



Smart Saver™ Nonresidential Custom Incentive Application for Single-Site Customers

Program Overview

Duke Energy's Smart Saver Nonresidential Custom Incentive Program offers financial assistance to qualifying commercial, industrial and institutional customers¹ to enhance their ability to adopt and install cost-effective electrical energy efficiency projects. The Smart Saver Custom Incentive program is designed to meet the needs of *Duke Energy* customers with electrical energy saving projects involving more complicated or alternative technologies, or those measures not covered by standard Prescriptive Smart Saver Incentives. The intent of the Smart Saver Program is to encourage the implementation of energy efficiency projects that would not otherwise be completed without *Duke Energy's* technical or financial assistance.

Proposed energy efficiency measures may be eligible for Custom Incentives if they clearly reduce electrical consumption and/or demand. In addition to the Smart Saver Program *Duke Energy* also offers partial funding of energy assessments. Please contact your *Duke Energy* Business Relations Manager or the Business Service Center at BSCTeam@duke-energy.com for more information.

Instructions/Terms/Conditions

1. Before starting a custom energy efficiency project, the *Duke Energy* customer must complete and submit this application to *Duke Energy* for approval. Smart Saver Custom Incentives cannot be granted without prior completion of this application, and subsequent approval by *Duke Energy*. Energy service companies or contractors may assist in preparing the application, but an authorized representative of the customer must sign this application to be eligible to participate in the Smart Saver Program. Completion of this application does not guarantee the approval of a Custom Incentive.
2. Do not begin your energy efficiency projects or purchase equipment until you receive written approval in the form of an acceptance letter from *Duke Energy*.
3. Once all documentation requested in this application is received by *Duke Energy*, and any follow-up information requested by *Duke Energy* is received, the Preliminary Incentive Amount for each Energy Conservation Measure (ECM) will be communicated to the customer. The Preliminary Incentive Amount will be based on the projected energy savings and ECM incremental installation cost.
4. With the application, the customer must provide a list of all sites where the ECMs will be installed. *Duke Energy* requests that sites of similar size, hours of operation and energy consuming characteristics be grouped together in one application for the determination of the incentive amount. The application should identify the site where each unique ECM will be initially installed. *Duke Energy* will conduct a pre-site inspection and install any metering and monitoring that may be required to determine the Approved Incentive Amount for each unique ECM. A post-installation site inspection will be conducted after each unique ECM installation.

¹ Customers who opt out of the Energy Efficiency Rider are not eligible for Custom Incentives.

Instructions/Terms/Conditions (continued)

5. Based on the information submitted with the application and the information gathered both before and after the initial installation of the ECM, *Duke Energy* will calculate the Approved Incentive Amount for each ECM. *Duke Energy* will provide an updated copy of the Smart \$aver Preapproved Incentives form with the Approved Incentive Amount within five business days of gathering the information needed from the post-installation site inspection.
6. *Duke Energy* will conduct random site inspections of a sample of the locations where the ECMs are installed both prior to and after installation to verify installation and operability of the ECMs and to obtain information needed to calculate the Approved Incentive Amount.
7. The attached Payment Request Form must be submitted to *Duke Energy* within 60 days of completion of the projects associated with this application. Copies of equipment invoices must be submitted to *Duke Energy* with the attached Smart \$aver Custom Incentive Payment Request form.
8. *Duke Energy* will issue a Custom Incentive check, based on the Approved Incentive Amount for each ECM, upon receiving the attached Smart \$aver Incentive Payment Request form from the customer. Approved Incentive Amounts may be adjusted if the project varies from the information originally submitted by the customer.
9. Customers are encouraged to retain copies of all forms, invoices and supporting documentation for their records.
10. Approved Incentive Amounts are valid for 6 months from the date communicated to the customer by *Duke Energy*. *Duke Energy* retains the right to adjust the Approved Incentive Amount before the end of the six months due to regulatory requirements; measurement, verification and evaluation results; or any valid unforeseen reason.
11. If the Incentive Amount needs to be adjusted for an ECM, *Duke Energy* will notify the customer of the adjustment as soon as possible. The Approved Incentive Amount, prior to the adjustment, will be valid for projects completed within 60 days of the date that *Duke Energy* notifies the customer of the adjusted Approved Incentive Amount.
12. *Duke Energy* reserves the right to recover all unrecoverable costs associated with the project approval if the customer decides not to complete the project, after the project is approved by *Duke Energy*.
13. Projects financially supported by other funding sources will be evaluated on a case-by-case basis for potential partial funding from *Duke Energy*.
14. Participants must be *Duke Energy* nonresidential customers with the project sites in the *Duke Energy* service territory.
15. Customers or trade allies may not use either the *Duke Energy* or the Smart \$aver Program name or logo without prior written permission.



