



Certified Cost:

\$

Tax Credit:

\$

## **Energy Incentives Program**

### **Application for Small Premium Projects (SPP) Final Certificate**

## **5.8 High Performance Homebuilding**

**Informational Filing #:**

#### **1. Project Owner Information**

Project Owner Name:

Federal Tax ID (*REQUIRED*)\*:

SSN\*:

Contact Name:

Mailing Address:

City:

State:

Zip:

Phone:

Email:

#### **2. Project Site Information**

Project Site Address:

City:

State: OR

Zip:

County:

SIC or NAICS Code:

SIC #:

NAICS #:

Date Project Verified:

Verifier:

Date Project Complete:

Total Square Footage:

\_\_\_\_\_ sq. ft

Number of Stories:

Duct Forced Air System:

☐ Yes ☐ No

Check all that apply:

☐ Single Family Residence

☐ Multi-family Dwelling

☐ Duplex

☐ **Custom Built Home\*\***

☐ Rental

☐ Other (Describe): \_\_\_\_\_

**\*\* If a Custom Built Home, include  
home owner contact information:**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

Natural Gas Utility:

Electrical Utility:

\*OAR 330-210-0030 authorizes the Oregon Department of Energy to use your federal tax identification or social security number as an identification number in maintaining internal records and may be shared with the Oregon Department of Revenue to establish the identity of an individual in order to administer state tax law.

### 3. **Permits and Licenses** – *REQUIRED* (Include supporting documentation)

Check one:

- ☐ The project complies with all applicable permits and licenses required for my project under local and state laws.
- ☐ The project did not require any permits or licenses under local and state laws.

### 4. **Compliance with Land Use Laws of City and/or County**

Check one:

- ☐ The project complies with or has a variance from the land use laws of the city/county where the project is located.
- ☐ Compliance with land use laws was not applicable to my project.

### 5. **Project Property Taxes** – *REQUIRED* (Include supporting documentation)

- ☐ I have submitted with this application documentation from the county where the project is located that the property taxes are current.

### 6. **Project Information**

Have you received or applied for any other Oregon Tax Credits for other projects at this site address?

- ☐ Yes ☐ No

If 'YES', please list previous application numbers: \_\_\_\_\_

Number of jobs created by the project: \_\_\_\_\_

Number of jobs eliminated by project: \_\_\_\_\_

Did this project receive certification or labeling through a Green Building Program?

- ☐ Yes ☐ No

If 'YES', identify which program(s): \_\_\_\_\_

Did this project receive a building permit using the REACH code?

- ☐ Yes ☐ No

If 'YES', did the project receive a REACH certificate or an occupancy permit with a REACH endorsement?

- ☐ Yes ☐ No

If 'NO', explain why permits, certificates, or endorsements were not received: \_\_\_\_\_

## 7. Compliance

### OPTION 1: ☐

If this project is applying for a tax credit under one of the Energy Trust New Homes Program paths, confirm the following documents are included with this application:

- ☐ A copy of the final Energy Performance Score report card print out
- ☐ A photo-copy of the incentive check received from the ETO. (The amount confirms which path was completed)

### OPTION 2: ☐

If this project is not participating in the ETO New Homes Program, please provide the receipts/invoices and any other relevant documentation that would prove that this project would otherwise qualify under the ETO New Homes Program for the paths outlined below.

Approved Builder Specification Packages	Building Specification Package	Minimum % above code improvement	A Tax Incentive (\$/Sq. ft.)	B Project Area (Conditioned Space) (Sq. ft.)	C Total Eligible Incentive Received (A x B)
Energy Trust New Homes Program	Path 2	20%	\$0.67		
Energy Trust New Homes Program	Path 3	25%	\$0.77		
Energy Trust New Homes Program	Path 4	35%	\$1.47		
Energy Trust New Homes Program	Path 5	40%	\$2.25		

## 8. Project Verification - Please enter the specific contact information for the approved verifier.

Organization/Company:

Name:

Address:

Phone:

Email:

Date verification was completed:

Verifier #:

**9. Project Payment** -Please and describe list the actual costs for all items associated with the **materials** and **labor** within the appropriate section.

