

Program Guide for Business Lighting Trade Allies

Developed by Energy Trust of Oregon

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Introduction to the Program Guide

This Program Guide provides an overview of Energy Trust's Business Lighting Program (also referred to as the "Program") requirements, processes, and procedures. The requirements outlined in this guide are effective **March 21, 2022**, and any projects submitted on or after this date are subject to these requirements. Projects submitted before **March 21, 2022**, are subject to the previous Program Guide requirements.

Part 1 of the guide focuses on Program offerings and delivery. This section outlines specific Program design changes for 2022, describes project submission procedures and provides a general policy overview.

Part 2 of the guide covers the Business Lighting Program trade ally enrollment process and summarizes expectations and requirements for enrolled trade allies.

Business Lighting trade allies are required to read, understand, and follow the requirements outlined in this guide to be authorized as an Energy Trust Business Lighting trade ally. For information on becoming a Business Lighting trade ally, see Part 2, Section 4 of this guide.

Revisions to the Program Guide

Energy Trust may revise this Program Guide to reflect changes in incentive information, requirements, procedures, or processes at any time. Once updated, Energy Trust will post a new version to the [Business Lighting trade ally page](#). Business Lighting trade allies should check this page regularly to ensure they are using the current version of the Program Guide. Energy Trust will also announce new versions of this guide in the *INSIDER*, a bi-monthly electronic newsletter distributed to all enrolled Energy Trust trade allies.

Additions to the Program Guide will be **highlighted** for ease of reference. Deletions from the Program Guide will be ~~stricken~~.

PART 1: Business Lighting Program Overview

1 Program Overview

1.1 Introduction to Energy Trust

Energy Trust of Oregon is an independent nonprofit organization dedicated to helping utility customers benefit from saving energy and generating renewable power. Business Lighting trade allies can read more about Energy Trust's purpose, structure, board and advisory councils on our [website](#).

Business Lighting trade allies are welcome to participate in Energy Trust's public meetings. The Conservation Advisory Council, Renewable Energy Advisory Council, Diversity Advisory

Council, and the Energy Trust Board of Directors generally meet every one to two months. View upcoming public meetings and agendas [here](#).

1.2 Program Communications

Unless otherwise noted, all project review communications from Program representatives to Business Lighting trade allies will be made via email.

Email Communications

The email address for the Energy Trust Business Lighting Program is lighting@energytrust.org. To deliver documents to the Program, use lightingdocuments@energytrust.org.

Phone Communications

Call Energy Trust at 1.800.326.2917 to speak with a Business Lighting Program representative.

Mailing Address

Energy Trust of Oregon (Business Lighting)
421 SW Oak St, Suite 300
Portland, OR 97204

Business Lighting trade allies should have a thorough understanding of all Program documents. Please contact Energy Trust immediately if there are any questions about this Program Guide or any other Program documents.

1.3 Program Design

The lighting market is changing. Programs must think beyond the implementation best practices of today. Programs must recognize the rapidly evolving marketplace and design a dynamic, cost-effective way to engage with customers through varied delivery channels. It is essential to focus on efficient and accelerated lighting equipment conversions.

Energy Trust's Business Lighting Program balances these needs, along with incentive budgets, to reach customers through different delivery channels with a variety of offers. Trade allies will use the most recent versions of Program forms and the Business Lighting Tool that are in effect to deliver the standard offering. The Program will provide trade allies notice about updates to offerings and this guide as noted in the "Revisions to the Program Guide" section.

1.4 Program Changes for 2022

Energy Trust is launching revised Business Lighting incentive offers and requirements for 2022. These changes are described in this section.

Energy Trust program requirements, including incentives, are subject to funding availability and may change. Business Lighting project requirements are contained within Energy Trust's Incentives for Energy Efficient Lighting (Program Information 190L) form. Trade allies are required to meet the project requirements.

1.4.1 Closed Trade Ally Network

Contractors must be enrolled as an Energy Trust Business Lighting trade ally in our Trade Ally Network to offer Energy Trust incentives to their customers for qualifying lighting projects. Previously, Energy Trust allowed lighting contractors outside of the network to submit projects if those projects qualified for incentives. Until further notice, Energy Trust will not accept incentive applications directly from participants for self-installed lighting projects.

1.4.2 Trade Ally Company Caps

Each enrolled trade ally company **will not have** an annual cap on the dollar amount of incentives it can submit on behalf of participants. ~~This cap is for the corporate company, not individual locations, and is subject to change and budget availability. These caps vary by utility:~~

- ~~• For projects at participant sites served by Portland General Electric (PGE), the cap is \$400,000 for the year.~~
- ~~• For projects at participant sites served by Pacific Power, the cap is \$300,000 for the year.~~

1.4.3 Project and Participant Incentive Caps

Current caps on incentives in the Lighting Tool are \$40,000 **\$250,000**/per project for Industrial and Agricultural sites and \$20,000 **\$250,000**/per project for Commercial sites. See section 3.3 on Self-Direct Participants.

