

April 2019 – Version 4

# **Air Source Heat Pump Program Manual**

## **Program Opportunity Notice 3653**

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# Introduction

## What is the Air Source Heat Pump Program?

Air source heat pumps (ASHPs)<sup>1</sup> have been an efficient source of cooling for years, but advances in technology now allow them to effectively address heating needs in cold climates, helping customers lower their energy costs and reduce greenhouse gas emissions. New York State Energy Research and Development Authority (NYSERDA) launched the Air Source Heat Pump Program to expand the adoption of advanced ASHPs and encourage wider use for space heating and cooling. Part of a larger strategy focused on clean heating and cooling, this initiative is a component of an ASHP sales and training program aimed at increasing the availability of these units in the marketplace. To maximize cost savings, NYSEDA is also making incentives available for qualifying integrated controls that are intended to operate the ASHP as the primary heating source.

ASHP contractors can join the program and become participating installers by submitting their application online.

NYSERDA highly recommends that site owners contact a home performance professional to assess and implement energy efficiency opportunities related to building envelope and HVAC distribution before, or in coordination with, installing an ASHP system. Common thermal efficiency updates for an existing home include attic and wall insulation, air sealing, and duct sealing. Making these types of improvements can significantly help meet the goal to provide cost-effective heating with the installation of a cold-climate heat pump. Site owners can access programs and assistance through NYSEDA and/or their local utility.

- [Home Performance with ENERGY STAR®](#)
- [Assisted Home Performance with ENERGY STAR®](#)
- [Multifamily Performance Program](#)

The [Database of State Incentives for Renewables and Efficiency](#) also provides a list of available energy efficiency resources.

**Note:** NYSERDA may modify the content of this Manual at any time. Participating Installers will be notified electronically of any modification or change.

## Available Incentive Funding

Each Participating Installer is eligible to apply for and retain a \$500 “Participating Installer Incentive” for each qualified and installed ASHP system. Additional “Site Owner Incentives” are available for Whole-House Solution<sup>2</sup>

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<sup>1</sup> **Air source heat pump (ASHP):** Air-source heat pumps transfer heat between the inside of a building and outside air. A heat pump's refrigeration system consists of a compressor and two coils made of copper tubing (one inside and one outside), which are surrounded by aluminum fins to aid heat transfer. In the heating mode, liquid refrigerant in the outside coils extracts heat from the air and evaporates into a gas. The inside coils release heat from the refrigerant as it condenses back into a liquid. A reversing valve, near the compressor, can change the direction of the refrigerant flow for cooling as well as for defrosting the outside coils in winter.

<sup>2</sup> **Whole-House Solution ASHP System:** An ASHP System installed as a home's primary heating source, designed with a full-load heating capacity between 90% and 120% of peak heating load, corresponding to the approved heat load calculation determined by utilizing a Manual J or an equivalent energy simulation program or calculator. These ASHP systems must include at least one of the following configurations as defined by the [Northeast Energy Efficiency Partnership](#):

- Singlezone Ducted, Centrally Ducted
- Multizone All Ducted
- Multizone All Non-ducted that includes two or more indoor heads
- Multizone Mix of Non-ducted and Ducted that includes two or more heads

ASHP Systems and for integrated controls<sup>3</sup>; all Site Owner Incentives must be passed on or otherwise credited to the site owner in their entirety. The program provides flexibility to participating contractors to decide how best to use each of their qualifying \$500 Participating Installer Incentives to help grow that portion of their business.

NYSERDA will pay out incentives according to the following table:

<b>Qualifying Equipment</b>	<b>Participating Installer Incentive</b>	<b>Site Owner Incentive</b>
2-Ton Whole-House Solution ASHP System	\$500	\$1,500
3-Ton Whole-House Solution ASHP System	\$500	\$2,500
4-Ton Whole-House Solution ASHP System	\$500	\$3,500
5-Ton Whole-House Solution ASHP System	\$500	\$4,500
Other than Whole-House Solution ASHP System <sup>4</sup>	\$500	\$0
<b>Qualifying Control/Thermostat</b>		
Integrated Control Package	\$0	\$500
Dual Fuel Thermostat	\$0	\$50

## Modifications to Incentives

NYSERDA reserves the right to change the incentive offering (including but not limited to amount, timing, recipient, structure, and cap) at any time.

