

Guidelines and Instructions to Fill out UI Application for Small ZREC Tariff

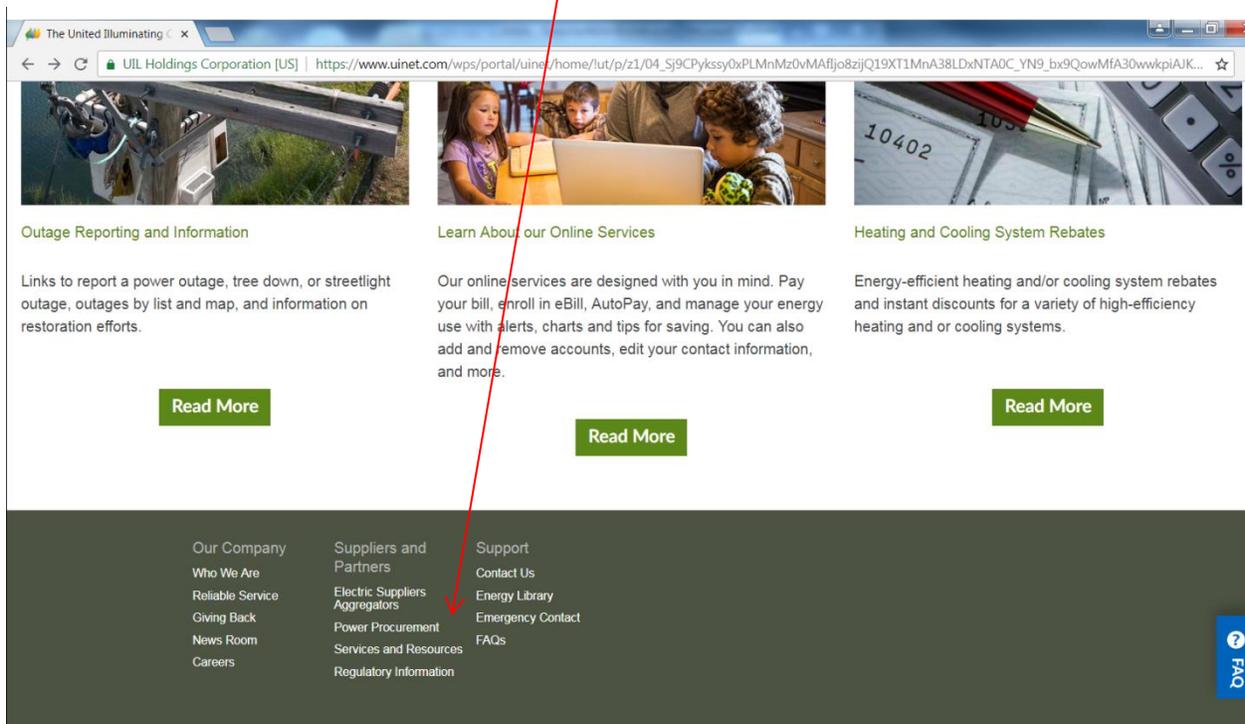
YEAR 9 and 10

This document provides step by step instructions on how to submit an Application for Small ZREC projects in the UI service territory. Please be sure to read all the instructions and use this document as a guide as you fill out the Application.

All qualified parties who apply for the UI Small ZREC Tariff must complete and submit the UI Small ZREC Tariff Application. The Application is an online form that can be found at:

Form on the UI's website will be evaluated by UI. The Bid Form is an online form that can be found at:

For UI: **note: the website was updated**
www.uinet.com "Home page" lower section ,
"Power Procurement" – then the Year 9 and 10 small ZREC section



Note: In order to be considered for service under this tariff, the data in this Application MUST be complete and correct. Any partially filled out forms, or forms with incorrect information, may be disqualified. This document outlines the Application, section by section, and provides instructions for completing the Application and required attachments. Please read each section prior to filling out the Application.

Applications submitted to UI are subject to the provisions and requirements of the UI Small ZREC Tariff and the Rules and Process for Submitting Applications for Small ZREC Tariff, jointly issued by UI and CL&P (“Application Rules”).