Materials/Equipment (Paid amounts **must** match itemized receipts or invoices):

☐ I have enclosed itemized invoices to verify amounts paid.  
(REQUIRED)

List Materials/Equipment (allocate separate dollar amounts):

Shell: \_\_\_\_\_  
HVAC: \_\_\_\_\_  
LTG: \_\_\_\_\_  
Water Heating: \_\_\_\_\_  
Other: \_\_\_\_\_

\$ \_\_\_\_\_ Shell  
\$ \_\_\_\_\_ HVAC  
\$ \_\_\_\_\_ LTG  
\$ \_\_\_\_\_ Water Heating  
\$ \_\_\_\_\_ Other  
**TOTAL:**  
\$ \_\_\_\_\_ (10A)

Labor (Provide description, allocate separate dollar amounts):

Shell: \_\_\_\_\_  
LTG: \_\_\_\_\_  
Water Heating: \_\_\_\_\_  
Other: \_\_\_\_\_

\$ \_\_\_\_\_ Shell  
\$ \_\_\_\_\_ HVAC  
\$ \_\_\_\_\_ LTG  
\$ \_\_\_\_\_ Water Heating  
\$ \_\_\_\_\_ Other  
**TOTAL:**  
\$ \_\_\_\_\_ (10B)

Date the project is operational and all contractors, vendors, etc. are paid in full: \_\_\_\_\_

Date the project was placed in service: \_\_\_\_\_

**Total Project Payment:**  
\$ \_\_\_\_\_ (10C)  
(10A+10B)

**10. Estimated Payment of Building a Conventional Home** - Estimate all items associated with the **materials and labor** within the appropriate section below for building a home without High Performance Features. This represents what it would have cost to build a conventional code-compliant home of the same size, location, and usage. To be eligible for a tax credit, these costs should total to less than 10C.

Materials/Equipment (Paid amounts **must** match itemized receipts or invoices):

List Materials/Equipment (allocate separate dollar amounts):

Shell: \_\_\_\_\_

HVAC: \_\_\_\_\_

LTG: \_\_\_\_\_

Water Heating: \_\_\_\_\_

Other: \_\_\_\_\_

\$ \_\_\_\_\_ Shell

\$ \_\_\_\_\_ HVAC

\$ \_\_\_\_\_ LTG

\$ \_\_\_\_\_ Water Heating

\$ \_\_\_\_\_ Other

**TOTAL:**

\$ \_\_\_\_\_ (11A)

Labor (Provide description, allocate separate dollar amounts):

Shell: \_\_\_\_\_

HVAC: \_\_\_\_\_

LTG: \_\_\_\_\_

Water Heating: \_\_\_\_\_

Other: \_\_\_\_\_

\$ \_\_\_\_\_ Shell

\$ \_\_\_\_\_ HVAC

\$ \_\_\_\_\_ LTG

\$ \_\_\_\_\_ Water Heating

\$ \_\_\_\_\_ Other


**TOTAL:**

\$ \_\_\_\_\_ (11B)

**Total Estimated Payment:**

\$ \_\_\_\_\_ (11C)

(11A+11B)

**11**  **Total Project Payment Calculation** – Subtract total from 10C from 11C to determine Total Project Payment. The total estimated payment (11C) may not exceed the actual project payment (10C). This value represents how much was paid to install energy conservation features into this project.

\_\_\_\_\_ (10C) – \_\_\_\_\_ (11C) =

\$

(12C) \*

Total Project Payment

\* This amount will be used to calculate Final Review Fee. Insert this total on Page 13. Total Project Payment represented here MAY NOT exceed \$20,000.00

## 12. Project Payment Analysis, Cont.

Loan Contracts or Binding Agreements:

If your project was paid for with loan agreements or binding contracts, you must provide documentation from the lender that your loan/contract is not in default.

- ☐ **Yes** – I have a loan agreement or binding contract to pay for this project. I have included **required** documentation from the lender that my loan is current and not in default.

Amount of Loan: \_\_\_\_\_

Lender: \_\_\_\_\_

Contact: \_\_\_\_\_

Phone: \_\_\_\_\_

- ☐ **No** – I did not have a loan agreement or binding contract to pay for this project.

**13. Pass-through Program Intention** – Project owners that intend to use the Pass-through option will be issued a Certified Amount Letter that indicates the final certified cost once this application for final certification is approved.

Refer to *SPP Opportunity Announcement Section 3.2* for information on the Pass-through Program.

Does the Project Owner intend to use Pass-through?

☐ Yes ☐ No

- If 'YES', answer the questions below.
- If 'NO', the tax credit will be issued in the project owner's name. **Continue on to page 9 of this application.**

1. Has the Project Owner identified a Pass-through partner?

☐ Yes ☐ No

- If 'YES', complete the separate Pass-through Program Attachment. ([http://www.oregon.gov/energy/At-Work/Documents/EIP/General/2017 Pass Through Attachment.pdf](http://www.oregon.gov/energy/At-Work/Documents/EIP/General/2017%20Pass%20Through%20Attachment.pdf))
- If 'NO', answer question 2 below.

2. Will the Project Owner request assistance finding a pass-through partner(s) from the Oregon Department of Energy?

☐ Yes ☐ No

- If assistance finding a partner(s) is requested, the Department will place your application on "Hold" status until a partner(s) is secured. The Department will exercise due diligence to find a partner(s) but cannot guarantee that a partner(s) will be found.