A project is defined as a single Lighting Tool Application and participant which results in a **unique combination of Site Address and Participant Role** (i.e. tenant, landlord, property manager, owner, etc.). Some common project scenarios are illustrated below.

If a participant wants to complete a project in multiple phases, the total incentives for all phases may not exceed the total project cap for Industrial and Agricultural or Commercial projects. If the first project phase receives an incentive of \$40,000 **\$250,000** for Industrial and Agricultural or \$20,000 **\$250,000** for Commercial, that participant would not be eligible for additional incentives for the remainder of 2022. For the purpose of Business Lighting program participation:

Industrial and agricultural sites are defined as: Existing facilities or businesses that process, treat, assemble, mine, produce, repackage, or bottle a product or products for outside distribution, grows something, or has a cold storage distribution center. If the site is Industrial or Agricultural the whole campus will be serviced by Production Efficiency.

Commercial sites are defined as: Existing properties that are not single family residential, industrial or agricultural use. Multifamily properties and roadways are considered Commercial.



Figure 1: Shopping Plaza

In Figure 1, a Commercial shopping plaza has three leased businesses and one property manager/owner at the same address. Even though these four businesses have the same address, the participant role would be different for each; three unique tenants and one property owner/manager. They would be considered four different participants, each with a \$20,000 \$250,000 cap.

Alternatively, if three Commercial spaces are vacant and the property owner wants to upgrade the lights in all of them, then this would be considered one participant, because they have both the same address, and one participant role - the property owner. The entire shopping plaza would be considered as a single project with a \$20,000 \$250,000 cap.



Figure 2: Corporate Campus

Figure 2 shows a Commercial corporate campus. In this example, the buildings on this campus have the same address and the same participant role. In this case, the entire campus is considered one participant and is subject to a \$20,000 \$250,000 cap.

Please note that if a site is listed by the Oregon Department of Energy as a certified self-direct site, Energy Trust would use that site definition when reviewing a project (see Section 3.3).

1.4.4 Active Project Caps

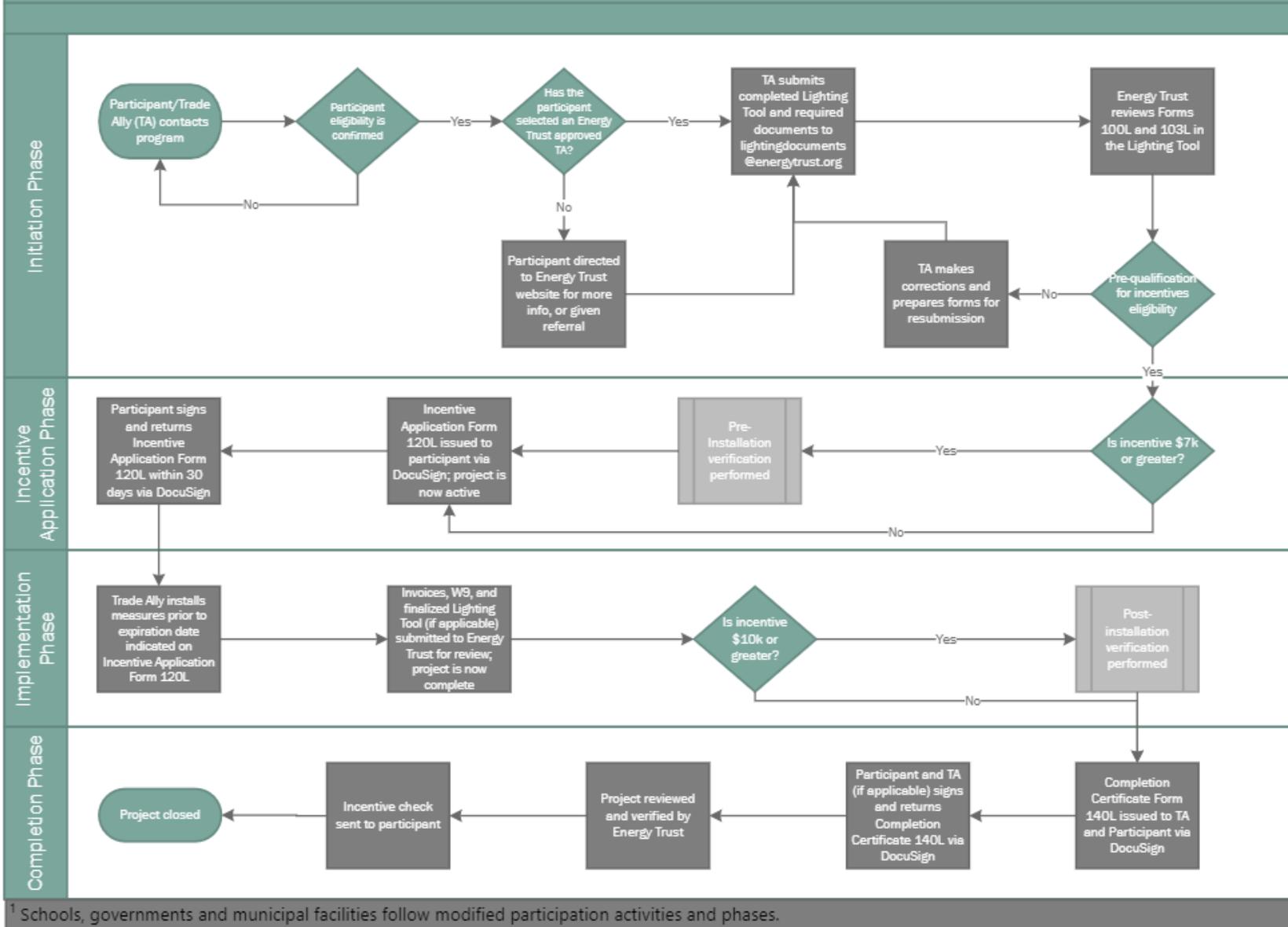
A trade ally company is not limited in the number of concurrently active projects it can have with the Business Lighting Program per utility. A project is considered active from the Incentive

