

Express Energy Solutions (EES) Procedures Manual and Rebates

Sacramento Municipal Utility District
2021 – Phase 2

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1.0 Introduction

Important Update: The revised Express Energy Solutions program (Phase 2) launched on August 19th, 2021. Applications received as of August 19th, 2021 will be processed under the new program design and guidelines.

The summary of the 2021 program redesign (Phase 2) is listed below.

- **EES now captures project's energy savings from a deemed approach**
Applications no longer require the before (existing) product detail to be provided to calculate energy savings. Input fields on the application only require new product detail.
- **The online application (My Account) now includes SMUD's Go Electric rebates**
All EES measures including, electric-to-electric and gas-to-electric upgrades can be submitted in one single application via My Account.
- **The My Account contractor portal is redesigned for a better user experience**
Simplified interface with step-by-step progression, review summary, and ability to edit.
- **Renaming and regrouping of measures**
The following measures are for energy efficiency (electric-to-electric) upgrades:
Foodservice, Heating and Cooling, Lighting, Refrigeration, and Water Heating.

The following measures are for Go-Electric (gas-to-electric) upgrades:
Go Electric Foodservice, Go Electric Heating and Cooling, and Go Electric Water Heating.
- **Lighting measures consolidated to one measure category "Lighting"**
Fluorescent High Output to LED, Fluorescent to LED, and HID to LED combined into one measure to streamline lighting applications.
- **LED offerings only include rebates for complete fixtures**
Program no longer offers rebates on retrofit kit rebates.

The 2021 Express Energy Solutions Program (EES) provides deemed (pre-determined) financial rebates for the installation of qualified energy efficient equipment and projects which convert commercial natural gas-fired equipment to efficient heat pump and induction technologies at non-residential properties.

The financial rebate is provided to influence customers to install permanent measures that would otherwise not be implemented.

EES provides an efficiency and electrification option for customers and contractors who have adequate expertise to select their own equipment and can locate or provide installation services.

Rebates and program rules may change between revisions of this procedure's manual. Please visit smud.org/EES to ensure that your version of the handbook and application are the most recent.

2.0 Important features of Express Energy Solutions rebates

- **Mandatory Pre-Approval and Reservation of Funds for projects receiving a rebate >\$5,000.**
- **Partner Firms are required to pre-register with SMUD’s “My Account” web portal.** This one-time process will allow SMUD to establish firms without electrical service (Partner Firms) as prequalified vendors. Please allow two weeks for SMUD to review and respond to requests.
- **Applications are created through SMUD’s “My Account” web portal.** Customers currently using My Account are only a few clicks away from entering an application.
- **Rebates are only determined by the type of installed qualified equipment.**
- **Partner Firms generated applications require Customer approval through the My Account web portal.**
- **Only qualified equipment that is completely installed and operational is eligible for rebates.**

3.0 Definitions

Agreement – The Application as accepted by SMUD and agreed to via a confirmation of Rebate amount from SMUD to Applicant, the parties agree to be bound by this document and the terms and conditions of the Application.

Applicant – The party who submits the Application is the Applicant. The Applicant is most frequently the Customer of Record or an installing Contractor, but energy services companies (ESCOs) or equipment vendors may also apply as Partner Firms.

Application – The project submitted online through My Account portal.

<http://www.smud.org/MyAccount>.

Approval to Proceed – EES Projects eligible for rebates larger than \$5,000 must receive preapproval before starting work. If SMUD approves the Application, the Applicant will be notified of Approval to Proceed with installation of qualifying equipment.

Building Type – Building (facility) type is where the upgrade (measure) is being installed which determines the energy savings SMUD records but does not affect the rebate amount. The My Account Application will require building type to be inputted for *each* measure being applied for.

Contractor – The Customer’s agent who maintains the appropriate licenses in good standing and will perform the installation of the qualifying equipment and/or Measure.

Customer – The “Customer of Record” who receives a SMUD bill and will be the beneficiary of any energy efficiency and Go Electric Business improvements. Note that the Customer of Record must acknowledge terms and conditions of all Applications filed by a Contractor or Partner.

Custom Retrofit Program – SMUD’s incentive program that provides incentives based upon energy savings calculations. <http://www.smud.org/custom>

Go Electric Business Incentives – For projects which convert commercial natural gas-fired equipment to efficient electric heat pump and induction technologies.

Letter of Authorization to Release Utility Data – SMUD is unable to release Customer data (rebate status, interval data, billing history, etc.) to Contractors, or other parties without a written Letter of Authorization (LOA). The LOA will include the customer’s: name, phone number, e-mail address, title, and signature. LOA will specifically indicate what information SMUD is eligible to share, for example: rebate status, rebate amount, billing history, interval data, etc. Note that Partner Firms and Contractors who submit applications on behalf of a Customer can track those applications through My Account.

Measure – A technology eligible for an EES rebate where upgrade or enhancement reduces annual energy consumption or improves production efficiency. The current application will limit 10 measures per application. Please contact the program team prior to submitting application if project includes more than 10 eligible measures.

My Account – SMUD’s My Account web portal <http://www.smud.org/MyAccount> where customers can manage their accounts and apply for rebates and view the status of EES applications. Partner Firms apply for EES rebates through <https://MyAccount.smud.org/partner/signin>.

Partner Firm – A contractor, vendor or 3rd party who registers with SMUD and subsequently receives a unique vendor identification number.

Payee – The Payee accepts the EES terms and conditions and will receive the Rebate payment. The Payee can be either the SMUD Customer or Partner Firm (Contractor, vendor, or ESCO). In all cases, the Customer will be aware of potential Rebates and will be required to agree to the EES terms and conditions.

Project – The scope of work contained within a Customer’s contract with a Partner Firm at a single site.