**14. Other Incentives\*** -List any utility, Energy Trust of Oregon, or other organization rebates or incentives (not loans) or any federal tax credits that you received (or expect to receive) for this project. List the name of the group and the amount received. If there are none, check the appropriate box.

The sum of all financial incentives and a federal tax credit and the Energy Incentives Program tax credit may **not** exceed 100% of the Final Certified Project Cost.

☐ **This project did not receive any incentives, please place \$0 in Total**

Type of Incentive:	Amount:
Federal Business Energy Investment Tax Credit (ITC) <input type="checkbox"/> Tax Credit <input type="checkbox"/> Taking as a grant	\$ _____
Federal Grants	\$ _____
Other Federal Tax Credits	\$ _____
Energy Trust of Oregon (All Option 2 projects choosing the ETO New Homes Program Path must fill this value in)	\$ _____
Utility Incentives (investor or publicly owned)	\$ _____
Large Electric Consumer Self Directed Funds Incentives	\$ _____
Other Incentives	\$ _____
<b>Total of Incentives:</b>	\$ _____

\* By initialing this statement, I authorize any incentivizing entity outside of ODOE to release all relevant information on this project to ODOE. This includes, but is not limited to, project information, incentives offered and received, and inspection results.

Project Owner Initials: \_\_\_\_\_

**15. Project Owner Statement** – All fields must be completed.

1. I certify that the information in this application is correct and I am the owner of this energy project. I have complied with all conditions of the Opportunity Announcement. I grant the Oregon Department of Energy (ODOE) permission to inspect the project for compliance with tax credit requirements either before issuing Final Certification or during the years in which the tax credit is being claimed. I understand that failure to grant an inspection is grounds for revoking a Final Certificate.
2. I understand that ODOE approval and certification of my project is for tax credit purposes only. ODOE Does not guarantee or in any way ensure the performance of any equipment, the quality of any system, or the reliability of any dealer.
3. I will comply with the provision that the facility must operate in accordance with the representation mad in the Small Premium Projects Informational Filing.
4. I certify that the project complies with all local, state, and federal requirements and I obtained all necessary permits.
5. I understand that this tax credit application is a public record and that ODOE may be required by law to disclose information in this tax credit application to the public on request. I have marked any information that I request be kept confidential. I understand that marking information does not guarantee that it will be kept confidential and that the Director of ODOE will make any decisions regarding public disclosure of information contained in this application in accordance with the Oregon Public Records Law.
6. I understand that ODOE does not endorse any company that requests information on this application and does not sell information as a mailing list.
7. I understand that the sum of all financial incentives for this project and the tax credit amount cannot exceed the total project payment.
8. I verify that the project owner does not restrict membership, sales, or services on the basis of race, color, creed, religion, national origin, sexual preference, or gender.

**Project Owner (Please print)**

**Informational Filing #:**

Name of project owner:

Federal Tax ID:

SSN:

Mailing Address:

City:

State:

Zip:

Phone:

Email:

By signing this statement, I certify that I am the above named project owner or an owner, partner, member or shareholder of the above named project owner. I have read and agree with the terms and conditions of the Project Owner Statement above and have not altered it in any way.

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Print Name: \_\_\_\_\_ Date: \_\_\_\_\_

**Tax Credit Recipient Statement** – Photocopy this page for each tax credit recipient identified. Note that a Pass-through fees will be assessed for each certificate issued, if Pass-through is utilized.

1. I understand that the Oregon Administrative Rules authorize ODOE to use my federal tax identification or social security number as an identification number in maintaining internal records and may be shared with the Oregon Department of Revenue to establish the identity of an individual in order to administer state tax law.
2. I understand that the tax credit recipient must comply with Oregon Department of Revenue requirements to document that the credit has been appropriately assigned, allocated or transferred, and claimed, and that compliance is subject to audit.
3. I understand that this tax credit application is a public record and that ODOE may be required by law to disclose information in this tax credit application to the public on request. I have marked any information that I request be kept confidential. I understand that marking information does not guarantee that it will be kept confidential and that the Director of ODOE will make any decisions regarding public disclosure of information contained in this application in accordance with Oregon Public Records Law.
4. I understand that ODOE does not endorse any company that requests information on this application and does not sell information as a mailing list.
5. The undersigned Tax Credit Recipient hereby releases the State of Oregon and its commissions, agencies, officers, employees, contractors, and agents, and agrees to defend and indemnify the foregoing from and against any claims, demands, or costs (including attorney and expert witness fees at trial and on appeal) arising from or in any way related to claims made by the Tax Credit Recipient or any parent or subsidiary of the Tax Credit Recipient and which are related in any way to ODOE's issuance or failure to issue any pre-certification or final certification to an applicant for an Energy Incentives Program tax credit, or the inability to obtain an Energy Incentives Program tax credit. This release and indemnification does not affect the right of the undersigned to claim an Energy Incentives Program tax credit on an Oregon tax return under a final certification issued by ODOE and in accordance with applicable law.
6. I verify that the tax credit recipient does not restrict membership, sales, or services on the basis of race, color, creed, religion, national origin, sexual preference, or gender.
7. I have completed this form to the best of my knowledge.