Application Form (120L) Program Pre-Authorization Signature date until the trade ally submits the final invoice(s) and completion documents to lightingdocuments@energytrust.org. ~~The limit on active trade ally projects with PGE is 15 and the limit on active trade ally projects with Pacific Power is 15.~~ If the Program does not receive a signed 120L form by the form deadline, the Program will send an incentive cancelation notice, which will open the trade ally company's queue for an additional project(s).

2 Project Processes

This section gives a summary of the project processes for the Business Lighting Program. Figure 3 is a flowchart of these processes, indicating required forms and timelines, followed by descriptions of each phase.

Business Lighting Trade Ally Participation¹



¹ Schools, governments and municipal facilities follow modified participation activities and phases.

Figure 3: Business Lighting Project Processes

2.1 Initiation Phase

During project initiation, the trade ally works with an eligible participant to plan their project. The trade ally uses the Lighting Tool, plus other required documents, to specify the project and they submit these documents via email to Energy Trust at lightingdocuments@energytrust.org for review and pre-qualification to receive incentives. Other required documents include the manufacturer cut sheets and incentive payee W9 form. Trade allies must use the current version of the Energy Trust Business Lighting Tool to submit and revise incentive applications. The updated Lighting Tool for 2022 will be distributed to active, enrolled trade allies in January and upon request.

Energy Trust program requirements, including incentives, are subject to funding availability and may change. Project requirements are contained within Energy Trust's Incentives for Energy Efficient Lighting (190L) form. Only authorized trade allies can offer Energy Trust's Business Lighting incentives to participants for qualifying measures.

2.2 Incentive Application Phase

During this phase, Energy Trust reviews the project for eligibility per the 2022 Program requirements and may perform a pre-installation verification. Program staff will contact trade allies to schedule these verifications if necessary.

If the project is eligible, Energy Trust issues an Incentive Application Form (120L) to the participant which they review and sign via DocuSign. The participant must sign the 120L form by the deadline listed on the form, which is 30 days from the Incentive Application Form (120L) Program Pre-Authorization Signature date. If the Program does not receive a signed Incentive Application Form (120L) from the participant by the submittal deadline, the Program will send a cancellation notice to the trade ally and the trade ally project queue will be open for an additional project(s). If a participant decides not to complete a project after signing the Incentive Application Form (120L), the trade ally is required to inform the program. Resubmittal of an expired project will be subject to incentives and requirements in effect at the time of the new submission.

Measure equipment or installation services contracted for or purchased prior to Participant signing and returning the incentive agreement to Energy Trust are done at-risk and can result in a Measure being ineligible for Energy Trust incentives.

Modifications to program requirements must be approved in writing by the Program. Incentives paid will not exceed reservation amounts and trade allies will not be given additional time to submit the Incentive Application Form (120L) and the Completion Certificate (140L) forms unless expressly approved by Energy Trust in writing.