Project Rebate Cap – The maximum Rebate that can be paid on a Project is the lesser of either: 1) \$20,000 per meter per year, 2) 100% of the total project cost, or 3) aggregate of rebates amounts for each separate piece of qualifying equipment installed in a Project. *EES has two project caps: 1) \$20,000 per meter per year for energy efficiency measures, and 2) \$20,000 per meter per year for Go Electric measures.*

Project Costs – Cost of qualifying equipment, including related direct costs, like engineering, installation, materials, removal of old equipment, recycling costs, pro-rated overhead tax, shipping and direct labor – as long as those costs are detailed in the Partner Firm’s invoice and included in the Application as supporting documentation.

Rebate – A one-time check, based on pre-determined rates, issued to the Payee for energy efficiency upgrades. Rebates are not guaranteed in the unusual event that funds are exhausted and are subject to

change without notice. The Rebate amount is determined by adding up the individual rebate amounts for each separate piece of qualifying equipment installed in a Project. The Rebate is subject to the Project Rebate Cap.

Reservation of Funds – If Applicant has received an Approval to Proceed notice, regarding EES Projects where Rebates are larger than \$5,000, this Rebate amount will be reserved by SMUD for 120 days.

Self-Install – Projects that do not require a licensed Contractor and Projects performed by self-inspecting municipal agencies who perform the work with internal employees.

Status – When checking on your Project using the My Account portal, you will see one of the following statuses:

- **Submitted** – Your Application has been received by SMUD. It needs to be reviewed by the SMUD customer and Terms & Conditions need to be accepted.
- **Processing** – Your Application has been acknowledged by the SMUD customer and is in process.
- **Completed** – A Rebate check has been issued or an automated clearing house (ACH) transaction has been executed.
- **Ineligible** – Your Application has been cancelled. Rebate is denied. Common reasons include duplicate applications, ineligible equipment, excessive time elapsed after installation, failed inspection, etc.

4.0 How to apply

4.1 SMUD customer applies for a rebate \$5,000 or less.

Before you begin work – review the rebate levels in this manual listed in the [Appendix](#) of this document. Please visit www.smud.org/EES to download the most up to date version. Ensure that your equipment meets applicable technical requirements. Application must be submitted within 90 days after the Project is completely installed and operational.

1. Create an account: All EES applications are entered online through SMUD’s My Account web portal. Customers must create a My Account login ID if they have not yet used My Account. For security reasons, once the Customer data has been entered, the Customer’s representative must contact the SMUD Commercial Contact Center at 1-877-622-7683 to activate the account.
2. Select the radio button on the account with the physical address where the work is being performed.
3. Use the “Account Services” tab and “Programs and Services” to see all the open agreements or start a new application. Click on My applications tab to view the status of any applications.
4. Underneath the “New Application tab” proceed under “Start New Application”
 - a. **Step 1: Provide Project Details:**
 - i. Select Y/N for work completed (all projects under \$5K must be completed).
 - ii. Insert Total Project Cost – This is the final cost, invoiced by a Contractor.
 - iii. Select Next.

b. Step 2: Add, edit, or remove measure(s)

- i. Select “Add measure” to have the equipment added to your application.
- ii. Select Measure type from the drop down.
- iii. Select Building type from the drop down (facility type where the upgrades are being installed).
- iv. Select the Item from the drop down.
- v. Select the Specifications from the drop down.
- vi. Insert total quantity.
 - *Please note* that for all measures, please enter the total number of Units for each measure. However, for Heating and Cooling measures enter the total number of Tons; for VFD measures enter the total HP, and for Induction measures enter the total number or Hobs.
- vii. Click Save.
- viii. To add other measures, select “Add measure”. After selecting the last Rebate Measure, select “Next” to move on to the next step.

c. Step 3: Project Documentation

- i. Add required documentation for each measure by drag and drop or select choose file to upload documents.
- ii. Select the Document type uploaded from the drop-down list “Document type”. Application will require Applicant to choose and upload all required documentation before proceeding to next step.
 - Invoice will be required for each measure. Multiple measures can be included on same invoice. However, if there are multiple invoices for multiple measures, please upload all applicable invoices.
 - Manufacturer’s data sheets for applicable newly installed equipment are required. **Please see section 5.3 Product/Equipment Eligibility for further details.**
 - Before Photo (only applicable to Go-Electric measures).
 - After Photo (only applicable to Go-Electric measures).
 - Any notes/special instructions to the program manager can be uploaded here.
- iii. Select Next to proceed to next step.

d. Step 4: Review Application

- i. Review Project details – select “Change” if any changes are needed.
- ii. Review Project measures – select “Change” if any changes are needed.
- iii. Review Documentation – select “Change” if any changes are needed.
- iv. Select “terms and conditions” and review, then check the box to accept.
- v. If you are comfortable with the Measures selected and the attachments uploaded select “Submit”.

e. Step 5: Confirmation of Application submitted

4.2 SMUD Customer applies for a rebate greater than \$5,000.

Begin the Application and enter the measures for the proposed work as described above for rebates less than \$5,000.

1. At the “Select a file” stage (step 4f above):
 - a. Attach a signed contract or purchase order that captures the scope of work.
 - b. Attach manufacturer’s data sheets that include the technical data (model numbers, efficiencies, etc.). **Please see section 5.3 Product/Equipment Eligibility for details.**
 - c. Attach before name plate photo (only applicable to Go-Electric measures).
 - d. Attach after name plate photo (only applicable to Go-Electric measures).
 - e. Any notes/special instructions to the program manager can be uploaded here.
2. Customer waits until SMUD reviews the Application.
3. SMUD will review the Application and attached documentation (e.g., contract, and manufacturer’s data sheets). If SMUD approves the Application, Applicant will receive an Approval to Proceed by e-mail.
4. Applicant will have 120 days, or until the end of the program year, whichever is first to finish installation of the qualifying equipment. The Project will be subject to a Reservation of Funds and funds will not be cancelled during this period.
5. If a project is submitted where the rebate is over \$5,000 and all the qualified equipment is installed and operational, the customer and Partner Firm will receive a warning letter detailing the consequences if this situation happens again.

