Submitting a Claim for a Small Application

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This User Guide is intended to provide a general overview of the Claims processes and is based on a snapshot in time. The online portal is constantly being updated to accommodate new developments etc. and therefore it's possible this guide may be slightly inaccurate at times. Please keep in mind that each of the Electric Distribution Companies (EDCs) have their own unique requirements during the Claims phase; we have tried to reflect those differences in this Guide.

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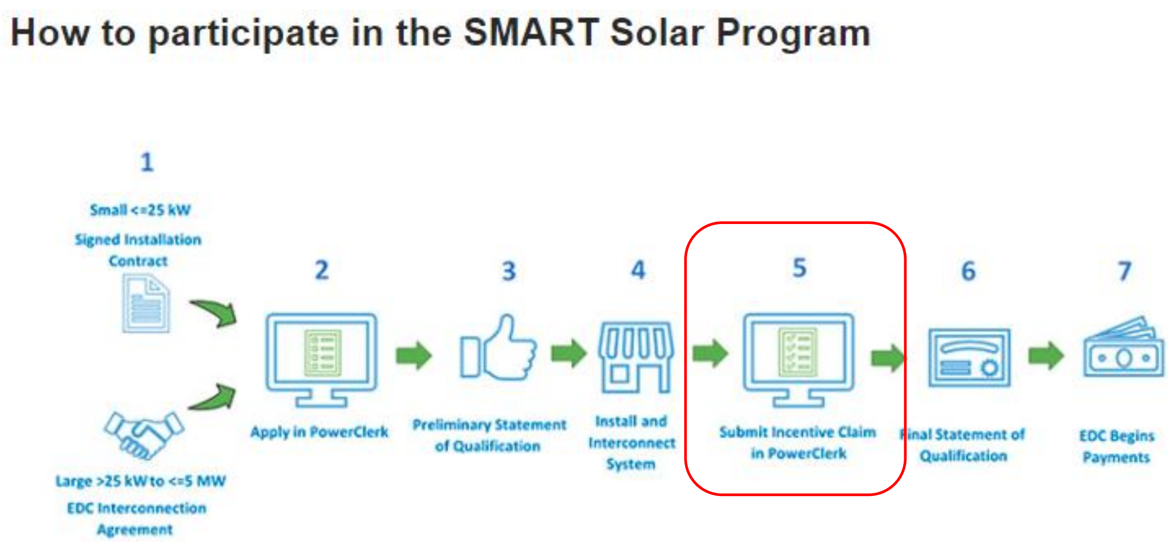


The SMART application process is two-phased. During the Claims phase, you'll be asked to verify the details of the system you supplied on your initial application are still accurate, or change those that are eligible to change. You'll also be required to supply additional documentation around interconnection approvals, meter set status, and Payee information etc.

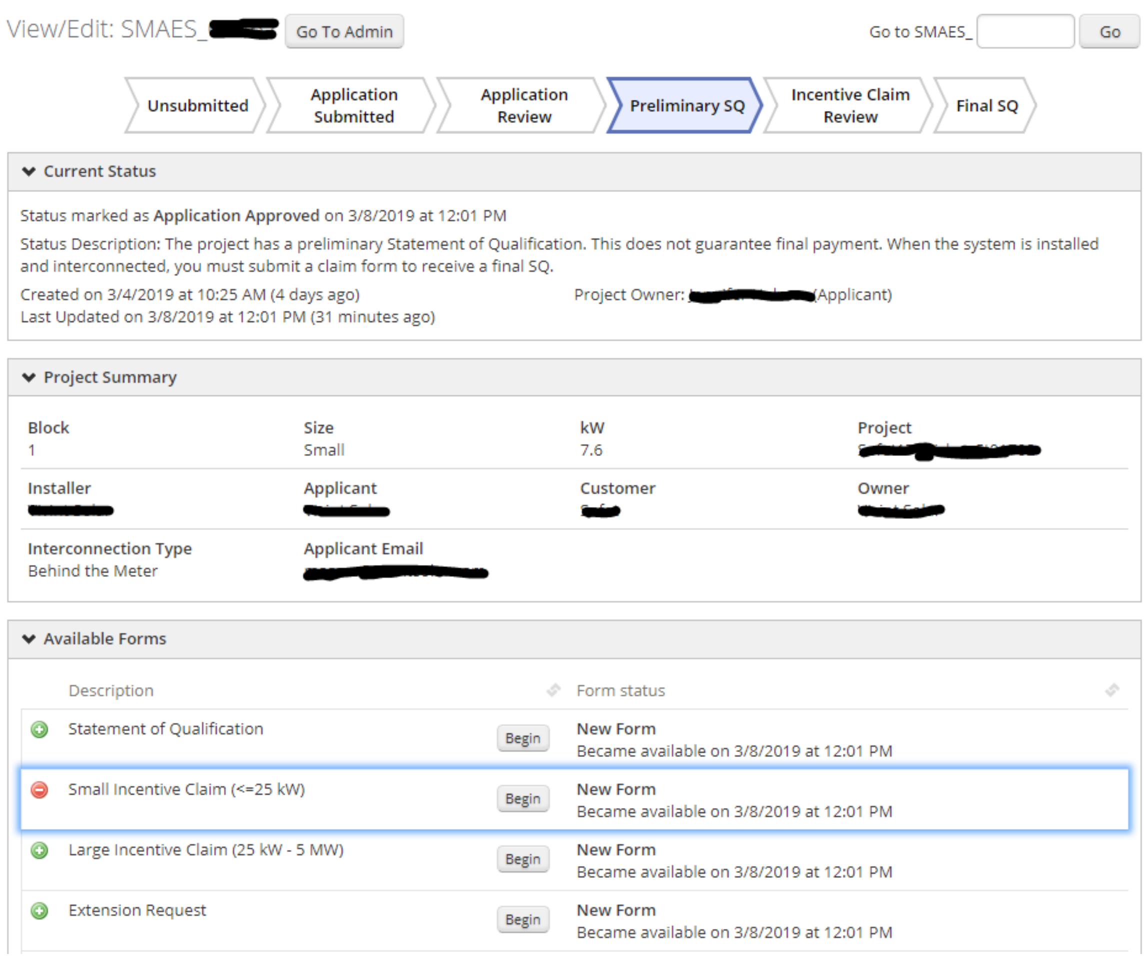
Your Claim will then be reviewed for completeness and the incentive rates for your system will be validated and finalized. Once complete, you'll receive your Final Statement of Qualification from the MA DOER and your SMART Incentive payments from the EDCs should begin within the next 1-3 billing cycles.