Also, applicants MUST submit a signed Application Certification Form (which includes a notarized site owner’s affidavit) and a customer bill for the site; and may also be required to submit a Pending CEZIA Grant and/or Rebate Disclosure Statement, PE Certification, and/or a Green Bank Incentive Application Denied letter depending upon the circumstances. **These documents must be combined into a single PDF file prior to being uploaded on Page 5 of the Application Form (UI’s application form can only accept one file attachment).**

Please note the Bid Certification Form for small ZREC year 9 and 10 has been updated and an old version of the form will not be accepted.

REC Program Eligibility

The Small Class I Zero Emissions Project Tariff is open to qualifying Class I renewable energy generation projects that have zero emissions from eligible projects that have an installed capacity 100 kW (AC) and smaller. Please see the Application Rules for eligibility details.

Section 2(f) of Public Act 15-194 - “Any customer of an Electric Distribution Company that is eligible for the residential solar investment program shall not be eligible for small zero-emission renewable energy credits pursuant to section 16-244s.”

NOTE: It is important to fill out the Application Form from top to bottom (in order) as some fields will automatically populate other fields further down in the Application Form. Use your mouse to navigate from cell to cell in the Bid Form. Do not hit the ‘Enter’ or ‘Tab’ key when in the Application Form. If you get to a point where the Application Form becomes unresponsive close out of it and open the form again to start from the beginning. From our testing experience sometimes changing to a different web browser will resolve the issue.

Do not click the browser back button. Doing so may require you to re-enter information.

ALSO: Any attempt to modify the calculations to change the results will lead to the Bid Form being disqualified from the program.

Application: The Application is made up of the following parts:

Pages 1 & 2

Applicant Information – This part of the Application includes information fields for Applicants to complete that will be used by UI throughout the review process, and to fill in the blanks on the form of Service Agreement. This Section begins on page 1 and continues to the end of page 2 of the Application.

It is acceptable if the same contact information is put into more than one section. Once you submit your Application a confirmation email will be sent back to the email address that you have provided under the second section "Primary Application/Administrative Contact". Make sure that this email is entered correctly or you will not receive an email confirmation of successful electronic submission.

Page 1

Party Name: This is the full legal name of the business entity that will be UI's counterparty under the Service Agreement, which is not necessarily the same name as the business entity submitting the Application. For example, if the party submitting the Application is "XYZ Renewables," but the contracting party would be a special purpose entity called "XYZ Funding 3 LLP," then "XYZ Funding 3 LLP" should be the name entered in this line.

Address: Enter address for the Party name above.

Business Website: Enter your company's website. If you do not have a website this field can be left blank.

Federal Tax ID Number (SSN for Individuals): This field is mandatory. We will require from all applicants that submit a Tax ID Number, a filled out and signed W9 Form.

Company Type: Individual homeowners and sole proprietorships should select "Individual."

Jurisdiction of Organization: This is the state in which the business is organized. Individual homeowners should enter "CT" for Connecticut jurisdiction.

Primary Application/Administrative Contact: This section is to be used for the entry of contact information for the person primarily responsible for communications regarding this Application and day to day communications after execution of a Service Agreement.

NOTE: There is a drop down box below the next Contact sections labeled - Same as: You can select a contact section to use from the drop down menu and then hit the Apply button. This will fill in that section with the selection from the drop down menu.

Alternate Application/Administrative Contact: This section is to be used for the entry of contact information for a second individual responsible for communications regarding this Application and day to day communications after execution of a Service Agreement. This section is optional.

Page 2

Legal/Notice Contact: This section is to be used for the entry of contact information for the person who is to receive official notices under the Service Agreement. This may be outside counsel.

Performance Assurance Contact: This section is to be used for the entry of contact information for the person responsible for providing Performance Assurance required under the terms of the Service Agreement.

Invoices/Settlement Contact: This section is to be used for the entry of contact information for the person responsible for day to day management of REC transfers and invoicing during the Delivery Term.