4.3 Contractor (Partner Firm) applies for a rebate of any size

The application process for contractors is nearly the same as for customers with the following exceptions:

1. Before entering an Application, the Contractor (Partner Firm) must create a My Account profile at <https://MyAccount.smud.org/partner/signin>. The Partner Firm will upload a W-9. Note: Contractors (Partner Firms) located outside of California must also upload a FTB CA form [590](#) or [587](#), whichever applies.
2. SMUD will review the Partner Firm’s data, and if everything is acceptable will register the Partner Firm as an approved vendor able to receive rebate payments. SMUD will notify the Partner Firm that their vendor status is approved.
3. The customer for which the Contractor (Partner Firm) is applying on behalf of, must have My Account set up. Customers must create a My Account login ID if they have not yet used My Account. Please refer to section 4.1.1.
4. The Partner Firm will then enter the Application as a Customer would, including the preapproval requirement for rebates greater than \$5,000.
5. All Partner Firm-generated applications have an intermediate step where the Customer must log into their My Account profile and approve the terms and conditions.

6. If a project is submitted where the rebate is over \$5,000 and all the qualified equipment is installed and operational, the customer and Partner Firm will receive a warning letter detailing the consequences if this situation happens again.
7. If Partner Firm is selected as the rebate recipient, and the invoice provided is not between the Partner Firm and the Customer, additional documentation must be provided to SMUD to show either the contract or invoice between the Customer and Partner Firm.

5.0 Eligibility for participation

5.1 Customer eligibility

EES is open to all SMUD customers receiving electricity under a non-residential rate who have annual energy purchases (kWh) that exceed the proposed savings claimed by the energy efficiency Project. In the event the Customer has less than one year of billed consumption, the annual consumption will be projected.

5.2 Project eligibility

EES Projects must meet the following criteria:

1. If the rebate is \$5,000 or less, the final Contractor's invoice must be dated less than 90 days prior to the Application date.
2. If the rebate is greater than \$5,000, the final invoice must be submitted within 120 days of the Approval to Proceed/Reservation of Funds email and be submitted prior to the EES program close date.
3. Contractor must be licensed and qualified to perform the work specified in the Application.
4. All applicable permits must be finalized.
5. All equipment must be UL, CSA, or ETL. SMUD may request confirmation that equipment is listed. The CE mark (Conformite Europeenne) is not an accepted substitute.
 - a. Please refer to the appendix notes section for additional equipment qualification requirements.
6. Rebates will only be paid on replacing existing equipment, not on any spare equipment. If you are installing additional equipment, please contact the EES team for possible consideration.
7. New equipment must meet all applicable codes including the State of California Title 24 part 6 and Title 20.
8. Customer shall be willing to participate in future review of the Project for the purpose of determining SMUD's program performance. Customer may be requested to answer questions regarding the installed equipment's performance, and billing data may be provided to SMUD or its consultant.
9. Customer's site must be occupied, or Payee must provide a signed copy of a lease agreement demonstrating occupancy scheduled within 90 days of the date of the Application.
10. Applicant, Customer and Payee are not suspended ([See section 16.0](#)).

5.3 Product/equipment eligibility

Below are the general requirements for each rebate section (A through H in [Appendix](#)). Please read the “notes” for more details at the bottom of each rebate section.

1. **Lighting:** All LED *complete fixtures* must either be [Design Light Consortium](#) (DLC) or [ENERGY STAR](#) listed as a qualified product. (*Please note:* model number, manufacturer and brand on the invoice, must match the model number, manufacturer and brand on the manufacturer data sheets, which must also match the model number manufacturer and brand listed on [DLC](#) or [ENERGY STAR](#)).
2. **Heating & Cooling:** All new units must be listed on [AHRI](#) and meet or exceed the stated EER and/or SEER per ton listed in the [Appendix](#) and notes section.
3. **Refrigeration:** Must meet requirements stated in the notes section of [Appendix](#) Refrigeration.
4. **Foodservice:** All products must be commercial grade and be listed on SMUD’s qualified product list (QPL) – please visit [CAEnergyWise.com](#) to view QPL and then click on each product category to view the full list of qualified products.
5. **Go Electric Foodservice:** Induction cooktop/ranges must have minimum 3kW per hob.
6. **Go Electric Heating & Cooling:** All products must satisfy Title 24 minimum efficiencies.
7. **Go Electric Water Heating:** Product must be listed on SMUD’s qualified product list (QPL) – please visit [CAEnergyWise.com](#) to view QPL and then click on Heat Pump Water Heaters tab to view the full list of qualified products.

6.0 Qualifying energy efficiency and Go Electric business measures

EES accepts a predetermined list of measures meeting the following:

1. **Must be listed** – Retrofits that are not listed as an applicable Measure cannot receive EES rebates. Many qualifying unlisted measures can apply through SMUD’s Custom Retrofit program. *NOTE: selecting the “next best thing” from the rebate list frequently results in an application being Ineligible.*
2. **Cannot overlap other incentive/rebate programs** – Any Measures included in the Application cannot apply for multiple California energy efficiency Incentives or rebate programs. SMUD, at its sole discretion and with preapproval, may make exceptions for Projects using special SMUD R&D programs.
3. **Existing equipment must be decommissioned and removed** – The baseline equipment must be decommissioned and removed from site. Under certain circumstances and subject to SMUD’s discretion, baseline equipment may be kept on site and rendered permanently inoperable. Additional documentation or verification may be required in these cases to verify the need or the circumstances for retaining the baseline equipment.
4. **Equipment must be new** – Remanufacturing existing equipment, repurposing equipment, or relocating equipment from other sites is not permitted.