While this guide focuses on how to submit Small Claims, submitting a Large Claim will follow the same principles and procedures. There will simply be more/different documentation required regarding Adders and Off-Takers etc.

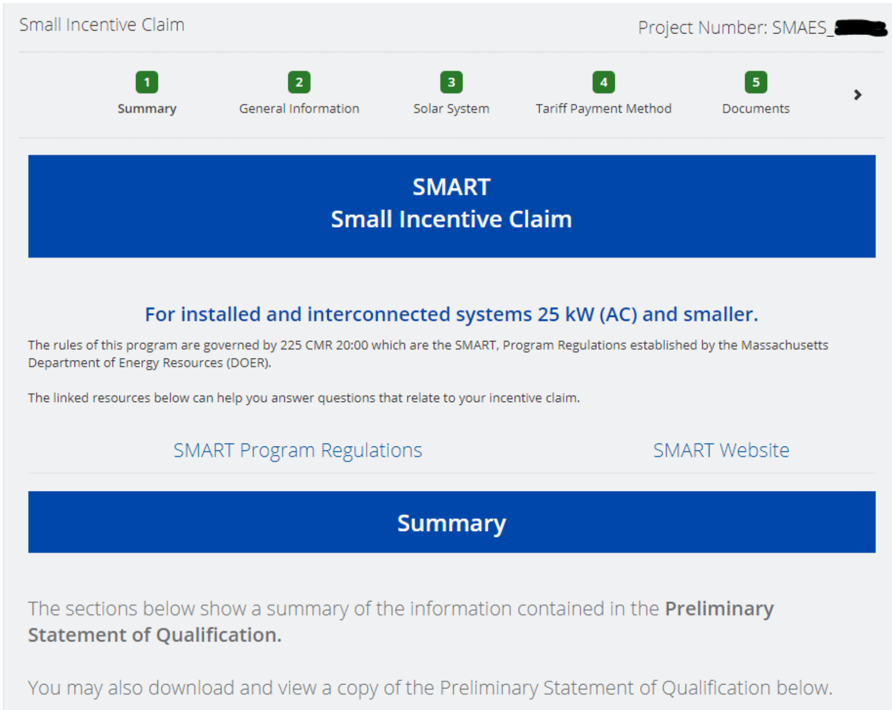
Submitting a Small Claim

To complete their Claim form, the Applicant will click on the project that has been completed, click on View/Edit and then select either Large or Small Incentive Claim based on their project type.

Note: If you submitted a Large application but then mistakenly select the Small Incentive Claim form, the system will let you know you've chosen the wrong form and vice versa.

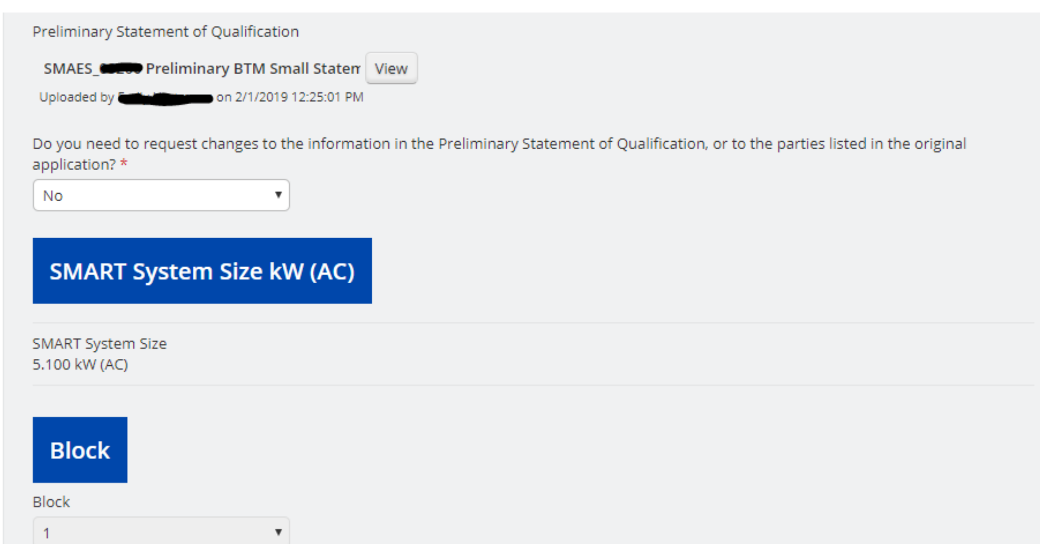


Summary tab (1)



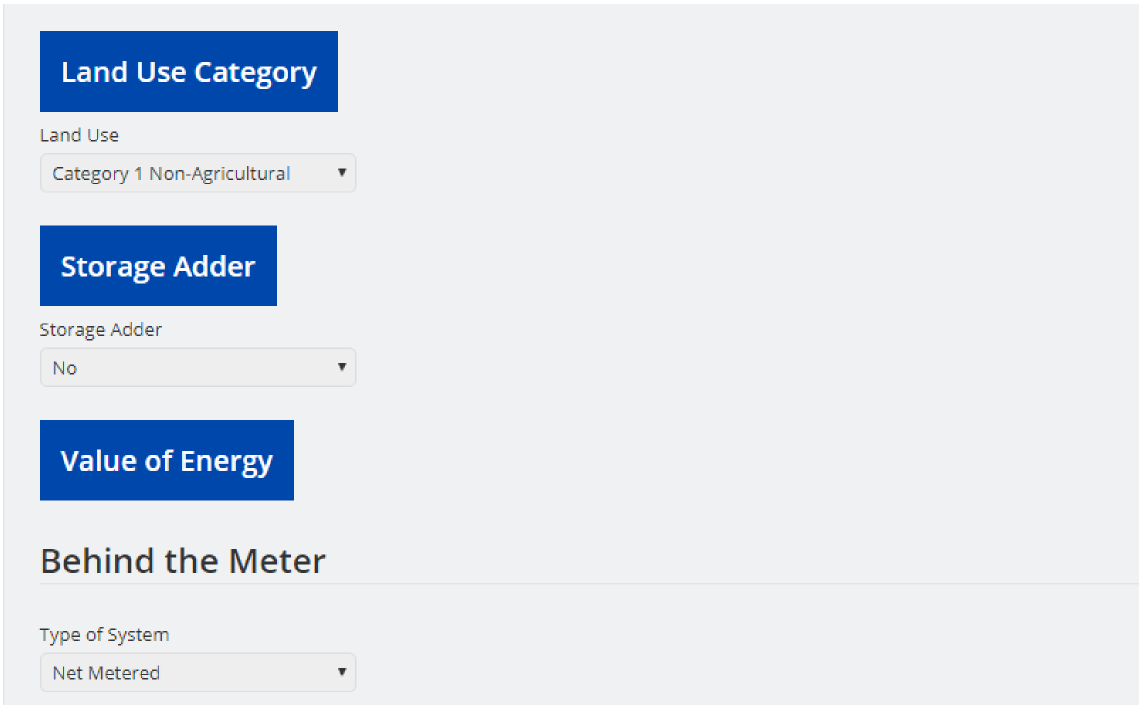
On the Summary tab of the Claim form you will be able to view your Preliminary Statement of Qualification, a recap of your SMART system size, and the incentive Block to which your system has been assigned.