If changing the incentive structure becomes necessary, NYSERDA will attempt to give reasonable notice to Participating Installers via email. Program changes, including changes to this Manual, will also be e-mailed to Participating Installers and posted at [nyserdera.ny.gov/ASHP](http://nyserdera.ny.gov/ASHP). Incentive amounts will not change for any project already approved by NYSERDA. Applications submitted after an incentive change will be processed at the new level. Participating installers are prohibited from cancelling submitted incentive applications and re-applying if the new incentive payment results in a higher amount. NYSERDA reserves the right to structure incentive payments differently to accommodate unique situations.

## Green Jobs – Green New York Financing

The Green Jobs – Green New York (GJGNY) Act of 2009 established a revolving loan fund to provide loans to finance energy efficiency improvements. Participating Installers have the availability to offer customers this financing option as part of ASHP sales tools. Participating Installer need to become a participating contractor with Energy Finance Solutions (EFS) in order to offer this financing.

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<sup>3</sup> **Integrated Control:** NYSERDA qualified integrated control package or dual fuel thermostat that can switch between a qualifying ASHP system and a central heating system.

<sup>4</sup> **Other than Whole-House ASHP System:** An ASHP System NOT installed as a home’s primary heating source including one of more of the following configurations:

- Non-ducted single-zone system with non-ducted indoor units, also referred to as mini-splits
- Non-ducted multi-zone systems rated with non-ducted indoor units, also referred to as mini-splits
- Ducted single-zone system with compact-ducted indoor unit

To become an EFS participating contractor, if not already an approved EFS participating contractor in another NYSERDA program, [enroll here](#) and then let NYSERDA know once you are accepted so your account can be updated.

Once accepted by EFS, your customers (site owner) would then have the ability to complete an [online application](#) with EFS to determine loan eligibility. The customer should in turn receive a pre-approval letter.

Subsequently the following documents are required to be submitted to NYSERDA for an ASHP project to be considered for a GJGNY loan:

- A copy of the customer's pre-approval letter
- A completed [ASHP Proforma Analysis](#)
- A summary of the following on your company letterhead:
  - Loan amount
  - Loan interest rate
  - Loan term
  - Total Project Cost
  - Customer contribution
  - Site Address
  - Customer Name
  - Customer Phone Number
  - Customer Email Address
- These documents can be returned to NYSERDA in two manners:
  - If your customer's plans include to proceed with the ASHP installation regardless of approval GJGNY Financing, submit additional documents with your ASHP [Project Application](#). NYSERDA's application portal has been updated to accept this additional material.
  - If your customer's installation decision is based on approval of GJGNY financing (i.e. you would NOT be completing the ASHP project unless the financing is approval) you would instead email the three required documents above to the [products@nyserda.ny.gov](mailto:products@nyserda.ny.gov) mailbox so NYSERDA can review outside of our standard project application review process.

## Eligibility and Requirements

Projects and installers must meet the requirements in this manual for incentive eligibility. Only ASHP systems and integrated controls installed after an installation contractor has become a Participating Installer are eligible for incentives.

### Site Eligibility

Only residential sites are eligible at this time. Eligible sites include new and existing single-family residential homes<sup>5</sup> and multifamily residential<sup>6</sup> buildings that pay, or will pay, the System Benefits Charge or Clean Energy Fund surcharge on their electricity bills. Sites must be occupied year-round. Eligibility may change at NYSERDA's discretion.

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<sup>5</sup> **Single-family residential system:** An ASHP system serving a stand-alone structure with one-to-four residential units.

<sup>6</sup> **Multifamily residential:** An ASHP system serving a stand-alone structure with five or more residential units.

## Application Requirements

Only Participating Installers are eligible to submit incentive applications. Incentive applications must be submitted following Project completion (after the system has been installed).<sup>7</sup>

## Participating Installer Requirements

ASHP installation contractors seeking to become participating installers must complete and submit to NYSERDA an ASHP Program Participating Installer Application, available [online](#).

Applications must include the following documents:

- A copy of the [U.S. Environmental Protection Agency Section 608 Technician](#) Certification
- A signed copy of the Participation Agreement
- ASHP Manufacturer-sponsored Installation Training Certificate or comparable proof of training completion documentation covering the following areas:
  - Condensate Management
  - Controls
  - Electrical Wiring
  - Evacuation and Charging
  - Field Settings
  - Piping and Charging
  - Product Introduction
  - R-410A and PVE Oil
  - System Start-Up
  - Tools
  - Troubleshooting
  - Unit Location Considerations
- A certificate of insurance satisfying the requirements outlined under Article 4 of the [Air-Source Heat Pump Program Participation Agreement](#).