7.0 Program alternatives

Lighting projects with greater than 20% of lamps burned out is considered unmaintained and should be considered for a code-minimum baseline through SMUD's Custom Retrofit program.

Since EES only offers rebates for equipment based upon what is installed after modification, it is conceivable that lighting layouts involving a significant reduction in fixtures could receive a larger rebate through SMUD's Custom Retrofit program.

New buildings, additions, and the first tenant improvement to a space should investigate SMUD's commercial new construction program, [Integrated Design Solutions](#).

Large projects that potentially exceed the Project Rebate Cap **and** realize extraordinary utility benefits may be eligible for special incentives through the Custom Retrofit program.

8.0 Aggregating customer project sites

EES is not able to combine rebates from multiple non-contiguous sites. Contiguous sites (a campus) that are included in a single construction contract can be permitted, but each account number must be identified.

9.0 Projects at sites with multiple metered accounts

The EES Project Rebate Cap is applied "per metered account". A meter that does not serve the proposed equipment listed in the Application is ineligible for a rebate.

For example: A building has three metered accounts: one serving building loads (lighting, HVAC, etc.), one serving a fire pump, and one serving an electric vehicle charging station. In this case the metered account serving building loads is the one metered account capable of applying under EES for a Rebate and subject to the Project Rebate Cap.

10.0 Rebate payments

EES Rebates are based on flat rebate rates (units defined in each rebate section).

The Payee indicated on the Application can expect to receive Rebate payment, by check, within 30 days of submission of a complete Application including ALL applicable invoices, technical data sheets and other documentation.

Projects where the Payee is not the Customer will require approval of the terms and conditions by both the Customer and Partner Firm through the My Account portal.

Projects submitted during one program year but finalized the following program year due to their size (rebate larger than \$5,000); will receive the rebate amounts that were stated on their Reservation of Funds/Approval email, regardless of which program year the project gets finalized.

Projects submitted after the last day to submit projects in that program year will be processed and paid in the following program year with the following program year's rebates. (If the EES team gets through their backlog of projects that were submitted on time, projects that were submitted after the close of the program will be processed in chronological order and assuming all documentation is provided, will receive the current program year's rebates.)

11.0 Project cost and Proof of Payment documentation for final application submittal

Prior to a Rebate payment, SMUD requires the Applicant to upload a final accounting of the Project cost and proof of payment.

11.1 Acceptable methods of demonstrating Project Cost and Proof of Payment are listed below and should include the following:

□ **Invoice:** *If Customer is Incentive Payee*

- Date of purchase
- Marked paid (stamped or shows zero balance due) or contains Terms (i.e. Net 30, Net 60, or payment due date)
- Itemized list for each equipment type
 - Make/Brand name and Model number
 - Text description of each type of equipment installed
 - Quantity installed
 - Cost per unit
- Base case description (the old equipment being replaced). This information may also be included on a separate scope of work (SOW) or a memo on official company (vendor or contractor) letterhead. This information is not supplied (written up) by the customer.
 - Make / Brand name and Model number
 - Quantity removed
 - Text description, including rated wattage, rated horsepower (hp) for motors and pumps, and rated capacity for HVAC equipment

□ **Invoice:** *if Partner Firm is Incentive Payee*

- Date of purchase
- Marked paid (stamped or shows zero balance due) or contains Terms (i.e. Net 30, Net 60 or payment due date)
- Itemized list for each equipment type
 - Make/Brand name and Model number
 - Text description of each type of equipment installed
 - Quantity installed
 - Cost per unit
- Base case description (the old equipment being replaced). This information may also be included on a separate scope of work (SOW) or a memo on official company (vendor or contractor) letterhead. This information is not supplied (written up) by the customer.
 - Make/Brand name and Model number
 - Quantity removed

- Text description, including rated wattage for lamps, rated horsepower (hp) for motors and pumps, and rated capacity for HVAC equipment
- Total rebate amount deducted from the sales price

*If Partner Firm is selected as incentive payee, and the invoice provided is not between the Partner Firm and the Customer, additional documentation must be provided to SMUD to show either the contract or invoice between the Customer and Partner Firm.

□ **Purchase Order**

- Date of order
- Date of delivery
- Payment terms (i.e. Net 30, Net 60, Payment Due Date)
- Itemized list for each equipment type
 - Make/Brand name and Model number
 - Text description of each type of equipment installed
 - Quantity installed
 - Cost per unit
- Existing description (the old equipment being used). This information may also be included on a separate scope of work (SOW) or a memo on official company (vendor or contractor) letterhead. This information is not supplied (written up) by the customer.
 - Make/Brand name and Model number
 - Quantity removed
 - Text description, including rated wattage for lamps, rated horsepower (hp) for motors and pumps, and rated capacity for HVAC equipment

□ **Store Receipt** (Note: If the equipment is not described in full on the receipt, please add the information on a separate sheet of paper)

- Date of purchase
- Itemized list for each equipment type
 - Make/Brand name and Model number
 - Text description of each type of equipment installed
 - Quantity (if all listed were not installed, indicate actual quantity installed)
 - Cost per unit
- Existing description (the old equipment being used). This information may also be included on a separate scope of work (SOW) or a memo on official company (vendor or contractor) letterhead. This information is not supplied (written up) by the customer.
 - Make/Brand name and Model number
 - Quantity removed
 - Text description, including rated wattage for lamps, rated horsepower (hp) for motors and pumps, and rated capacity for HVAC equipment

*SMUD may require the Applicant to provide additional documentation in cases where invoicing is unclear or deficient. Any invoice uploaded to SMUD shall be an exact copy of the invoice provided to the Applicant. Submitting different invoices to obscure the actual costs is fraud.