Instructions/Terms/Conditions (continued)

16. Only trade allies registered with *Duke Energy* are eligible to participate.
17. All equipment must be new. Used or rebuilt equipment is not eligible for incentives. All old existing equipment must be removed on retrofit projects.
18. Disclaimers: *Duke Energy*
 - a. does not endorse any particular manufacturer, product or system design within the program;
 - b. will not be responsible for any tax liability imposed on the customer as a result of the payment of incentives;
 - c. does not expressly or implicitly warrant the performance of installed equipment. (Contact your contractor for details regarding equipment warranties.);
 - d. is not responsible for the proper disposal/recycling of any waste generated or obsolete or old equipment as a result of this project;
 - e. is not liable for any damage caused by the installation of the equipment nor for any damage caused by the malfunction of the installed equipment; and
 - f. reserves the right to change or discontinue this program at any time. The acceptance of program applications is determined solely by *Duke Energy*.



Smart \$aver™ Nonresidential Custom Incentive Application

Checklist

(To be submitted with the application)

Item Number	Description	Included
1	Customer Information form – (page 2)	<input type="checkbox"/>
2	Project Description & Information – (page 3)	<input type="checkbox"/>
3	Energy Savings and Implementation Costs – (page 4)	<input type="checkbox"/>
4	Customer Consent form – (page 5)	<input type="checkbox"/>
5	Project Questionnaire (pages 6, 7 & 8)	<input type="checkbox"/>

I have provided all the information requested for Smart \$aver Custom Incentive consideration.

Contact Information for Person Submitting Application				
Name				
Company				
Address				
City		State		Zip Code
Title				
E-mail Address				
Office Phone				
Mobile Phone				
Fax				
Date				
Customer or Supplier?	<input type="checkbox"/> Customer	<input type="checkbox"/> Vendor		



Smart Saver™ Nonresidential Custom Incentive Application

Duke Energy Customer Information (if different from information submitted on previous page)				
Company Name				
Name of Company Facility				
Address				
City		State		Zip Code
Project Contact				
Title				
Office Phone		Mobile Phone		Fax
E-mail Address				
Payment Information				
Who should receive incentive payment? <input type="checkbox"/> Customer <input type="checkbox"/> Vendor (Customer must sign below)				
I hereby authorize payment of incentive directly to vendor:				
Customer Signature _____ Date _____				
Payee Legal Company Name (as shown on your income tax return):				
Mailing Address (if different from above)				
City		State		Zip Code
<input type="checkbox"/> Individual/Sole Proprietor		<input type="checkbox"/> Corporation		<input type="checkbox"/> Partnership (check one)
Payee Federal Tax ID # of Legal Company Name Above:				

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Project Description and Information

Project information must be completed by the customer, or the customer's energy service company or contractor. Please provide the following information regarding the project for custom incentive consideration:

1. Project Name – a customer supplied name for the project
2. Project Description - one to two paragraphs as needed to describe the energy efficiency project
3. Site Name and Facility Descriptions – include the *Duke Energy* account number and street address, gross and conditioned square footage, and age of facility
4. A list of all assumptions used to calculate the energy savings and the costs related to the project and ECMs
5. A list of all issues that might affect the actual energy savings and costs once the project is implemented
6. Equipment specifications and prices for standard/existing equipment and new energy efficient equipment. Attach copies of vendor proposals including pricing details.
7. Provide clear and logical step-by-step energy savings and cost calculations and methodologies. Spreadsheets or output of energy simulation tools are encouraged.
8. Complete all requested information on the charts found on page 4.



Energy Savings and Implementation Costs

For each Energy Conservation Measure, provide the energy usage for the equipment both before and after implementation in the following chart or in a separate spreadsheet.

Measure ID	Energy Conservation Measure	Before Implementation			After Implementation			Annual Energy Savings \$\$\$ ²
		On-Peak kW ¹	Off-Peak kW	Annual kWh	On-Peak kW ¹	Off-Peak kW	Annual kWh	
ECM-1								
ECM-2								
ECM-3								
ECM-4								
ECM-5								

Provide other costs savings, the incremental implementation costs, the measure life and simple payback for each Energy Conservation Measure.

Measure ID	Energy Conservation Measure	Other Annual Savings \$\$\$ ³	Incremental Implementation Costs \$\$\$ ⁴	Measure Life in Years ⁵	Simple Payback In Years ⁶
ECM-1					
ECM-2					
ECM-3					
ECM-4					
ECM-5					

¹ On-Peak is during the hours of 1:00 p.m. to 9:00 p.m., Monday through Friday, June through August (NC and SC).

² Annual electric energy costs savings for each Energy Conservation Measure

³ Other quantifiable annual savings (e.g. Maintenance savings)

⁴ For existing facilities, the Incremental Implementation Costs is either the cost to remove and replace operational equipment, or it is the cost to upgrade from standard efficiency to high efficiency for non-operational equipment. For new facilities or new production equipment, the Incremental Implementation Costs is the cost to upgrade from standard efficiency to high efficiency equipment. Incremental costs include design, equipment and installation costs.

⁵ Measure life in years should be entered for the primary equipment expected life, taking into account the expected operation and normal equipment maintenance.

⁶ Simple payback is the Incremental Implementation Costs divided by the total of the Annual Energy Savings and Other Annual Savings.