Note: If you need to request changes to your application, you will be directed to complete the Change Request Process before submitting your claim. The AC system size may not increase from the capacity originally secured in the Preliminary Statement of Qualification.



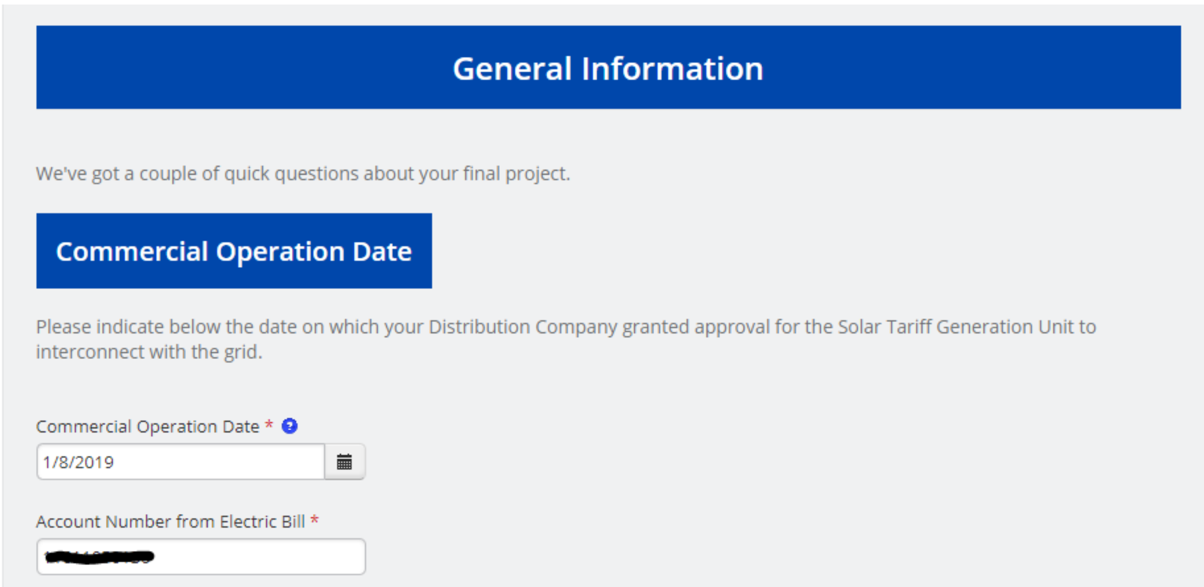
Summary tab (1) continued

Also shown will be the Land Use Category, a recap of the Storage Adder (if selected), and the Interconnection and Compensation Types will be shown under Value of Energy.



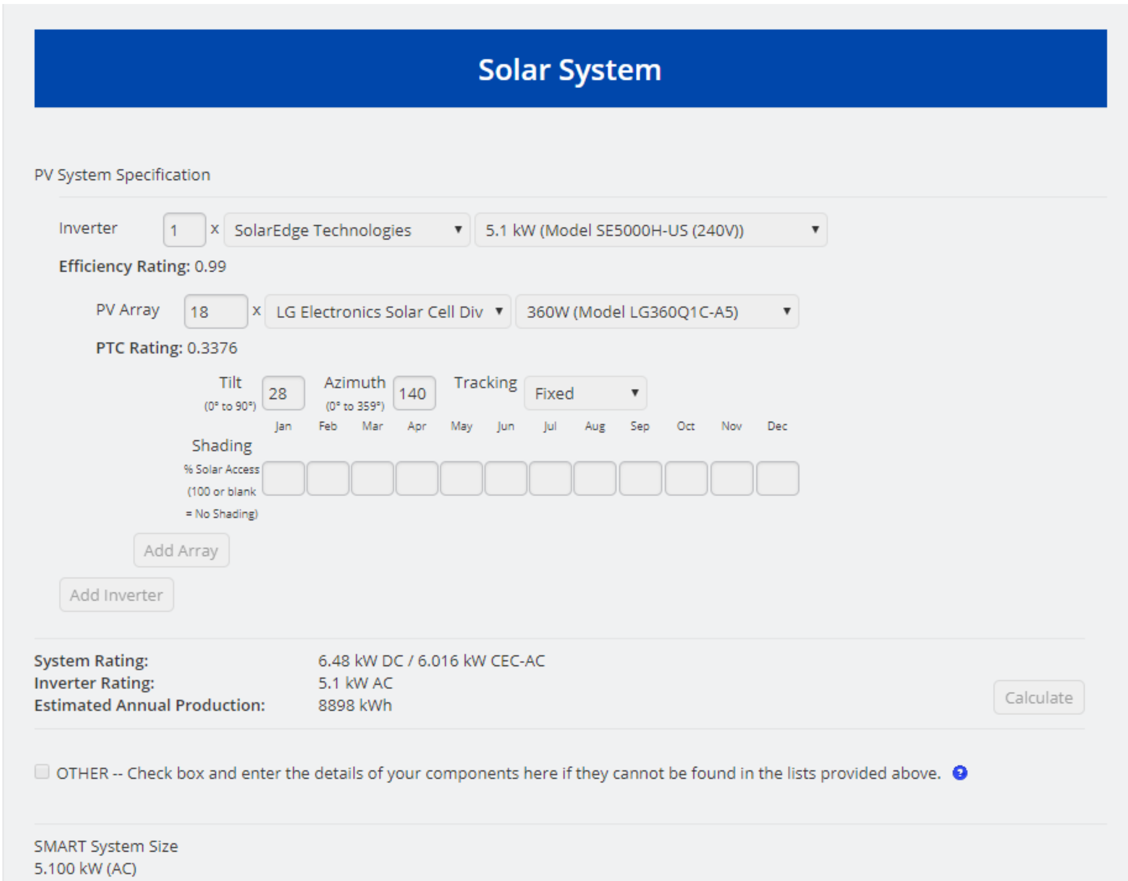
General Information tab (2)

The General info tab asks you to enter your Commercial Operation Date (Permission to Operate/Authority to Interconnect date) and confirm your utility Account information in the event you did not have an Account number at the time of application.