11.2 Eligible components of project cost

Allowable Project Costs may include engineering, construction, equipment, materials, removal, recycling, overhead, tax, shipping, and labor.

When an efficiency or Go Electric business incentives Project is a component of a larger Project, SMUD reserves the right to request documentation verifying the value of only the tasks related to the efficiency Project. For example, a Customer replaces a swimming pool and associated equipment, and is eligible for a Rebate on the pump upgrade. For purposes of determining the Project Rebate Cap, SMUD may request the material and labor costs of the pump installation only.

Labor (Self-Install): Assuming all relevant codes and standards are complied with, and program rules are otherwise complied with, SMUD permits customers to include their own employees' labor in the Project cost. In this case, some substantiation of labor rates and labor hours shall be provided and may be negotiated. SMUD reserves the right to reduce or remove self-install labor from projects claiming unreasonably high labor rates or excessive labor hours to perform a retrofit.

Project Costs may not include spare parts, maintenance supplies, maintenance contracts, standby/back-up equipment or other equipment that does not contribute to the realization of energy savings. Project Costs may not include any costs incurred in advance of an executed contract or order such as sales, marketing, audits, or assessments.

11.3 Product Location Form

SMUD may request a Product Location Form prior to inspection to confirm where the newly installed product is located, including types and quantities.

12.0 Rebate limits

12.1 First-come, first-served

Program funds are available on a first-come, first-served basis. EES Rebate budgets are finite and could potentially be exhausted. Only projects requesting a rebate larger than \$5,000 and in possession of an Approval to Proceed/Reservation of Funds are guaranteed a Rebate if the Project is completed within the timeframe provided in the Approval to Proceed/Reservation of Funds email.

Rebates are subject to change without notice. Current rebate lists can be found at www.smud.org/EES or in the [Appendix](#) of this document.

12.2 Rebates from other programs

Once an Application is submitted to one of SMUD's energy efficiency or Go Electric business incentive programs, an Application may not be resubmitted to a different program – even if the terms of the second program are more favorable.

12.3 Customer project rebate caps

Project Rebate Caps are subject to change. Current SMUD caps can be reviewed at www.smud.org/EES. New in 2021, Express Energy Solutions offers two separate project caps. One cap of \$20,000 per meter per year for qualifying energy efficiency (electric-to-electric) upgrades and another separate cap of \$20,000 per metered account per year for qualifying Go Electric (gas-to-electric) upgrades.

EES Rebates are subject to the Project Rebate Cap and limited to the lesser of the following:

- \$20,000 per metered account per year for energy efficiency (electric-to-electric) upgrades.
- \$20,000 per metered account per year for Go Electric (gas-to-electric) upgrades.
- 100% of the total Project Costs.

The aggregate of all rebates amounts for each separate piece of qualifying equipment installed in a Project. Project Rebate Caps are per program year (currently the calendar year) and Rebates are cumulative when compared to caps. Dividing a Project's scope of work to avoid Project Rebate Caps will not result in multiple Project Rebate Caps unless the two phases apply in different program years. Any Project phases that apply in future years will be subject to the rules in place at the time that Application is received, and the Project must be completed within 90 days of the Application.

13.0 Installation deadline and delays

Rebates are paid for Projects that are completely installed and operational. Loose material or partially installed equipment is not eligible for Rebates.

For Projects applying for Rebates \$5,000 or less, no Rebates will be paid on Projects that have not submitted a complete application within 90 days of Project installation as captured on the Partner's final invoice.

For Project applying for Rebates greater than \$5,000, if the Project misses its installation deadline, no Rebate is guaranteed.

14.0 Post-installation inspection

A sampling of EES projects will be subject to post-installation inspections. If a Customer site is selected for inspection, the Payee and Customer of Record must agree to allow SMUD inspectors to review the installed project. SMUD may request a product location form prior to inspection to confirm where the newly installed product is located including types and quantities.

15.0 Application termination

15.1 Termination conditions

Applications may be terminated deemed ineligible (cancelled) at SMUD's discretion. Common reasons for termination include, but are not limited to:

- SMUD determines that significant information was purposely withheld or falsely stated in the Application.
- The Project is ineligible or was not completed by the time period specified in the Approval to Proceed/Reservation of Funds.
- The Project fails to be installed, fully commissioned, or fully operational prior to the installation deadline.
- The Applicant formally requests withdrawal from the program, or requests the Agreement be assigned to the Customer.
- Applicant is unable to provide appropriate and complete documentation (technical data sheets, invoices, etc.) within 90 days of Application submittal date.
- Approval to Proceed/Reservation of Funds has not been issued within 90 days of the Application submittal date.
- The Customer receiving the benefit of the retrofit refuses to approve a Partner's application within 90 days.
- The Application is a duplicate.

15.2 Appeal of termination

When an Application is terminated (cancelled), a notice will be sent to the Applicant at the email address associated with their My Account. The Applicant has seven (7) days to provide a written appeal to the program manager at Express.EnergySolutions@smud.org with reasoning for an extension request. Note that failure to complete the project or provide the required documentation does not constitute a valid reason for extension.

After the seven-day appeal period set forth above, the Application's termination will be final. If 90 days have not yet passed since the project's completion, the applicant will be required to reapply, and will receive the rebates in effect at the time of the new application.

16.0 Partner or payee suspension

Should SMUD determine that a Partner or Payee has submitted an Application that contains inaccuracies or misrepresentations in an effort to obtain payment of rebates for which they are ineligible; SMUD will suspend participation in EES. Any Project installed during the suspension period is ineligible for rebates.

SMUD will ask the party being suspended to acknowledge the suspension. Regardless of the acknowledgement, the suspension period begins on the date of the notice of suspension. Legitimate rebates within projects found to be erroneous will be forfeited in all cases except those SMUD determines only a warning letter is sufficient.