**CUSTOMER CONSENT
TO RELEASE OF
PERSONAL INFORMATION**

I, INSERT NAME, do hereby consent to Duke Energy disclosing my Duke Energy Account Number and Federal Tax ID Number to its subcontractors solely for the purpose of administering Duke Energy's Smart \$aver Program. I understand that such subcontractors are contractually bound to otherwise maintain my Duke Energy Account Number and Federal Tax ID Number in the strictest of confidence.

I realize that under the rules and regulations of the public utilities commission, I may refuse to allow Duke Energy to release the information set forth above. By my signature, I freely give Duke Energy permission to release the information designated above.

(Signature)

Name:

Date:

Project Questionnaire

The intent of *Duke Energy's* Smart \$aver Nonresidential Custom Incentive Program is to cause the implementation of high efficiency energy saving project that would otherwise not be completed without the program's assistance (whether that be financial, technical, or other). Please take a moment to complete the following statement.

1. Please indicate if the *Duke Energy* incentive is/was a factor in your choice to install the more energy efficient equipment instead of other equipment that may not have saved as much energy.
 - A. Program assistance/incentive has an influence on our decision, or
 - B. Program assistance/incentive has no influence at all on our decision

2. If the *Duke Energy* incentive was a factor in your decision, please indicate how much of an influence the program incentive/service had on your energy efficient equipment choice. Please check the number that best represents the level of influence the program has on your equipment choice.

The Duke Energy program had no effect on our equipment choice	The Duke Energy program may have had a minor influence on our energy efficient equipment choice.	The Duke Energy program had a positive influence in our selection of the energy efficient equipment	The Duke Energy program was one of the key reasons for the energy efficient equipment choice, but not the most important reason	The Duke Energy program was one of the most important reasons for the energy efficiency equipment choice	The Duke Energy program was the primary reason for the energy efficient equipment choice
0 <input type="checkbox"/>	1 <input type="checkbox"/> 2 <input type="checkbox"/>	3 <input type="checkbox"/> 4 <input type="checkbox"/>	5 <input type="checkbox"/> 6 <input type="checkbox"/>	7 <input type="checkbox"/> 8 <input type="checkbox"/>	9 <input type="checkbox"/> 10 <input type="checkbox"/>

3. Do you think that you would have or will select the same level of energy efficiency if the program information and technical assistance would not have been available to you?
 - A. No, we would make a different equipment selection or not do the same project
 - B. Not sure what we would do
 - C. Yes, we would make exactly the same equipment choice.

4. Do you think that you would have or will select the same level of energy efficiency if the program's financial incentives would not have been available to you?
 - A. No, we would make a different equipment selection or not do the same project
 - B. Not sure what we would do
 - C. Yes, we would make exactly the same equipment choice.



5. Please check each of the boxes below indicating the different ways *Duke Energy* has in some way assisted in your decisions about this specific energy efficiency project. In addition, please indicate how important each of the different types of assistance has been in your decision to choose the energy efficient alternative. Please use a 1-10 scale with 1 meaning *Duke Energy's* program assistance was not very important in your decision, and a 10 meaning this assistance was very important.

			Score (1 to 10 Scale)
Duke Energy has assisted in this way			
Reviewed technology proposals/bids	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Found suppliers or contactors	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Worked with facility energy planning or teams	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Worked with facility engineer	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Helped find/obtain financing	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Conducted Technology or Energy Assessments	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Provided Training	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Engineering Analysis	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Developed Savings Calculations	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Product/Measure Info	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Assistance in finding a vendor or engineering firm	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Assistance in selling project to management	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Verification of calculations	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Reference or case study of the technology or application	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Permitting or code information	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Rate of Billing Information	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Financial Incentive for Project Equipment	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Other	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

6. *Duke Energy* understands that energy savings is just one of many potential benefits of a project. Please rate the following benefits as they pertain to the project described above. (0 = not an expected benefit of this project, 5 = major expected benefit of this project)

	0	1	2	3	4	5
Energy cost savings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintenance-related savings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Production capacity or product quality improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Satisfies a regulatory or code requirement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. Please describe how and when you (your company) first became aware of how the proposed energy efficiency measures/project could help your company save energy.



Signature

I certify that I meet the eligibility requirements of the *Duke Energy* Smart \$aver Custom Incentives Program and that all information provided within this application is correct to the best of my knowledge. I agree to the terms and conditions set forth for this program. I certify that the numbers, energy savings, and responses shown on this form are correct. Further, I certify that the taxpayer identification number is current and correct. I am not subject to backup withholding because: (a) I am exempt from backup withholding; or (b) I have not been notified by the IRS that I am subject to backup withholding as a result of a failure to report all interest or dividends; or (c) the IRS has notified me that I am no longer subject to backup withholding. I am a U.S. citizen (includes a U.S. resident alien).

Customer Signature

Print Name

Date

Submit your completed application via e-mail to:
roshena.ham@duke-energy.com

or mail to:
Roshena Ham
Duke Energy
P.O. Box 1006 / EC2ZA
Charlotte, NC 28201