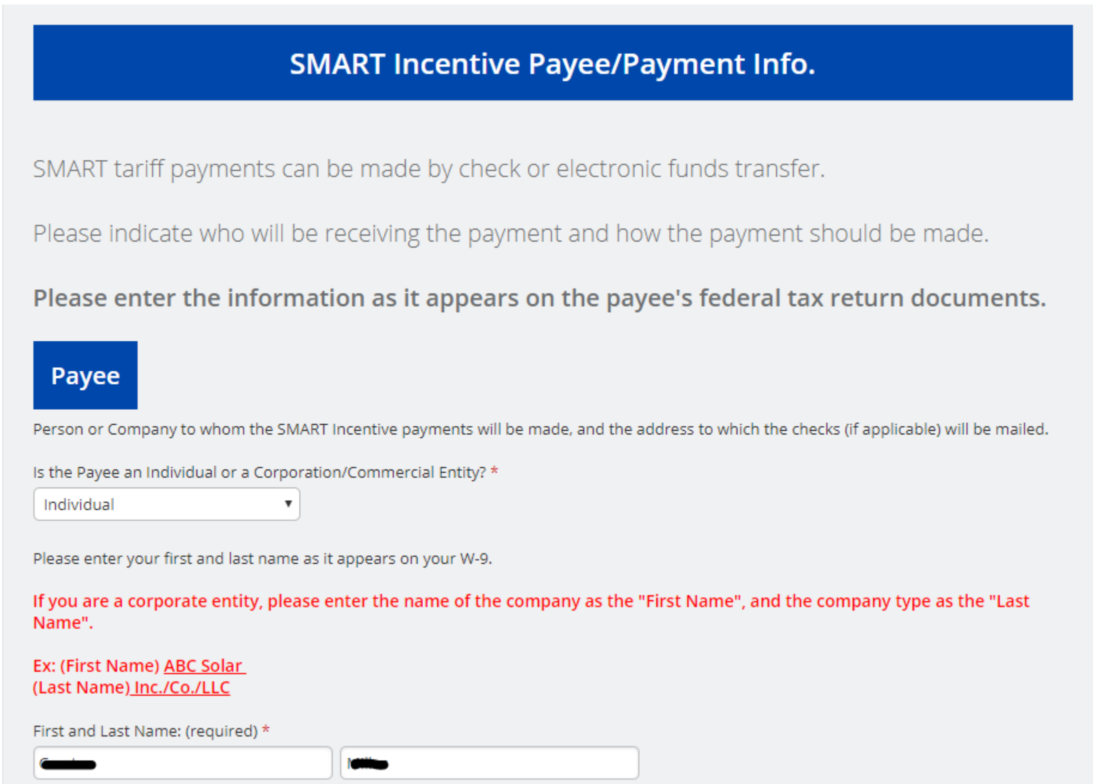
Solar System tab (3)

This tab recaps the SMART system specs provided on your approved application.



SMART Incentive Payee/Payment Info. (4)

On the Payee/Payment tab (4), for Eversource Claims, you'll be asked to indicate whether the Payee will be an Individual or a Corporation/Commercial Entity. On all 3 EDCs' Claim forms you'll be asked to supply the Payee name and contact information.



SMART Incentive Payee/Payment Info.

SMART tariff payments can be made by check or electronic funds transfer.

Please indicate who will be receiving the payment and how the payment should be made.

Please enter the information as it appears on the payee's federal tax return documents.

Payee

Person or Company to whom the SMART Incentive payments will be made, and the address to which the checks (if applicable) will be mailed.

Is the Payee an Individual or a Corporation/Commercial Entity? *

Individual

Please enter your first and last name as it appears on your W-9.

If you are a corporate entity, please enter the name of the company as the "First Name", and the company type as the "Last Name".

Ex: (First Name) ABC Solar
(Last Name) Inc./Co./LLC

First and Last Name: (required) *

[redacted] [redacted]

[Eversource Claim]

SMART Incentive Payee/Payment Info. cont'd (4)

The Eversource Claim form will ask you to supply contact info for the person who will be receiving the W-9 for completion so the Plan Administrator will have the information necessary to serve out the W-9 on behalf of the Applicant. DocuSign will be the only method for requesting W-9 completion on an Eversource Claim. For National Grid and Unitil you will have the option of either requesting e-signatures for your W-9s (served out by the Plan Administrator), or you will also have the option to upload hard copies of the completed W-9s (to follow).

Please enter the email address of the individual who will be receiving the W-9 for completion.

Attn: Email Address (required) *

[redacted]@yahoo.com

Address (required) *

1[redacted] Street

Address 2

City (required) *

Cambridge

State (required) *

MA

Zip Code (required) *

02140

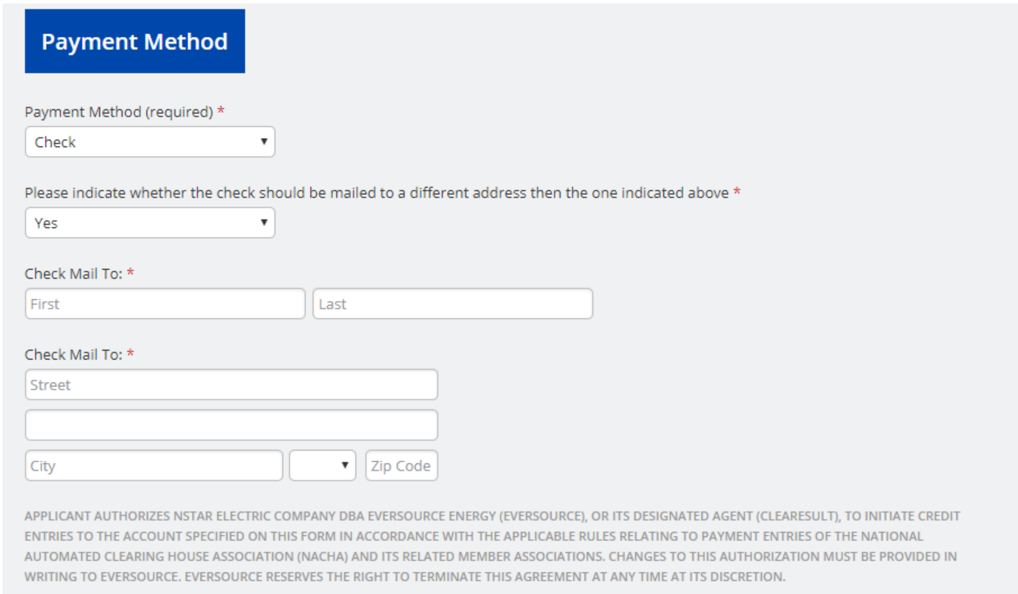
Phone (required) *

617 [redacted]

