shall not knowingly misrepresent any information concerning the Program, its purpose, policies, incentives, and procedures, or their role in the Program or relationship with the Implementer or the Utility.
4. Participating Contractor acknowledges that incentives will be paid by Utility only if: 1) Customer(s) and installed measure(s) or services meet the program eligibility requirements outlined in the program manual; 2) Measures are installed in project sites that receive delivery of electricity from Utility (SWEPCO’s Louisiana service territory) as evidenced by the meter number; and 3) Measures are installed at a project site that has not received incentives from any other of Utility’s energy efficiency programs for the same measure(s). Participating Contractor understands that Utility may withhold incentive payments committed to the Participating Contractor if the project site is proven to not receive electric delivery service from Utility.
5. Participating Contractor will, at its sole expense, purchase, maintain, and require its agents and subcontractors to purchase and maintain, during the term of its participation in the Program, insurance policies with substantial and sound insurers, having coverage of the types and at least in the amounts specified in this Agreement.
6. Participating Contractor shall not use the Implementer or its affiliates, or SWEPCO trademarks without written approval by the Implementer, or Utility respectively.
7. The Implementer has the sole right and authority to determine acceptance of Participating Contractor’s application and resulting right of participation in the Program.
8. Participating Contractor must agree to pursue referral leads resulting from the Program’s marketing and communications efforts, and must make a good faith effort to provide, in a timely fashion, services to these leads in accordance with the Program guidelines and this Agreement. Participating Contractor recognizes that any leads received as a result of the Program’s efforts constitute a Program benefit.
9. Participating Contractor understands that participation in the Program does not constitute an endorsement of any kind on the part of the Implementer or Utility. Participating Contractor shall not state or imply any such endorsement, either directly or indirectly, in written or verbal form.
10. Participating Contractor shall not mislead any customer(s) about the availability of Program incentives or misrepresent its role in the incentive award process. Only Utility or the Implementer on behalf of Utility, in its sole discretion can approve or reallocate Program incentives for a customer.
11. Participating Contractor must possess the required diagnostic equipment, in good working order, and have the ability to deploy it at each participating location, prior to commencing comprehensive energy audits and installing measures under the Program.
12. Participating Contractor, and its agents and subcontractors, shall retain all necessary licensures, certification, training, and other requirements as deemed necessary by state law, the Program policies and guidelines, and all relevant documentation pertaining to the installation of the energy efficiency measures, and will provide immediate access to such documentation to the Implementer and Utility upon request. This includes but is not limited to appropriate liability insurance, permits, licensure, or certification information, installed equipment model and serial numbers, etc.
13. Participating Contractor must agree to allow random field inspections, by Utility, the Implementer or its designee, of work that has been performed. Participating Contractor, upon request from Utility or the Implementer, and at no additional cost to the customer, shall make reasonable repairs or corrections to work that Participating Contractor has performed to bring such work up to Program standards.
14. Participating Contractor, its employees, agents and subcontractors, represent and warrant that: 1) the services performed for a customer through the Program shall be performed in a good workmanlike, skilled, and professional

manner; 2) the services shall comply in all material respects with the specification and other requirements set forth in each applicable contract with customer and in strict accordance with the Program and this Agreement; 3) Participating Contractor's performance of the services shall not violate any applicable law, rule, regulation, contracts with third parties, and/or any third-party rights, including, without limitation, any copyright, trademark, trade secret, or patent or similar right; and 4) Participating Contractor is the lawful owner or licensee of any intellectual property, software applications or other materials used by Participating Contractor in the performance and delivery of the services and has all rights necessary to convey to customer the unencumbered ownership of all work product that results from the services.