## Component Requirements

All components installed as part of an approved ASHP system and/or integrated control must be new. Used or refurbished equipment is not permitted under the program.

Additionally, for incentive eligibility, the ASHP(s) must be on the [Cold Climate Air-source Heat Pump \(ccASHP\) specification listing](#) at the time of installation. Developed by the Northeast Energy Efficiency Partnership, ccASHP identifies ASHPs best suited to heat efficiently in cold climates.

## ASHP Selection and Sizing Requirements

The use of ASHPs in cold climates is growing rapidly, but system sizing and selection practices have not always kept up with the wide range of applications commonly found in cold climates. System performance, comfort, and energy efficiency can be significantly impacted by poor sizing and system selection. The air source heat pump must be properly sized for the application to ensure satisfaction and optimization of the heat pump. Heat pumps and

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<sup>7</sup> **Project Completion Date:** The date upon which the ASHP has been fully installed and operable and, if applicable, the ASHP system has been commissioned.

the distribution system (if applicable) must be the correct type and size to meet the building heat load requirements in such a manner as to optimize performance of the heat pump throughout the heating season. NYSERDA encourages Participating Installers use the [NEEP Guide to Sizing and Selecting Air-Source Heat Pumps in Cold Climates](#) guide to assist in sizing and selecting ASHPs for cold climate applications, while maintaining high efficiency, performance, and customer satisfaction.

Projects including incentive requests for a Whole-House Solution ASHP System MUST complete and submit a heat load calculation with each project application utilizing an Air Conditioning Contractors of America (ACCA) Manual J Residential Load Calculation<sup>8</sup> or an equivalent energy simulation program or calculator. Air source heat pump contractors are also encouraged to use additional design manuals as applicable to the system, including ACCA Manual S: Residential Equipment Selection<sup>9</sup>, ACCA Manual D: Duct Design<sup>10</sup>, ACCA Manual T: Air Distribution<sup>11</sup>, and ACCA Manual B: Test, Adjust and Balance<sup>12</sup>.

## ASHP Installation Requirements

Equipment installation must comply with manufacturer's specifications and installations instructions. NYSERDA encourages Participating Installers to use the [NEEP Guide to Installing Air-Source Heat Pumps in Cold Climates](#) as a resource for all installations.

For Ducted Whole-House Solution ASHP System installations:

The installer shall verify and document the system's operation with manufacturer's specifications using one or both of the following methods:

1. direct measurement of the system airflow across a dry indoor heat exchanger coil in CFM/ton, OR
2. measurement of the total external static pressure drop (air handler unit entering pressure minus the air handler unit exiting pressure) in Pascals or inches of water column.

## Integrated Controls

Integrated Controls have the potential to maximize savings from supplemental ASHP Systems by managing the interaction with a home's legacy central heating system. To encourage usage of integrated controls, NYSERDA is providing incentives for these controls. The entirety of these incentives, found in the Available Incentive Funding table above, must be passed onto the Site Owner.

The list of qualified Integrated Controls can be found [here](#).

## Compliance with Laws and Codes

ASHP systems, integrated controls, system components, and installations must comply with all manufacturers' installation requirements applicable laws, regulations, codes, licensing, and permit requirements including, but not limited to, the New York State Environmental Quality Review (SEQR), the New York State Building Code, New York State Plumbing Code, the National Electric Code, Fire Codes and all applicable State, city, town, or local ordinances or permit requirements. For more information see [Quality Assurance, Quality Control, and Compliance](#).

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<sup>8</sup> **ACCA Manual J: Residential Load Calculation** This heat load calculation representing a building's heating, cooling, and dehumidification capacity needed for a heating and/or cooling unit under design conditions.

<sup>9</sup> **ACCA Manual S: Residential Equipment Selection:** Method used to select equipment which meets the application requirements at the design conditions that were used for calculating the loads.

<sup>10</sup> **ACCA Manual D: Duct Design:** Method used to determine the overall duct lay-out including the individual duct sizes.

<sup>11</sup> **ACCA Manual T: Air Distribution:** Method used to determine how to distribute airflow.

<sup>12</sup> **ACCA Manual B: Test, Adjust and Balance:** Method designed to test and balance HVAC equipment in an order that speeds up and improves the balancing process.