[Eversource Claim]

SMART Incentive Payee/Payment Info. cont'd (4)

All 3 EDC Claim forms will ask you to choose a payment method, either via check or ACH/EFT (electronic funds transfer). For Eversource Claims, if you choose the payment by check option, you'll be asked whether the check should be mailed to a different address then the one you entered for the W-9 recipient. A "Yes" response to this question will open additional fields where you'll indicate the new address for the check payment.


Payment Method

Payment Method (required) *
Check

Please indicate whether the check should be mailed to a different address then the one indicated above *
Yes

Check Mail To: *
First
Last

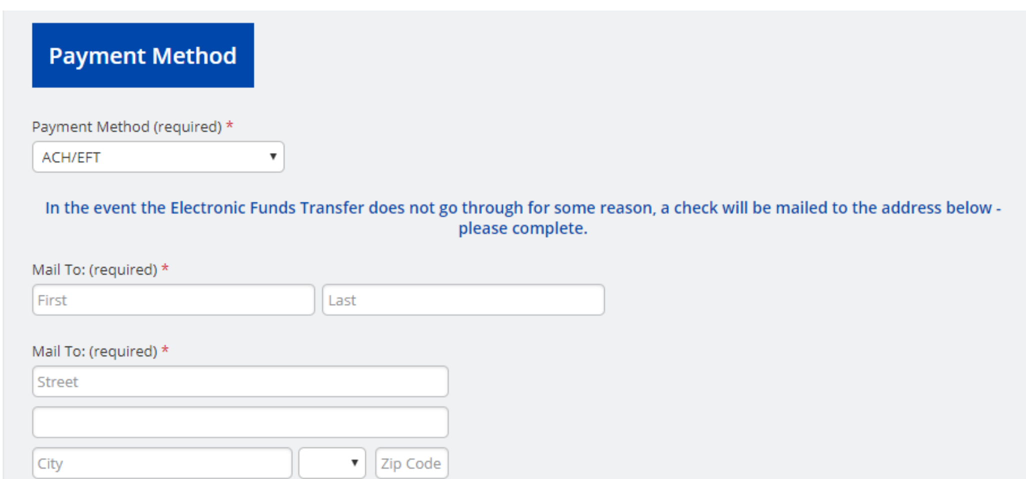
Check Mail To: *
Street

City
Zip Code

APPLICANT AUTHORIZES NSTAR ELECTRIC COMPANY DBA EVERSOURCE ENERGY (EVERSOURCE), OR ITS DESIGNATED AGENT (CLEARESULT), TO INITIATE CREDIT ENTRIES TO THE ACCOUNT SPECIFIED ON THIS FORM IN ACCORDANCE WITH THE APPLICABLE RULES RELATING TO PAYMENT ENTRIES OF THE NATIONAL AUTOMATED CLEARING HOUSE ASSOCIATION (NACHA) AND ITS RELATED MEMBER ASSOCIATIONS. CHANGES TO THIS AUTHORIZATION MUST BE PROVIDED IN WRITING TO EVERSOURCE. EVERSOURCE RESERVES THE RIGHT TO TERMINATE THIS AGREEMENT AT ANY TIME AT ITS DISCRETION.

[Eversource Claim]

If you elect to receive payment via ACH/EFT on an Eversource Claim form, you'll be asked to provide a name and mailing info where a check would be mailed should the ACH/EFT payment not go through for some reason.


Payment Method

Payment Method (required) *
ACH/EFT

In the event the Electronic Funds Transfer does not go through for some reason, a check will be mailed to the address below - please complete.

Mail To: (required) *
First
Last

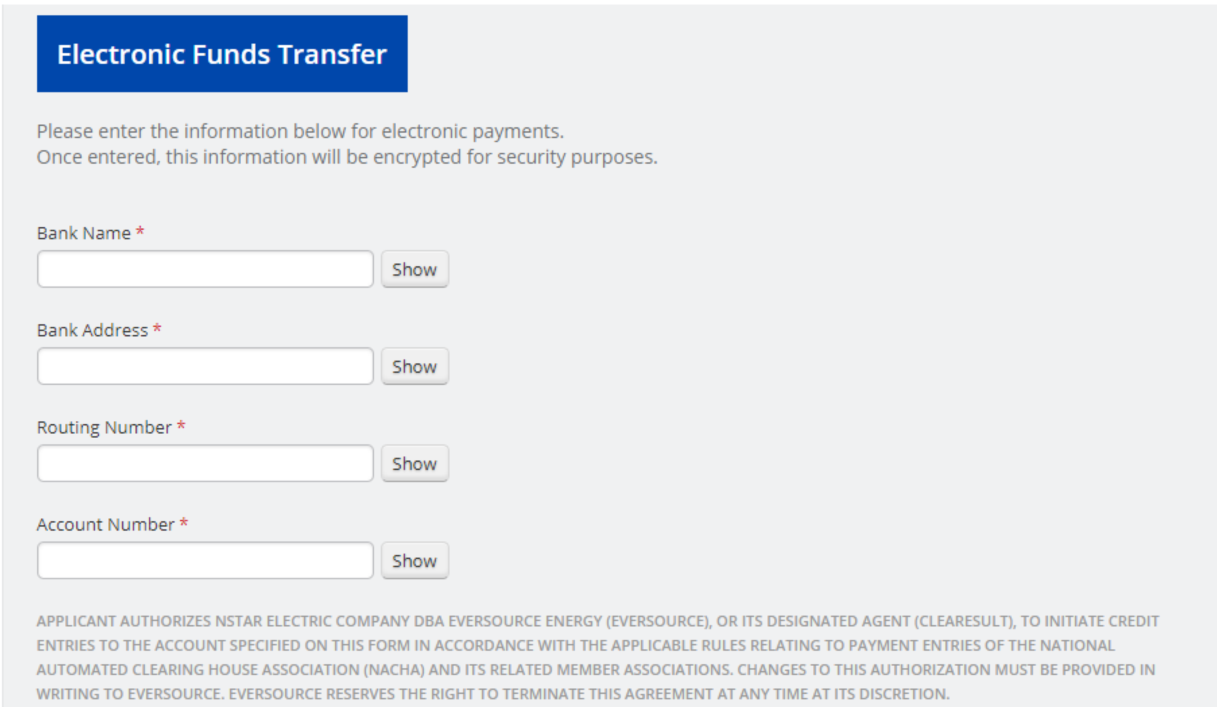
Mail To: (required) *
Street

City
Zip Code

[Eversource Claim]

SMART Incentive Payee/Payment Info. cont'd (4)

Also, <u>for Eversource Claims</u>, should you choose ACH/EFT as the method of payment, you will be asked to enter the Payee's banking info directly into encrypted fields within the Claim form itself. This is the only option for providing ACH/EFT payment info for Eversource Claims.