**Tax Credit Recipient (All fields must be completed. Please print clearly.)**

**Informational Filing #:**

Name of tax credit recipient(s):

Recipient SSN or Tax ID #:

Tax Credit Share: \_\_\_\_\_%

The tax credit recipient's tax year is a ☐ Calendar Year ☐ Fiscal Year of: \_\_\_\_\_

Recipient Mailing Address:

City:

State:

Zip:

Recipient Phone:

Recipient Email:

By signing this statement, I certify that I am the above named project owner, or an owner, partner, member or shareholder of the above named project owner\*. I have read and agree with the terms and conditions of the Tax Credit Recipient Statement above and have not altered it in any way. I certify that I am an individual or a corporation that has an Oregon tax liability (a Pass-through tax credit may **not** be issued to a partnership, an LLC, or an LLP filing taxes as a partnership).

Signature of Tax Credit Recipient: \_\_\_\_\_ Title: \_\_\_\_\_

Print Name of Tax Credit Recipient: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Tax Credit Recipient: \_\_\_\_\_ Title: \_\_\_\_\_

Print Name of Tax Credit Recipient: \_\_\_\_\_ Date: \_\_\_\_\_

\* Tax credits **not** issued to the project owner or owners, partners, members or shareholders of the project owner must use the Pass-through option to obtain a tax credit. Information will be shared with the Oregon Department of Revenue to administer state tax law. Contact ODOE for more information.



## **Energy Incentives Program**

Please refer to this checklist before submitting application to ODOE to ensure all requirements have been satisfied. An application is considered incomplete if any part of the application is left blank, is omitted, or is not included.



**ALL INCOMPLETE APPLICATION WILL BE  
REJECTED AND RETURNED TO APPLICANT  
AND WILL NOT BE PROCESSED.**

☐

The Application is **COMPLETE**.

- ☐ All spaces/sections completed
- ☐ All appropriate attachments/documents

☐

Installation/Construction Documentation of the project is complete.

- ☐ Included documentation confirming the installed equipment and labor for the project is complete and paid for in full (i.e. receipts, paid invoices).
- ☐ Include any Northwest ENERGY STAR Homes, or Green Building, certification, label or verification report.
- ☐ Copy of final permit (signed by inspector from local jurisdiction having authority).
- ☐ Documentation from the county that property taxes are paid and current
- ☐ Final/Official Energy Performance Score report card copy

☐

Final review fee payment included.

**All boxes MUST be checked in order for Application to be considered COMPLETE**



### **IMPORTANT**



- Energy Incentives Program tax credit will be taken the same year the application for **Final Certification** is submitted, **regardless of Preliminary Certificate date or the date that the project was started or completed.**

**Please do NOT print this page double sided.  
The credit card information will be destroyed once the payment is processed.**

## **Final Review Fee Calculation**

1. Payment **MUST** be received with application or you will not be eligible for a credit
2. Application will be **INCOMPLETE** if this payment is not submitted with application.
3. Payments considered "Received" when a signed check is included or credit card information is filled in and signed by the cardholder.
4. If payment is unable to be processed or is declined, the application will be considered **INCOMPLETE**



**Small Premium Projects Final Review Fee= 0.55% of Total Project Payment\***

*Total Project Payment represented here MAY NOT exceed \$20,000.00*

Total Project cost (12C): \_\_\_\_\_ x 0.0055 =

\$

\* See Project Payment Analysis.

Payment Method:

**Mail completed application and application fee to:**

**Oregon Department of Energy  
EIP Small Premium Projects  
550 Capitol St. NE, 1<sup>st</sup> Floor  
Salem, OR 97301**

☐ **Check:** Please make check payable to **Oregon Department of Energy** and include with form.

**OR**

☐ **Visa**      ☐ **MasterCard**      ☐ **Discover**

### **ALL FIELDS REQUIRED TO PROCESS**

Credit Card Number: \_\_\_\_\_ Expiration Date: \_\_\_\_\_

Name of cardholder as shown on credit card: \_\_\_\_\_

Security Code (3 digits on back of card): \_\_\_\_\_

Billing Address for the card: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Email Address for receipt: \_\_\_\_\_

Cardholder Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Credit card information will be destroyed once the payment is processed.**