## Operation, Maintenance, and Warranty Requirements

ASHPs can be complicated, so it is important that owners understand how to effectively operate and maintain their new systems. Participating installers must train site owners on system operation and maintenance, including on the use of these systems in both heating and cooling modes. A detailed manufacturer operation handbook as well as a maintenance manual containing information on the major components and a schedule of required system maintenance must be provided by the installer. Based upon best practices and manufacturers installation manuals, outdoor units should be installed above the local snow line. A map of the New York State average snow depth can be found [here](#). Each qualified ASHP system receiving an incentive under this program must include a minimum five (5) year manufacturer's warranty for parts, including compressor.

## Execution of Work Requirements

All equipment and accessories must be installed in a workmanlike manner.

## Logo Use

Participating Installers are not permitted to use, reproduce or otherwise publish NYSERDA's logo.

# Participating in the Program

Only participating installers are eligible to participate in the program and receive incentives.

## Step 1. Become a Participating Installer

- For program participation eligibility, ASHP installation contractors must demonstrate they meet the requirements provided in the [Participating Installer Requirements section](#).
- Prior to submitting a Participating Installer Application, interested ASHP installation contractors must review the Manual and the Participation Agreement.
- To enroll, ASHP installation contractors must submit all required documentation in the [Participating Installer Requirements section](#) including the signed Participating Installer application and Participation Agreement.
- Upon acceptance into the program, the Participating Installer will receive a welcome email that contains a link to the incentive application portal. The portal will also be available at [nyserda.ny.gov/ASHP](https://nyserda.ny.gov/ASHP).

Initially all Participating Installers will be given a provisional status. For more information see the [Participation Status and Status Review Process section](#).

## Step 2. Install ASHP Systems / Submit Project Applications

Once accepted, Participating Installers can begin installing and then submitting project applications.

- Only confirmed Participating Installers may apply for incentives.
- All proposed sites must meet the requirements in the [Site Eligibility section](#)
- **Applications will not be accepted for installations occurring prior to an installation contractor becoming a Participating Installer.**



- **Each incentive application must include a copy of the invoice or contract with the Site Owner<sup>13</sup> and a completed [ASHP Commissioning Checklist](#).**
  - **For each Whole-House Solution ASHP System and Integrated Control installations, the customer invoice or contract submitted with each project application MUST demonstrate that the Site Owner Incentive(s), is being passed onto the site owner.**
  - **Each Whole-House Solution ASHP System project application must include a completed Manual J or equivalent energy simulation program or calculator demonstrating the installed system has a full-load heating capacity of between 90% and 120% of peak heating load.**
- Incentive applications will be evaluated to ensure they meet the eligibility and project requirements stated in this manual. NYSERDA reserves the right to accept or reject incentive applications based on a lack of completeness, qualitative criteria, and available funding. NYSERDA may make no awards, award less than the incentive request, and/or award less than the maximum amount of the potential funds available.

### Step 3. Project Applications Reviewed / Payments Issued

NYSERDA will pay incentives to the Participating Installer in accordance with NYSERDA’s prompt payment policy.

NYSERDA will notify the Participating Installer on the status of each incentive application within 10 business days of receipt, barring extenuating circumstances. If the application meets all program requirements and funding remains available, NYSERDA will approve the incentive application via email.

Rejection or modification of an incentive application is at NYSERDA’s sole discretion for either of the following reasons:

- The Participating Installer’s past performance on NYSERDA-supported projects did not meet program requirements.
- The quality of the incentive application or responsiveness of the Participating Installer is insufficient as determined by NYSERDA.

## Quality Assurance, Quality Control, Compliance, and Participation Status

NYSERDA maintains the integrity of the program through an independent standards and quality assurance team, which manages the quality assurance (QA) and quality control (QC) systems for the ASHP program. The QA/QC system includes the establishment of program standards and comprehensive field inspections that can be found in the [ASHP Field Inspection and Commissioning Checklists](#) include verification of installation and delivered quality of the ASHP installation. QA inspections are conducted by a qualified independent third-party competitively selected by NYSERDA.

Such visits will be at a time convenient to the owner of the site where the ASHP system was installed. The site owner has the option of having the participating installer attend the inspection. If the site owner declines, no notice of scheduled inspections will be sent out to the Participating Installer, but that Participating Installer will receive the results within 15 business days.

If the site owner accepts the attendance of the Participating Installer, a notice of the scheduled inspections will be sent to both parties a week in advance. NYSERDA will make a reasonable effort to accommodate the schedule of the Participating Installer, but the schedule of the site owner and QA/QC inspector will take precedence.

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<sup>13</sup> The Site Owner must have title to the site at which the ASHP is installed.