Page 3

Facility Site / Location. This part of the Application includes Project-specific information such as Project Size, choice of renewable technology and details regarding Performance Assurance. The instructions below include a field by field explanation of what information needs to be provided, starting on page 3 of the Application:

- **Address:** Enter the address of the Small ZREC project site. Including Town, State & Zip Code. The address MUST be within UI's distribution service territory.
- **Check Box for New Site:** Check this box ONLY if the host site is new construction with no active UI account. Checking this box will grey out the UI Account Number, POD ID Number and Rate Class fields.
- **UI Account Number & POD ID:** The Account number can easily be found on the first page of the UI customer bill. The POD number is not always shown on every bill. This is not the meter number. The POD number is usually shown on the first page of the bill below the heading New Charges & Credits right above the Generation Service Charge box. If a POD ID is not shown on your bill leave this box empty. The UI Account Number is mandatory unless the site is new construction with no current UI account.
- **Rate Class:** The Rate Class is also shown on the first page of the bill usually right under the account number and meter number. Note: If you choose Rate R or RT, your application will be disqualified unless you attach a Denial Letter from Green Bank for your generation.
- **Technology:** Select the technology of the Small ZREC generator type from the drop down menu. The selection of "other" requires that the Applicant provide an Alternate Capacity Factor and PE Certification of the capacity factor.
- **Installed Capacity:** Enter the Project Size in AC kW (please note that it is essential that the project size be entered in kW AC to ensure an accurate calculation of MAQ and amount of Performance Assurance). The conversion from DC nameplate to AC Installed Capacity is described below:

For projects with an integrated prime mover and/or inverter, that have a nameplate capacity rating in kW AC, the AC capacity rating will be used. ii. For projects that do not use an integrated prime mover and inverter, and that utilize prime movers that only have a capacity rating in kW DC, the nameplate capacity will be determined by the following: a. The lower of the DC rating of the prime mover converted to AC, and/or the AC rating of the inverter. The DC of the prime mover will be converted to AC by the use of a derating factor. This derating factor will be determined using a publically available, technology-specific published derating factor from a federal or State of Connecticut governmental source (for example National Renewable Energy Laboratories (NREL) or DEEP). For solar photovoltaic, the NREL derating factor, currently 0.77, shall be used for solar photovoltaic projects for this solicitation. b. For projects that utilize prime movers that only have a capacity rating in kW DC, and if there is no publicly available, technology-specific derating calculation for that technology that has been published by a federal

or state of CT governmental source, the Company will use the AC capacity rating of the project's inverter(s).

Standard Capacity Factor: If small hydro, wind or solar PV is selected as the technology choice, the application will provide a standard capacity factor from the Department of Energy and Environmental Protection's 2012 Integrated Resource Plan (IRP). The standard IRP capacity factors are 48.4% for small hydro, 20% for wind, Solar PV (AC) – Fixed Tilt 16.9%, Solar PV (AC) – Single Axis 20.8%, Solar PV (AC) – Dual Axis 22.1%. The 16.9% capacity factor for solar PV is based on installed capacity measured in kW AC. This equates to a 13% capacity factor with DC to AC conversion.

- **Alternate Capacity Factor:** If you choose Solar PV, Small Hydro or wind as Technology, this is an optional field. Data should only be entered into this field if a) "Other" is selected for Technology; or, b) if the Applicant is seeking to qualify a different capacity factor (as discussed in Sec. 2.4.2.2 of the Application rules. Any application that includes an alternate capacity factor MUST also include a PE certification of the calculation of the alternate capacity factor.
- **Capacity Factor Used for Maximum Annual Quantity (MAQ):** This is a calculated field. Do not enter data into this field.
- **Average Annual Production, Maximum Annual Quantity, Small ZREC Tariff Price, and Performance Assurance Requirement.** All four fields are calculations and are automatically calculated. Do not enter data into these fields.
- **Type of Performance Assurance:** Choose the type of Performance Assurance that you will provide to UI from the drop down menu. Choose other for Bank Check or Cashier's Check. Choose Not Applicable if the project is currently online and producing energy. Per the contract, Performance Assurance is not required for projects that are currently online.
- **Payment Type:** Chose from the drop down menu the payment type you will receive from UI when you are paid for the RECs you provide.

Page 4

Fill in the appropriate section for Wire Transfer Numbers, Check Information, or ACH Numbers that correlate with the Payment Type choice that you made above.

Page 5

Additional documents that are required to be attached to the Application Form prior to submitting:

Section 2.4 of the Rules and Process for submitting Applications for Small ZREC Tariff sets forth 5 documents that are either mandatory, or optional, depending upon project details. The Application Certification Form is located on the UI website in the Small ZREC section. There are no forms for the Pending CEFIA Grant and/or Rebate Disclosure Statement or PE Certification, but guidelines for their preparation are provided in Section 2.4 of the Rules and Process for submitting Applications for Small ZREC Tariff. A sample of the Green Bank Letter is in the applicant's webinar presentation, and must be obtained from the Green Bank for projects at customer sites with rate codes R or RT.