SMUD may apply suspensions to individuals, businesses, customers, equipment distributors, and vendors (all partners).

Infractions are removed one year from the notice of suspension. Second infractions will take effect if the same infraction occurs within 12 months of initial infraction.

The following table contains guidelines. SMUD reserves the right to accelerate or lengthen the suspension period in cases of fraud.

	Example of issue (not a comprehensive list)	Suspension period
Carelessness or unintentional variance	Minor error in fixture count Minor error in determining fixture wattage	First infraction: Warning Letter Second infraction: 90 Days Third infraction: 180 Days
Misrepresenting SMUD's program requirements	Rebate applicants collude with SMUD customers to claim projects are complete. Applicants, contractors, and distributors claim to be "SMUD Contractors" or "SMUD Partners" or otherwise imply a relationship with SMUD. Stating ineligible equipment qualify for SMUD programs.	First infraction: Warning Letter Second infraction: 180 Days
\$5000 or less rebate amounts with equipment not installed.	If an application is submitted with rebate \$5,000 or less and qualifying equipment is not installed and operational.	Application will be cancelled and will need to be resubmitted once all qualifying equipment is installed and operational.
Rebate larger than \$5,000 with no pre-approval	If an application is submitted with rebate larger than \$5,000 and some and/or all the qualified equipment is installed and operational at the time of the submission.	First infraction: Warning Letter Second infraction: EES program will only award \$5,000 rebate regardless how much more the rebate was supposed to be.
Deliberate miscalculation	Substantially overstating wattage/horsepower/tonnage of existing equipment (ex: claiming 250W HID as 400W HID, 3 lamp fixtures as 4 lamp fixtures, claiming T8 fixtures as T12 fixtures, etc.) Major overstatement of a fixture count (>10%) Improperly claiming project completion	First infraction: warning letter Second infraction: 90 Days Third infraction: 1 Year (12 months)
Fraud	Doctoring manufacturers data sheets Claiming already completed projects as new retrofits. Doctoring project cost documentation (invoices) Submitting different invoices to SMUD and the customer. Submitting multiple applications for same project. Repeatedly overstating fixture counts	First infraction: 1 Year (12 Months) Second infraction: Permanent prohibition from participation.

17.0 Contact information

Application status can be reviewed in both the Customer's and Partner Firm's My Account portals (www.smud.org/MyAccount).

The Express Energy Solutions program team can be reached at: Express.EnergySolutions@smud.org or (916) 732-5095

Appendix: 2021 Phase 2 – Express Energy Solutions rebates

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A. Lighting

Use this table to retrofit fluorescent high output and normal output fixtures, and HID fixtures (HID retrofits only apply to mercury vapor, high pressure sodium or metal halide). Replacement technologies can only include new LED **complete fixtures**. Technical requirements provided in the “notes” section of the table.

Notes	Measure	Rebate
1	LED fixture—fluorescent HO replacement ≤42W	\$14
1	LED fixture—fluorescent HO replacement 43-71W	\$20
1	LED fixture—fluorescent HO replacement 72-100W	\$26
1	LED fixture—fluorescent HO replacement 101-153W	\$28
1	LED fixture—fluorescent replacement 15W	\$10
1	LED fixture—fluorescent replacement 16-25W	\$20
1	LED fixture—fluorescent replacement 26-40W	\$30
1	LED fixture—fluorescent replacement 41-50W	\$35
1	LED fixture—HID replacement ≤14W	\$10
1	LED fixture—HID replacement 15-20W	\$12
1	LED fixture—HID replacement 21-35W	\$20
1	LED fixture—HID replacement 36-50W	\$28
1	LED fixture—HID replacement 51-75W	\$40
1	LED fixture—HID replacement 76-125W	\$65
1	LED fixture—HID replacement 126-175W	\$90
1	LED fixture—HID replacement 176-225W	\$125
1	LED fixture—HID replacement 226-275W	\$125
1	LED fixture—HID replacement 276-325W	\$125
<p>1. LED complete fixture must appear on the Design Lights Consortium’s Qualified Products List. (www.designlights.org/search/). The “Primary Use” listed on the DLC for this product must be listed as an eligible luminaire. Please note: model number, manufacturer and brand on the manufacturer data sheets must match the model number manufacturer and brand listed on DLC or ENERGY STAR. See more details for “Primary Use” DLC eligibility lists: https://www.designlights.org/solid-state-lighting/qualification-requirements/product-eligibility/</p> <p>Please note: SMUD no longer offers rebates on retrofit kits, lamps, or TLED’s.</p>		

B. Refrigeration

Technical requirements provided in the “notes” section of the table.