The written agreement between the installer and the site owner should reference the installer's participation in ASHP Program and should allow access by NYSERDA or its representatives for purposes of completing a QA/QC inspection.

## **Inspection of Completed Projects**

NYSERDA selects specific completed projects for QA inspections following a rational sampling protocol. The protocol utilizes a strategic sampling of completed projects with rates primarily based on the Participating Installer's current program status, and recent field inspection scores.

The purpose of the field inspections is to provide NYSERDA with an opportunity to evaluate the accuracy of the site analysis and to verify that the ASHP system was installed according to program requirements. The QA inspection also includes selected health and safety and performance items, and specific compliance items per applicable code.

NYSERDA selects each Participating Installers' initial three (3) completed ASHP projects for field inspection. Field inspections are conducted by a qualified independent third party, using comprehensive field inspection QA checklists and other QA inspection processes approved by NYSERDA.

NYSERDA may also select any completed project for inspection at any point in the future for any reason, including a field inspection based on customer complaints, warranty-related issues, or a review of the work done by the Participating Installer under status review or program disciplinary action. All Participating Installers are encouraged to perform in-house quality control of each project.

Following a field inspection, NYSERDA will produce a report and determine whether the project fully complies with all program requirements and meets acceptable standards of workmanship. The report will be available to the Participating Installer approximately 15 days after the inspection following an internal review and scoring by NYSERDA. The site owner must submit a request in writing directly to NYSERDA in order to obtain a copy of the report.

## **Procedure for Handling Nonconformance and Corrective Action**

The QA inspection report will provide details of all evaluated elements of the project and list any nonconformances identified. The report will provide an overall score of the project and identify a pass or fail. Projects that have nonconformances related to critical (health and safety) or major (system performance) attributes will automatically fail. Projects that have only nonconformances to minor or incidental attributes may pass or fail based on their overall merits. All nonconformances are expected to be addressed and corrected in future work conducted in the program. Acknowledgment and plans for preventing future problems may be requested with the report. While some nonconformances cannot be corrected post installation, others can be remedied through corrective action to the documentation, incentive applied to the project, or remediation of the installation or its components. When NYSERDA seeks specific corrective action, a corrective action response (CAR) form will be provided with the QA report. The CAR must be either disputed within 15 days by contacting NYSERDA or remedied within 30 days. Sufficient evidence of remediation must be provided to NYSERDA documenting the completion of required actions. NYSERDA may, at its discretion, conduct a field verification of the remediated installation. NYSERDA has the right to provide a copy of the QA report; CAR; or specific information from the QA field inspections directly to the site owner based on health, safety, and compliance concerns. In an emergency, NYSERDA or its representatives may shut down the system. NYSERDA will notify the Participating Installer of such action as soon as is possible. NYSERDA may communicate with any site owner on any matter relevant to a project. Such communications may be in reply to an inquiry from a site owner or at NYSERDA's initiation.

## **Participation Status**

Participating Installers will be classified in one of the following status designations: provisional, full, probationary, suspended, or terminated. Each designation will be subject to limitations or requirements associated with that designation. NYSERDA reserves the right to modify the definition, limitations, and requirements of these

designations. A Participating Installer's progression into and/or through any status designation is determined at NYSERDA's sole discretion.

**Provisional Status:** All new Participating Installers will initially be classified as provisional. They will be listed on NYSERDA's website. Following the completion of the third project review, NYSERDA will conduct a formal review to evaluate a change in status. Evaluation for a change to full status will be based upon the quality and consistency of work and full compliance with program rules including current qualifications as previously described.

**Full Status:** Participating Installers that successfully complete the terms of the provisional period will be listed as full status, and must meet the following criteria:

- Deliver projects that pass QA field inspections consistently.
- Meet program standards in terms of timely responses to NYSERDA communications and QA corrective-action requests.
- Take effective corrective actions to deficiencies in performance as identified by NYSERDA.

**Probationary Status:** Probation is prescriptive in nature with both a specific list of requirements and a time frame for achieving results. Participating Installers that fail to consistently meet the requirements of the ASHP program may be placed in probationary status. The reasons are as follows:

- Violation of program rules or ethical standards.
- Failure to consistently deliver completed projects which pass the QA field inspection standard.
- Failure to take effective corrective actions on a critical or major deficiency or a repeated incidental or minor deficiency in work quality or performance.
- Three or more corrective action notices that have not been responded to, or remain unresolved, for more than 30 days.