All documents attached to Page 5 of the application must be submitted as a single PDF file.

- 1) Application Certification Form (MANDATORY for all applications)

The Application Certification Form must be printed and signed in accordance with the Instruction Sheet provided on the first page of the 5 page Application Certification Form. The site owner's affidavit (page 4) must be signed by the site owner, or authorized representative of site owner, and notarized. **Because signatures are required, a PDF version that has the original authorization signatures must be printed, signed, scanned into a PDF file and then attached to page 5 of the Small ZREC online application. Please note that all documents attached to page 5 of the online application must be in a single PDF file. An electronic signature is not acceptable.**

- 2) Recent Customer Bill from the past six months (MANDATORY for all applications except for new construction sites – i.e. sites where there is currently no customer account or revenue meter)
- 3) Pending CEFIA Grant and/or Rebate Disclosure Statement (MANDATORY IF THE APPLICANT HAS APPLIED FOR A GRANT OF REBATE FROM CEFIA)

If any Clean Energy Finance and Investment Authority ("CEFIA") grants or rebates are pending for the Small ZREC project that is the subject of the Application, complete the worksheet named "Pending CEFIA Grants and Rebate Applications" and provide a summary of all such pending Applications (excluding Applications for CEFIA financing).

Please note that if your project is selected, and if your project has also been selected for grants or rebates from CEFIA, and such funding has not yet been disbursed by CEFIA, you would have to choose to continue with either the Tariff or the CEFIA funding, but not both.

The "Pending CEFIA Grants and Rebate Application" form should be printed, scanned into a PDF file and then attached to page 5 of the Small ZREC online application.

- 4) PE Certification (MANDATORY IF YOU HAVE FILLED IN ALTERNATE CAPACITY FACTOR ON PAGE 3 of the Application Form)

Details regarding the completion of this document are provided in Sec. 2.4 of the Application Rules. This document should be printed, scanned into a PDF file and then attached to page 5 of the Small ZREC online application.

If the Application includes an alternate capacity factor, failure to provide the PE Certification will result in the Application being rejected as non-conforming.

- 5) Connecticut Green Bank attachment (MANDATORY IF YOU HAVE SELECTED RATE R OR RT ON PAGE 3 of the Application Form)

If your project qualifies for the Connecticut Green Bank's Residential Solar Investment Program, it no longer qualifies for the Small ZREC program.

All residential applicants will be required to submit a copy of the "Incentive Application Denied" letter issued by the Connecticut Green Bank as an attachment to the Page 5 Small ZREC application.

- 6) Filled out and Signed W9 Form for Entity sending Performance Assurance and Receiving Payments per the Agreement.

PRIOR TO SUBMITTING PDF APPLICATION – PRINT OUT A FULLY COMPLETED COPY OF THE APPLICATION BY PRESSING THE PRINT BUTTON NEXT TO THE SUBMIT BUTTON.

Note: In order to print the bid form you must click the Print button on page 5. You should then review the information in the form and print the document for you records. After printing the document click the back button on the top of the bid form. This will bring you back to page 5. You will need to reattach the PDF files on page 5 prior to submitting the bid form. Once the files are reattached you can click submit.

Submit Application:

Once you have filled out the entire Application click the grey Submit button at the bottom right of page 5. This will submit the Application to UI automatically and a confirmation email will be sent to the email address you entered on the first page in the General Contact section. This email will contain a reference number to identify your application. Please include this number with all future correspondence regarding this application. If your application is selected, the reference number will become the contract number for your Service Agreement. If you do not receive an email confirmation within one hour, it may mean that your application was not successfully transmitted to UI's database. In such a case, it is advisable to re-enter and re-submit the application. Follow up such resubmission with an email to lrec.zrec@uinet.com advising us of the potential for a double submission. It is easier for us to delete duplicate applications than to address an issue where an application is never received by the database.

NOTE: UI anticipates a high volume of applications. It is important that that reference number be included with any communications or document submissions associated with an application.