2.3 Implementation Phase

If the project scope of work or project end dates change during the implementation phase, the trade ally must notify the Program of the change so the project can be re-evaluated. The trade ally must receive written approval from the Program on the change of scope or end dates.

During the implementation phase, the trade ally installs measures and submits invoices along with a final “as-installed” Lighting Analysis and Incentives Estimates (Lighting Tool Form 103L) itemizing installed labor and materials costs for the measure(s), and all other final completion documentation to Energy Trust. In 2022, the project forms and documents must be submitted before the incentive reservation expiration date, which is calculated as 180 days from the 120L Program pre-authorization date.

During this phase, projects may be subject to a post-installation verification. If so, a program representative will contact the trade ally to schedule the verification and the trade ally will assist with participant verification documentation and scheduling arrangements.

2.4 Completion Phase

During this phase, if the project is completed successfully, passes post-installation verification and all required documents are submitted on time, Energy Trust issues a Completion Certificate form (140L) to the trade ally and the participant via DocuSign. Once the 140L is signed by the trade ally and the participant, Energy Trust reviews the project and if it is approved, Energy Trust issues an incentive check to the participant or, if Option to Assign completed, to their assigned payee. Incentives paid will not exceed incentive reservation amounts and trade allies will not be given additional time to submit the Incentive Application (Form 120L) or the Completion Certificate (Form 140L) unless expressly requested by the participant in writing in advance and approved by Energy Trust in writing.

3 Policy Overview

Complete copies of all Energy Trust’s current Board of Director-approved policies are available for review in the “Library” on the Energy Trust [website](#).

3.1 Confidentiality of Program Participant Information

Information submitted by Program participants is considered confidential.

3.2 Providing Information to the Participant

Business Lighting trade allies must give participants time to read and understand the terms and conditions of all incentive application forms before obtaining a signature. When providing an application to a participant for review, Business Lighting trade allies must explain, at a minimum:

- Energy Trust’s incentive rate, the incentive application and reservation process and that the project must be installed with all required project completion documentation submitted during the incentive reservation period.
- Incentive rates for a project are subject to change at any time prior to reservation, and incentive reservations for qualifying projects are subject to funding availability, expiration periods and processing procedures. The final incentive may vary from the estimate included in the initial application depending on Energy Trust’s verification of the actual system installed.

If a potential Program participant has questions about the incentive application or the process, have them contact the Program before they sign the application.

3.3 Self-Direct Participants

Under the OPUC grant agreement, Energy Trust energy efficiency programs are funded through energy efficiency charges collected from Portland General Electric and Pacific Power customers. Although payment of such energy efficiency charge is generally mandatory, Oregon law recognizes a special group of large electric energy users (those using over one average megawatt a year at a site) who can "self-direct" the energy efficiency charge to fund electric energy efficiency at their own sites via the Oregon Department of Energy's self-direction program. If a self-direct participant is submitting a lighting project to the Oregon Department of Energy to receive energy efficiency self-direct credits for it, then that project is not eligible for any Energy Trust incentives.

In addition, if a Program participant is currently self-directing the energy efficiency charge for the site, or decides to in the future, it can affect the amount of incentive funding they will be eligible to receive from the Program for a lighting project submitted to Energy Trust.

Self-directing participants are generally eligible for up to 50% of the incentive amount that a non-self-directing entity would be eligible to receive, or they can receive the full amount if the site stops self-directing the energy efficiency charge for a period of at least 36 months. Business Lighting trade allies should contact the Program to inquire about participant eligibility if they believe a participant site may be a large electricity user.

Energy Trust staff can support trade allies in making the determination of whether a participant is eligible for or has elected to self-direct. Energy Trust may also request additional information about a participant's self-direct status when reviewing application submittals.

PART 2: Business Lighting Trade Ally Enrollment, Performance and Expectations

4 Trade Ally Enrollment

To enroll as a Business Lighting trade ally, contractors must complete the online enrollment forms (1171A and 171L). Visit the [Energy Trust trade ally enrollment page](#) to begin the application process.

New trade allies must follow the "Begin" link under "New Ally Enrollment." This will direct applicants to the "Programs List" page where contractors can select the program for enrollment. The applicable selection is "Business Lighting (Addendum 171L)" under Commercial.

Existing trade allies who wish to apply for the Business Lighting Program should contact Energy Trust to obtain their account number and enter it in the space provided and follow the

instructions for the second option on the page. Energy Trust has specific insurance requirements for all Business Lighting trade allies and requires proof of insurance prior to processing an application.