The probationary period will not be less than 30 days and will not exceed 90 days. Projects completed by a participating installer on probationary status may receive enhanced QA oversight. During the probationary period, the participating installer:

- Will remain on the NYSERDA website.
- May continue to submit new incentive applications, subject to restrictions based upon the reason for the probationary status.
- Must remediate all issues related to probation, as directed by NYSERDA.
- Must submit an agreed-upon action plan in writing designed to ensure future violations are avoided.
- Must demonstrate successful results through a specified number of completed projects.
- Must be mentored on its next installation.

Upon completion of the action plan and review of probationary period QA results, NYSERDA has sole discretion to determine the status of the Participating Installer.

**Suspended Status:** Participating Installers that fail to respond to prescriptive probation or commit more serious violations of program rules will be suspended. Suspension will occur for the following reasons:

- Failure to adequately fulfill the terms of the probationary period.
- Two probationary periods within 12 months.
- Investigated for, or engagement in, practices that put the public or program at risk.
- Outstanding and unresolved request(s) for return of incentive to NYSERDA due to failure to meet program requirements.

- Submitting any program application or incentive application documentation falsifying required items, including, but not limited to, permits, approvals, and site owner signatures.
- Failure to consistently deliver completed projects that pass the QA field inspection standard.

During a suspension, the participating installers:

- Will be removed from NYSERDA's website.
- Will not be allowed to submit new incentive applications to the program.
- Must complete any work in progress at the time of suspension.
- Is prohibited from representing him/herself as a participating installer except in the execution of remedial action.

Additionally, an installer in suspended status may, depending on the reasons for suspension, be directed by NYSERDA to remediate issues related to the suspension, and may be required to submit an agreed-upon action plan in writing designed to ensure future violations are avoided.

Suspended Participating Installers will either progress to probationary status upon satisfactory completion of the specified remedial activities or resolution of related issues or be terminated. Regardless of program status, participating installers will remain responsible for fulfilling any outstanding obligations to the program or site owner as directed by NYSERDA.

**Terminated Status:** Participating Installers that fail to respond to prescriptive and disciplinary measures or have committed serious violations of program rules may be terminated. Reasons for termination are as follows:

- Suspended status for more than 30 days and unresponsive or failed to adequately fulfill the terms of their suspension.
- Credentials expire while suspended.
- Submitted falsified documents or unauthorized signatures to the program.
- Committed illegal actions while participating in the program.
- Convicted of a criminal charge casting the program in negative light or calls the integrity or workmanship of the participating installers into question.
- Grossly violating program standards.
- Repeated billing for uninstalled measures.
- Failure to meet the terms of the provisional period.

Terminated Participating Installers are prohibited from further participation. Site owners with incomplete projects will be notified of the Participating Installer's termination. If appropriate, NYSERDA may notify the New York State Attorney General, the New York State Department of Labor, the Better Business Bureau, or others of NYSERDA's findings and decision to terminate the Participating Installer.

The officers, directors, and owners of the terminated Participating Installer are prohibited from holding positions of that nature with other Participating Installers. Regardless of program status, Participating Installers will remain responsible for fulfilling any outstanding obligations to the program or site owner as directed by NYSERDA.

#### **Inactive Status**

A Participating Installer may be declared inactive if they have not had an approved project in the program over a 24-month period of time. They will be removed from the website, no longer receive email notifications, nor be eligible for incentives. Should they wish to participate in the future, they may reapply under the rules in place at that time.

## Status Review Process

The status review process for administering probationary, suspended, or terminated status is as follows:

- NYSERDA will provide written notice of at least 10 business days of its intention to act. The notice will outline the specifics for disciplinary action along with supporting documentation for the proposed action.
- During this period, the Participating Installer will have an opportunity to respond to the notice.
- If the Participating Installer fails to respond to NYSERDA prior to the end of the notice period, the stated disciplinary action will go into effect without further notice.
- NYSERDA will promptly review any request for an appeal of the decision received before the end of the notice period.
- NYSERDA will confirm, reverse, or place its action on hold based upon a review of all information received within 10 business days of receipt.
- Intended and final action letters will be sent via email and U.S. mail. The notice period commences on the date of the email from NYSERDA.

NYSERDA reserves the right to shorten these notice periods or take immediate action in the event of an emergency, as determined by NYSERDA.

## Contact Information

Submit questions by email to [ashp@nyserda.ny.gov](mailto:ashp@nyserda.ny.gov) or call Kerry Hogan at 518-862-1090 x3509.