15. Participating Contractor understands that the Implementer reserves the right to terminate or to modify this Agreement at any time for Participating Contractor's noncompliance with the program manual, any law, any clause of this Agreement. In the event of termination of this Agreement by the Implementer, Participating Contractor will be notified of such termination in writing, and Participating Contractor will be allowed 30 days from the date of the termination to submit any remaining documentation for qualifying energy efficiency measures that have previously been installed for a customer by the Participating Contractor.
16. Participating Contractor acknowledges that the Implementer is an independent contractor with respect to Utility and the Program, and that beyond reserving incentive funds, the Implementer is not authorized to make reservations or incur obligations on behalf of Utility.
17. Any review, inspection, or acceptance by the Implementer or Utility of the project site or of the design, construction, installation, operation or maintenance of any energy efficiency measure and/or energy generation measure(s) by the Implementer or Utility is solely for the information of Utility and that, in performing any such inspection or review or in accepting an energy efficiency measure and/or energy generation measure(s), Utility makes no representation or warranty whatsoever, whether expressed or implied, including without limitation warranty of merchantability and fitness for a particular purpose, as to the economic or technical feasibility, capability, safety, or reliability of the energy efficiency measure and/or energy generation measure(s) or its installation by the Participating Contractor.
18. Participating Contractor shall defend, protect, indemnify, and hold harmless Utility and the Implementer, their respective officers, directors, agents, and employees, and each of their parents and affiliates, and each of their respective officers, directors, agents, and employees (collectively referred to as the "Indemnified Parties") from and against any and all claims, losses, expenses, attorneys' fees, damages, demands, judgments, causes of action, suits, and liability in tort, contract, or any other basis and of every kind and character whatsoever (hereinafter referred to as "claims") arising out of Participating Contractors, or its agents or subcontractors, acts or omissions incident to or related in any way to, directly or indirectly, the services, agreement and/or the Program. Participating Contractor acknowledges and agrees that with respect to any claims brought against the Indemnified Parties, Participating Contractor will be required to waive as to the Indemnified Parties any defense it may have by virtue of the Workers' Compensation Laws of any state, to the extent allowed by law.
19. In the course of participation in the Program, Participating Contractor may have access to confidential information. Participating Contractor agrees to 1) use such confidential information solely for the purposes for which it is provided; 2) not disclose such confidential information to any third party; and 3) otherwise protect such confidential information from unauthorized use and disclosure to the same extent that it protects its own confidential information of a similar nature.
20. Participating Contractor will not assign any of the rights or responsibilities arising from this Agreement to any individual or entity without first having obtained the written approval of the Implementer.
21. In no event shall the Implementer or Utility be liable to Participating Contractor, its employees, agents, or subcontractors for damages whatsoever (including but not limited to lost profits or interruption of business) arising out of the Program, or the services related to this Agreement, even if advised of the possibility of such damages.
22. Participating Contractor agrees that no marketing materials shall be created to promote the Program without prior authorization from the Implementer and Utility. The Implementer will provide approved marketing materials to Participating Contractor.
23. This Agreement shall be governed by and construed in accordance with the laws of the State of Louisiana, The Parties agree that the proper venue and jurisdiction for any cause of action relating to this Agreement will be, Caddo Parish, Louisiana, unless such cause of action is within the jurisdiction of the Louisiana Public Service Commission, in which case proper venue and jurisdiction will be at the APSC.
24. Participating Contractor acknowledges that they have read this Agreement, understand it, and agree to be bound by its terms. No modification or waiver of any provision shall be binding unless it is contained in writing signed by both Parties.

Tax Implications

Incentives are taxable and, if annual total is greater than \$600, will be reported to the IRS on Form 1099 unless Participating Contractor has indicated Corporation or Exempt tax status on the Participating Contractor information portion of this Agreement. Participating Contractor must provide the Implementer with its tax identification number on a W9 form. Utility nor Implementer will be responsible for any tax liability imposed on the Participating Contractor as a result of Participating Contractor's receipt of incentives. Participating Contractors and customers are encouraged to consult with their tax advisors about the taxability of any incentive payments.

Agreement

Company: SWEPCO

Company: _____

Name: Paul Pratt

Name: _____

Signature: _____

Signature: _____

Title: Manager, Consumer Programs

Title: _____

Date: _____

Date: _____