Electronic Funds Transfer

Please enter the information below for electronic payments.
Once entered, this information will be encrypted for security purposes.

Bank Name *

Show

Bank Address *

Show

Routing Number *

Show

Account Number *

Show

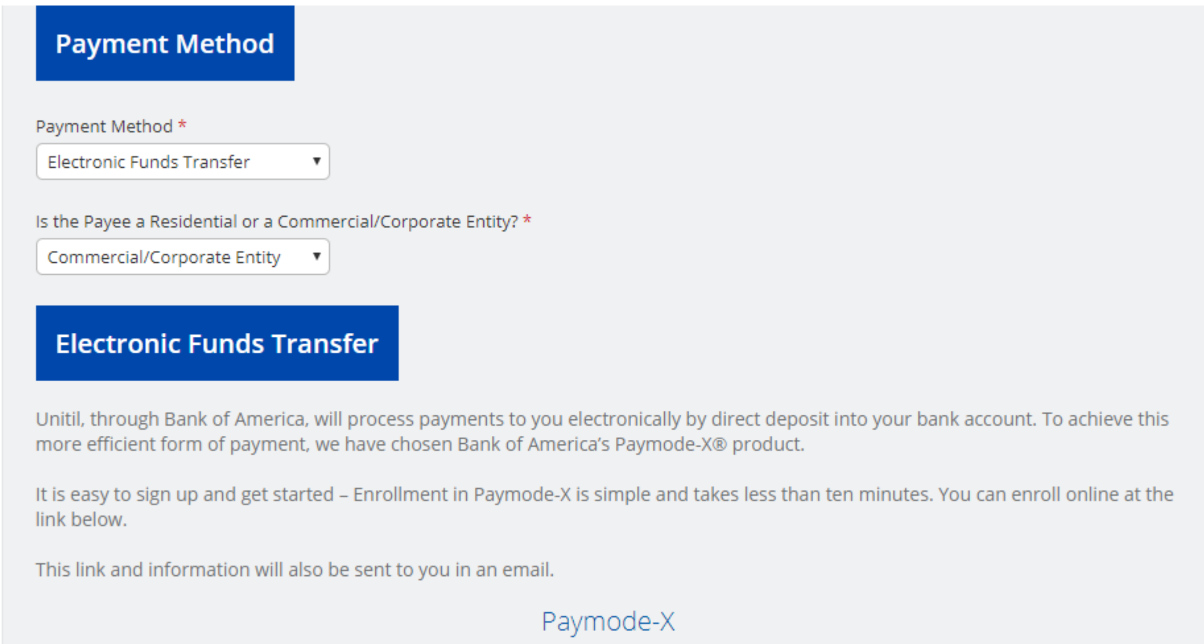
APPLICANT AUTHORIZES NSTAR ELECTRIC COMPANY DBA EVERSOURCE ENERGY (EVERSOURCE), OR ITS DESIGNATED AGENT (CLEARESULT), TO INITIATE CREDIT ENTRIES TO THE ACCOUNT SPECIFIED ON THIS FORM IN ACCORDANCE WITH THE APPLICABLE RULES RELATING TO PAYMENT ENTRIES OF THE NATIONAL AUTOMATED CLEARING HOUSE ASSOCIATION (NACHA) AND ITS RELATED MEMBER ASSOCIATIONS. CHANGES TO THIS AUTHORIZATION MUST BE PROVIDED IN WRITING TO EVERSOURCE. EVERSOURCE RESERVES THE RIGHT TO TERMINATE THIS AGREEMENT AT ANY TIME AT ITS DISCRETION.

[Eversource Claim]

For <u>National Grid</u> Claims, if you select Electronic Funds Transfer as your payment method, you will be required to complete the ACH section on the Documents tab (5).

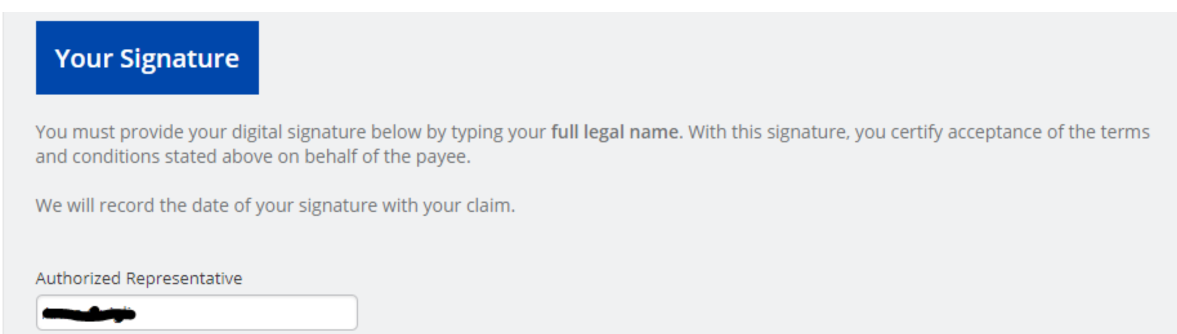
SMART Incentive Payee/Payment Info. cont'd (4)

For Unitil Claims, if you select Electronic Funds Transfer, you will then be asked if the EFT Payee is a Residential customer or a Commercial/Corporate Entity. If the EFT Payee is a Residential customer, you'll be required to complete the ACH section on the Documents tab (5). If the EFT Payee is a Commercial customer however, you will see a link to Bank of America's *Paymode X* site. Unitil has contracted with Bank of America to manage their EFT payments to commercial entities. Commercial Payees will need to sign up on the Paymode X site in order to receive your EFT payments.