The application process may take 10-20 minutes to complete. Once an application has been processed, Energy Trust will contact the references listed on the application. Upon successful completion of reference reviews, and submission and review of all required paperwork, Energy Trust will provide the contractor with written notice of approval as an Energy Trust Business Lighting trade ally.

4.1 Trade Ally Listing on Energy Trust Website

Energy Trust maintains a searchable database of all current trade allies on its [website](#).

Trade ally website listings may include one or more “Specialties.” These Specialties reflect the sector (commercial, industrial, or multifamily) and technology of projects a Program trade ally completed in the past year.

The Program currently includes the following Specialties for Business Lighting Program trade allies:

- Lighting
- Lighting Controls
- Horticulture lighting
- Instant Discounts for Business Lighting

To maintain Specialty listings, a trade ally must install at least one project of a given Specialty each year. Specialties that are not demonstrated annually will be removed from the trade ally’s online listing.

4.2 Maintaining Trade Ally Status

Program trade allies must meet annual participation requirements each year and maintain required professional certifications to maintain their status as trade allies.

In addition, Energy Trust maintains suspension and termination policies designed to protect Energy Trust, its trade allies, and its customers from losses due to poor work quality, diminished energy savings, and health and safety issues. Energy Trust monitors the activities of trade allies on a regular basis to ensure they provide value to customers and to Energy Trust.

Energy Trust, in its sole discretion, may suspend a contractor from the trade ally network, or terminate a contractor from the trade ally network at any time. Affected contractors may be given support and opportunities for improvement, and Energy Trust may return the contractor to active status, as outlined below. At Energy Trust’s discretion, Energy Trust may require a contractor to pursue quality control process consultation at the trade ally’s expense prior to reinstatement as a trade ally.

4.3 Trade Ally Suspension

Certain actions may result in suspension from participation as a trade ally in the Program. Energy Trust will notify a contractor in writing if it has been placed in Program suspension. The

contractor will have 30 days from the notice date to resolve the situation to Energy Trust's satisfaction. Actions resulting in suspension may include, but are not limited to:

- Abusive or vulgar behavior, physically or verbally, toward customers or Energy Trust staff
- Failure to correct violations identified during the verification process within a 30-day timeframe
- Failure to follow a required Program process
- Chronic installation corrections or repeated violations of installation or Program requirements
- Failure to attend required Energy Trust trainings
- Lapsing insurance, licenses or other required certifications
- Failure to resolve any reasonable Program participant complaint regarding the contractor's work as a trade ally under the Program
- Failure to accurately inform Program participants of current Program requirements, including but not limited to, incentive levels
- Attempting to receive lighting incentives through different program offers for the same measures

4.3.1 Effects of Suspension

During Program suspension, a trade ally may not submit any new incentive applications to Energy Trust, nor will Energy Trust issue any new incentive reservations for the trade ally's projects. In addition, the suspended trade ally (i) will be removed from the searchable trade ally database on the website, (ii) is no longer authorized to use Energy Trust's logo on any materials or to represent itself as a Business Lighting trade ally, and (iii) is not allowed to apply for any cooperative marketing activities. Energy Trust may also impose other restrictions on the trade ally's participation in the Program. If the violations pertain to a specific project, the Program participant will be notified at the time of the Program trade ally's suspension.

Trade allies must resolve violations resulting in suspension within 30 days. Failure to do so may result in termination of Program trade ally status.

4.4 Trade Ally Termination

In addition to any other termination provisions set forth in this Program Guide and in the trade ally agreement with Energy Trust, certain actions may result in Energy Trust immediately terminating a contractor as a Program trade ally. In the event of termination, Energy Trust will notify the contractor in writing. Actions resulting in immediate termination of trade ally status may include, but are not limited to:

- Failure to resolve any action resulting in suspension within 30 days
- Repeated Program violations
- Violation of license laws
- Discriminating in any case against any trade ally employee, Energy Trust employee, member of the Energy Trust Board of Directors, or member of the public on the basis of race, color, religion, creed, national origin, sex, age, familial status, sexual orientation, gender identity, disability, or status as a veteran.

4.4.1 Effects of Termination

Effective upon notice of termination, Energy Trust will not accept any new incentive applications, will not process any submitted incentive applications that have not yet received incentive reservations, and will remove the terminated contractor from the Program's trade ally database on Energy Trust's website. Subject to incentive funding availability, Energy Trust will provide funding for any incentive applications that received incentive reservations prior to the notification of termination, provided they comply with Program requirements.

Energy Trust may, in its sole discretion, allow a terminated contractor to re-apply for participation in the Program at a later date. Energy Trust may require additional documentation and proof from that contractor that it has taken appropriate measures to prevent further Program violations.