Notes	Measure (after modification)	Rebate
1	EC motor for walk in evaporator fan	\$45
4	EC motor with fan cycling control, WI cooler, 16W motor	\$50
2	Strip curtain infiltration barrier refrigerated/freezer space	\$4
3	Auto closer - Main cooler door	\$50
3	Auto closer - Main freezer door	\$50
5	LED refrigerator display case lighting 5 ft single lamp	\$30
5	LED refrigerator display case lighting 5 ft multi lamp	\$40
5	LED refrigerator display case lighting 6 ft single lamp	\$35
5	LED refrigerator display case lighting 6 ft multi lamp	\$45
6	Vending machine controller—non refrigerated	\$50
6	Vending machine controller—refrigerated	\$100
7	Anti-sweat heater controls LT (Low Temperature)	\$30
7	Anti-sweat heater controls MT (Medium Temperature)	\$20
8	Reach in display case with doors LT (Low Temperature)	\$40
8	Reach in display case with doors MT (Medium Temperature)	\$60
<ol style="list-style-type: none"> 1. Electronically commutated motor with electrical motor efficiency of at least 66%. 2. Strip curtains shall be installed in areas that do not currently have an infiltration barrier. Newly construction refrigerated and cooled spaces are not eligible for rebate. 3. Auto closers shall be installed on doors that do not currently have an auto closer. Closers on newly constructed doors are not eligible for rebate. 4. Electronically commutated motor with electrical motor efficiency of at least 66% AND integrated with compressor controls that reduce fan speed when refrigerant is not flowing. 5. LED refrigerator display case lighting must be described as “refrigerated display lighting” in product literature, and will be permanently installed, and will not use tubular fluorescent sockets (tombstones) or fluorescent ballasts. Tubular LED lamps are not eligible for this rebate. Common commercial lighting products are not eligible for this rebate. 6. Existing vending machines must not include integrated occupancy-controlled lighting or compressor cycling. 7. Existing cooler or freezer display case must have a continuously operating anti-sweat heater. The new anti-sweat heater controls cycle the heater based upon the humidity of the surrounding air or condensation on the inner glass. 8. Rebate will be paid for NEW vertical low temperature and medium temperature refrigerated display case doors that replace cases without doors. New display case shall include standard glass doors, electronically commutated evaporator fan motors and T8 lighting. If purchaser opts for LED lighting, the case may also apply for the LED Refrigerator Display Case rebate. 		

C. Heating and Cooling

Rebates are currently the same for early retirement or replacement on burnout. Large space conditioning equipment may be eligible for Custom Incentives for other features. Contact (916) 732-5095 for more information. Technical requirements provided in the “notes” section of the table.

Notes	Measure (new unit description)	Unit Tons	Unit Efficiency	Rebate (per Ton)
1, 3	Packaged air conditioner (AC-RTU)	<6	15 SEER	\$150
		6 to 8.5	12 EER	\$85
		10	12 EER	\$80
		12-17	12 EER	\$75
		20-60	10.8 EER	\$50
		>60	10.2 EER	\$60
1,3	Packaged heat pump (HP-RTU)	<6	15 SEER + 8.2 HSPF	\$125
		6 to 8.5	12 EER + 3.4 COP	\$100
		10	12 EER + 3.4 COP	\$75
		12 to 17	12 EER + 3.2 COP	\$75
		20	10.8 EER + 3.2 COP	\$50
1, 3	Split system air conditioner	<6	15 SEER	\$150
1, 3	Split system heat pump	≤5	15 SEER + 9 HSPF	\$125
1, 3	PTAC	≤2	12EER	\$50
2	VFD for HVAC Fan	-	≤ 25hp	\$80
1, 3	Ductless mini split heat pump	-	15-16 SEER	\$175
1, 3	Ductless mini split AC	-	15-17 SEER	\$70
1, 3	Ductless mini split AC	-	18-20 SEER	\$100
1, 3	Ductless mini split AC	-	21 SEER	\$120
<p>1. Rebates are currently the same for Early Retirement or Replacement on burnout. No pre-inspection is required.</p> <p>2. This rebate is per horsepower (HP), not per ton. Damper controlled VAV with 30% min-cfm ratio. VFD supply fan motors. VFD MUST be new install not replacing an existing VFD. Input TOTAL HP in to the “unit” field in the online application.</p> <p>3. Input the total amount of tons in the unit field of the online application (not total units). Ex: Installed 2 identical 5-ton units — select the applicable measure and enter 10 tons for the total # of “units”. If units installed vary in criteria, select separate measures for each and for each measure, input the <i>total tons</i> for the unit measurement (not total units).</p> <p>(For gas-to-electric HVAC conversions, please refer to Appendix F for our Go Electric incentives)</p>				

HVAC & VFD Definitions	
Packaged	With unitary or “packaged” units, all the system components (compressor, condenser, cooling coil, fan, filters) are contained in a single enclosure. Typically located on roofs.
Split System	An air conditioning or heat pump system where the compressor and condenser are located on the exterior, and the evaporator, air handling unit, and filter are on the inside.
Tons	Measure of cooling capacity of an air conditioning or heat pump unit.
kBtuh	1000 British Thermal Units per hour. Another measure of cooling capacity of an air conditioning or heat pump unit.
EER	Energy Efficiency Ratio. Measure of the full-load cooling efficiency of an air conditioning or heat pump unit.
SEER	Seasonal Energy Efficiency Ratio. Another measure of the cooling efficiency of an air conditioning or heat pump unit in a typical year. Typically used for units of 5 tons or less.
HSPF	Heating Seasonal Performance Factor. Measure of the heating efficiency of heat pumps.
COP	Coefficient of Performance. Another measure of the heating and cooling efficiency of heat pump units. Typically for units > 5 tons.

D. Water Heating

Technical requirements provided in the “notes” section of the table.

Notes	Measure	Rebate per unit
1	Residential Style Heat Pump Water Heater	\$500
1	Commercial Style Heat Pump Water Heater	\$1,350
1	Split system Heat Pump Water Heater	\$1,000
<p>1. Product must be listed on SMUD’s qualified product list at CAEnergyWise.com (heat pump water heating tab) (For gas-to-electric heat pump water heater conversions, please refer to Appendix G for our Go Electric incentives)</p>		

E. Foodservice

Technical requirements provided in the “notes” section of the table.