[Unitil Claim]

Eversource Applicants will need to sign at the bottom of Payee tab certifying that the information they've provided is accurate etc.



[Eversource Claim]

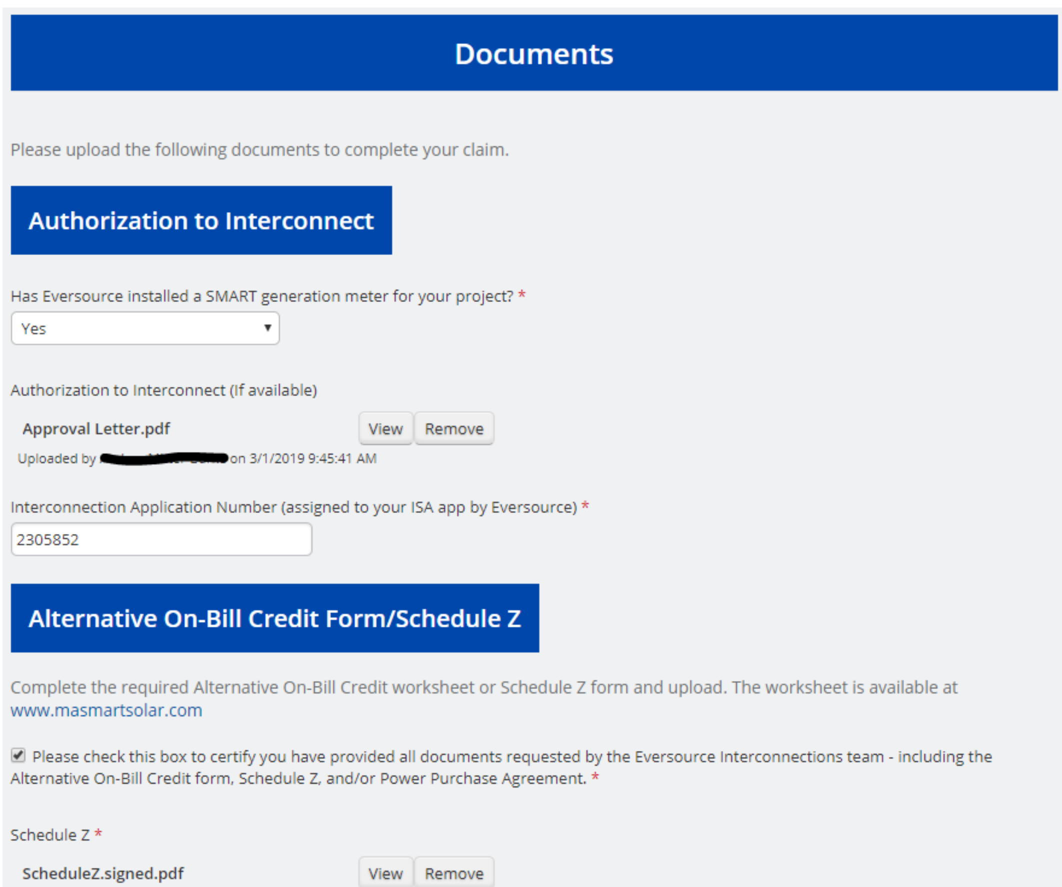
Documents tab (5)

On the Documents tab all Applicants will be asked to answer whether their EDC has installed their SMART generation meter. For National Grid and Unitil if the answer to this question is "No," the Applicant will not be able to submit their Claim. Eversource will allow Applicants to submit their Claim even if their SMART meter has not been installed yet, but they will not forward any Claims to DOER for final approval until Eversource can verify that their SMART meter has been installed.

All Applicants will be asked to provide their Approved Authorization to Interconnect (ATI) form (or Permission to Operate) from their EDC. For National Grid and Unitil the approved ATI will be required to submit a Claim. For Eversource the ATI is requested, but not required, in order to submit a Claim.

All 3 EDCs will also require completed Schedule Zs or Alternative On Bill Credit (AOBC) Payment Credit forms along with their corresponding worksheets and Customer Disclosure forms for any projects that choose net metering or AOBC as their Compensation Type.

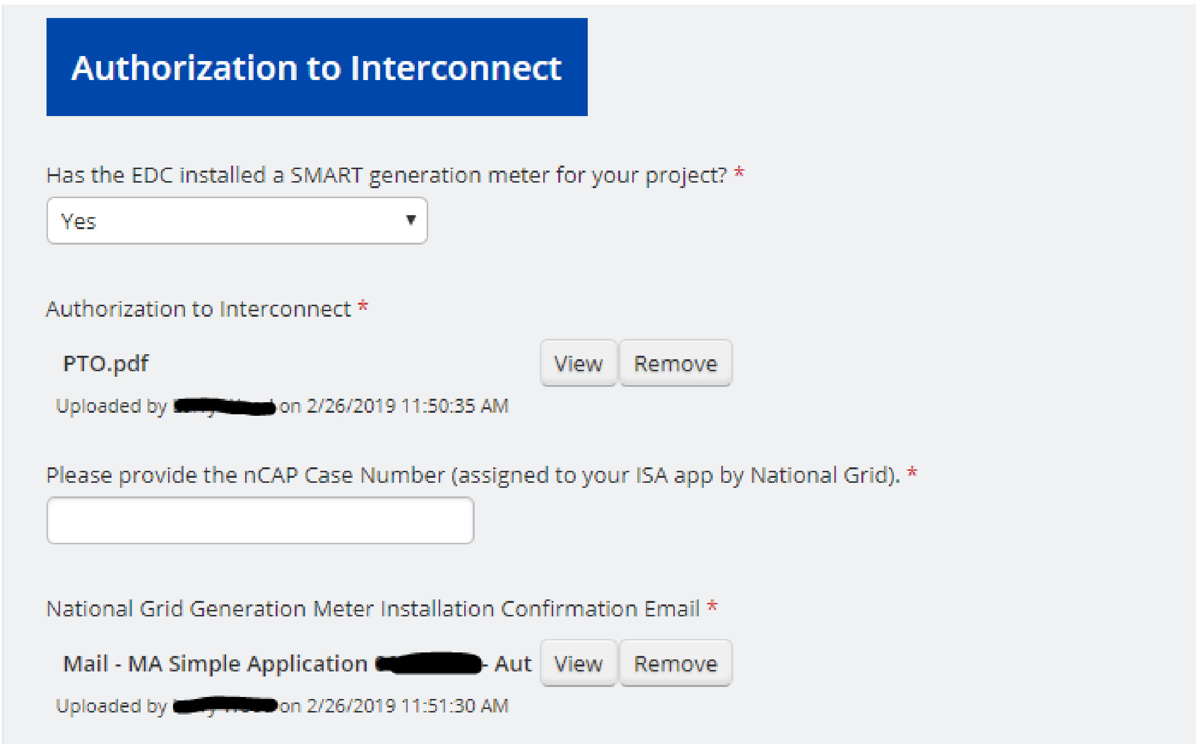
Eversource also requires that Applicants verify that they've supplied all the neccesary docs etc. to the Eversource Interconnections team by checking the appropriate box.