Notes	Measure	Rebate per unit
1	Ice machine < 300 lbs/day	\$150
1	Ice machine 300 to 800 lbs/day	\$200
1	Ice machine 801 to 1500 lbs/day	\$250
1	Ice machine ≥ 1500 lbs/day	\$350
1	Refrigerator glass door < 15 cubic feet	\$75
1	Refrigerator glass door 15 - 29 cubic feet	\$100
1	Refrigerator glass door 30 - 49 cubic feet	\$150
1	Refrigerator glass door ≥ 50 cubic feet	\$250
1	Refrigerator solid door < 15 cubic feet	\$80
1	Refrigerator solid door 15 - 29 cubic feet	\$100
1	Refrigerator solid door 30 - 49 cubic feet	\$150
1	Refrigerator solid door ≥ 50 cubic feet	\$200
1	Freezer glass door < 15 cubic feet	\$250
1	Freezer glass door 15 - 29 cubic feet	\$300
1	Freezer glass door 30 - 49 cubic feet	\$500
1	Freezer glass door ≥ 50 cubic feet	\$750
1	Freezer solid door < 15 cubic feet	\$100
1	Freezer solid door 15 - 29 cubic feet	\$150
1	Freezer solid door 30 - 49 cubic feet	\$200
1	Freezer solid door ≥ 50 cubic feet	\$350
1	Insulated holding cabinet—half size	\$300
1	Insulated holding cabinet—full size	\$800
1	Combination oven < 15 pan capacity	\$1,500
1	Combination oven 16-28 pan capacity	\$2,000
1	Combination oven ≥ 29 pan capacity	\$2,750
1	Steam cooker	\$1,300
1	Convection oven half size	\$400
1	Convection oven full size	\$500
1	Griddle	\$400
1	Fryer	\$650
1	Dishwasher undercounter — low temp	\$350
1	Dishwasher undercounter — high temp	\$500
1, 2, 3	Kitchen Demand Control Ventilation – variable speed fan motor controls	\$1,400

1. Product must be listed on SMUD’s qualified product list at CAEnergyWise.com (see individual product tabs).
2. Two units max per location.
3. Rebate is per system (not per horsepower). Please input the total number of system units on the online application.

F. Go Electric Heating and Cooling

The following rebates are for projects that convert gas-fired heating and cooling equipment to electric heat pump space heating solutions. Technical requirements provided in the “notes” section of the table.

Notes	Measure	Rebate
1,2 ,8, 9	Single-zone or multi-zone mini-split inverter driven heat pump	\$500/ton
1, 2, 3, 8, 9	Packaged or split system heat pump	\$550/ton
1, 4, 8, 9	Variable refrigerant flow (VRF) multi-zone systems (single mode unit)	\$550/ton
1, 5, 8, 9	Variable refrigerant flow (VRF) multi-zone systems (units with heat recovery/simultaneous heating and cooling)	\$1,000/ton
1, 6	Heat pump Electrical infrastructure support	\$1,000/unit
1, 7	Heat pump Engineering and permitting support	\$750/project site
<p>1. Must serve spaces previously served with natural gas or propane heat.</p> <p>2. All units must satisfy title 24 minimum efficiencies. In the online application, select the measure with the matching criteria for SMUD to determine the energy savings. This will not impact the rebate.</p> <p>3. Only commercial split systems and packaged systems 3 tons to 20 tons are eligible.</p> <p>4. Single mode units that don't operating in heating and cooling modes simultaneously.</p> <p>5. Units must have heat recovery/simultaneous heating and cooling.</p> <p>6. Only for units with electric resistance supplemental heat only.</p> <p>7. For projects which require panel improvements or new circuits to support electric resistance supplemental heat.</p> <p>8. Must submit before and after installation name plate photos along with online application.</p> <p>9. Input the total amount of tons in the unit field of the online application (not total units). Ex: Installed 2 identical 5-ton units: select the applicable measure and enter 10 tons for the total # of “units”. If units installed vary in criteria, select separate measures for each and for each measure, input the <i>total tons</i> for the unit measurement (not total units).</p> <p>Please note: SMUD can support more complex electrification of space heating systems including water-source heat pumps, heat recovery, and customized solutions. Contact the Custom Retrofit Program to see if project is eligible. Email CustomRetrofit@smud.org or call 916.732.5095 to learn more.</p>		

G. Go Electric Water Heating

The following rebates are only for projects that convert gas-fired water heaters to electric heat pump water heating solutions. Technical requirements provided in the “notes” section of the table.

Notes	Measure	Rebate per unit
1, 4	Residential style heat pump water heater	\$1,500
1, 4	Commercial style heat pump water heater	\$4,000
1, 2, 4	Split system heat pump water heater	\$3,000
3	Electrical infrastructure support bonus	\$1,000
<p>1. Product must be listed on SMUD’s qualified product list at CAEnergyWise.com (heat pump water heating tab)</p> <p>2. Must have minimum 12 kBtuh/hr. input in heat pump mode operating without electric resistance elements</p> <p>3. Eligible for bonus if wiring changes or panel changes are required (<i>retrofit only</i>).</p> <p>4. Must submit before and after installation name plate photos along with application.</p> <p>For standard electric to electric replacements, please refer to Appendix D for applicable water heater rebates.</p> <p>Please note: Other gas to electric heat pump water heater solutions are available. Customized engineered systems can contact the Custom Retrofit Program to see if projects are eligible for Custom incentives. Email CustomRetrofit@smud.org or call 916.732.5095 to learn more.</p>		

H. Go Electric Food Service

Projects that replace gas-fired systems with electric induction equipment are eligible for Go Electric Food Service incentives. Technical requirements provided in the “notes” section of the table.

Notes	Measure (after modification)	Rebate
1, 2, 3,4,5, 6	Induction (gas-to-electric conversion)	\$450/hob
<ol style="list-style-type: none">1. Must replace your existing gas range/cooktop stove with an induction range/cooktop.2. Minimum of 2 hobs (heating elements) per unit.3. 3 kW per hob minimum, minimum 208 volt.4. Foodservice only – primary business is preparing food.5. Must submit before and after installation name plate photos along with application.6. Enter the total number of hobs for the unit measurement in the online application (not total units). Example: Installed a 4-hob induction cooktop range: Input 4 as the total # of units for the “unit” input field.		