[Eversource Claim]

Documents tab (5) cont'd.

Also under the ATI header, National Grid and Unitil Applicants are asked to upload the Meter Installation confirmation emails provided by the EDCs and to provide their nCap case/Interconnection Application numbers from the EDCs' ISA processes.


Authorization to Interconnect

Has the EDC installed a SMART generation meter for your project? *

Yes

Authorization to Interconnect *

PTO.pdf View Remove

Uploaded by [redacted] on 2/26/2019 11:50:35 AM

Please provide the nCAP Case Number (assigned to your ISA app by National Grid). *

National Grid Generation Meter Installation Confirmation Email *

Mail - MA Simple Application [redacted] - Aut View Remove

Uploaded by [redacted] on 2/26/2019 11:51:30 AM

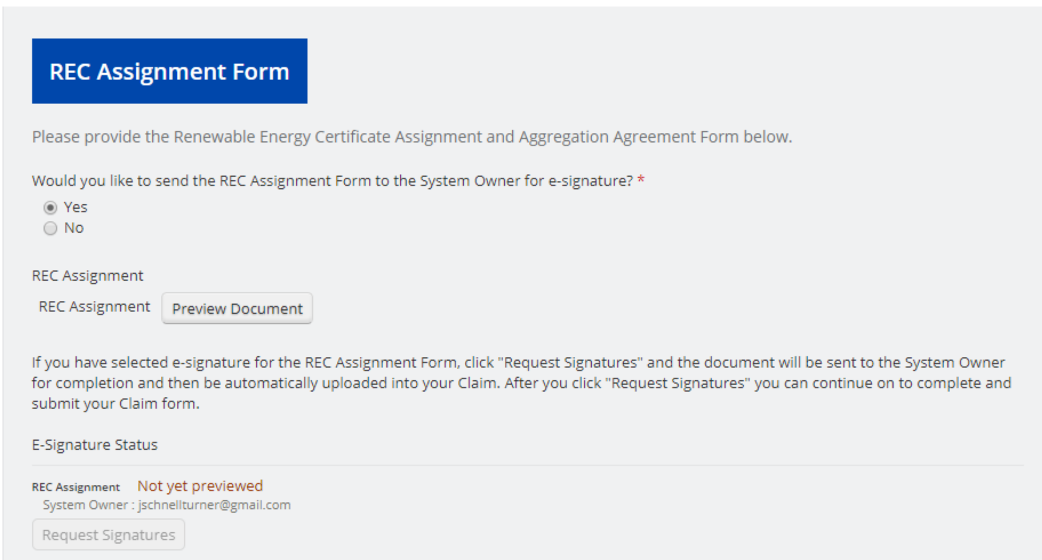
[National Grid Claim]

Documents tab (5) cont'd.

The processes for REC forms, Payment Credit Transfer forms, ACH forms, and W-9s ***will vary by EDC***.

On an Eversource Claim the Applicant will have the option of uploading a wet-signed REC form or sending it out for e-signature via Docusign. If the Applicant answers "No" to the question of whether they would like to send the REC form to the System Owner for e-signature, then they will simply see an upload slot for a wet-signed REC form to be uploaded.

If the Applicant answers "Yes" to sending out the REC form to be e-signed, they will see a "Preview" button. Clicking this button will enable them to see a preview of the REC form that will be sent via DocuSign with most of the System Owner's information already prefilled by the portal. Once the REC form has been previewed a "Request Signatures" button will become available and clicking that button will serve out the REC form to the System Owner via DocuSign. Once the System Owner completes the DocuSign process the form returns automatically and is uploaded to the project.


REC Assignment Form

Please provide the Renewable Energy Certificate Assignment and Aggregation Agreement Form below.

Would you like to send the REC Assignment Form to the System Owner for e-signature? *

Yes

No

REC Assignment

REC Assignment Preview Document

If you have selected e-signature for the REC Assignment Form, click "Request Signatures" and the document will be sent to the System Owner for completion and then be automatically uploaded into your Claim. After you click "Request Signatures" you can continue on to complete and submit your Claim form.

E-Signature Status

REC Assignment Not yet previewed

System Owner : jschnellturner@gmail.com

Request Signatures

[Eversource Claim]

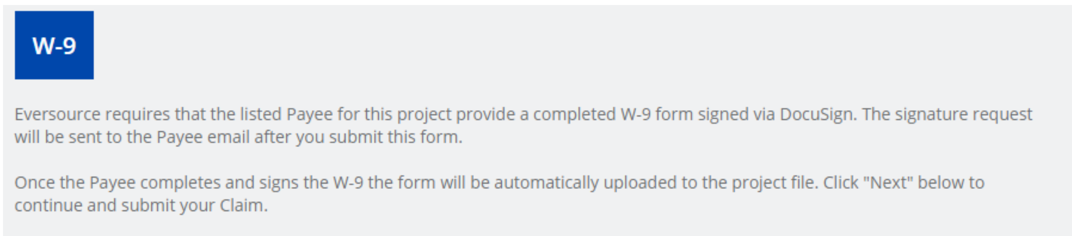
Note: The general process outlined above will be the same on all 3 portals and for all docs for which the Applicant chooses the e-sign option

Documents tab (5) cont'd.

There is no Payment Credit Transfer Form for an Eversource Claim.

The equivalent of the ACH form on an Eversource Claim is satisfied by the Applicant when they enter the Payee's banking information on the Payee/Payment tab (4).

On an Eversource Claim, the only option for securing signed W-9 forms is via DocuSign. Once the Applicant completes/submits the Claim, the Plan Administrator is alerted and will serve out the W-9 to the Payee on behalf of the Applicant.



W-9

Eversource requires that the listed Payee for this project provide a completed W-9 form signed via DocuSign. The signature request will be sent to the Payee email after you submit this form.

Once the Payee completes and signs the W-9 the form will be automatically uploaded to the project file. Click "Next" below to continue and submit your Claim.

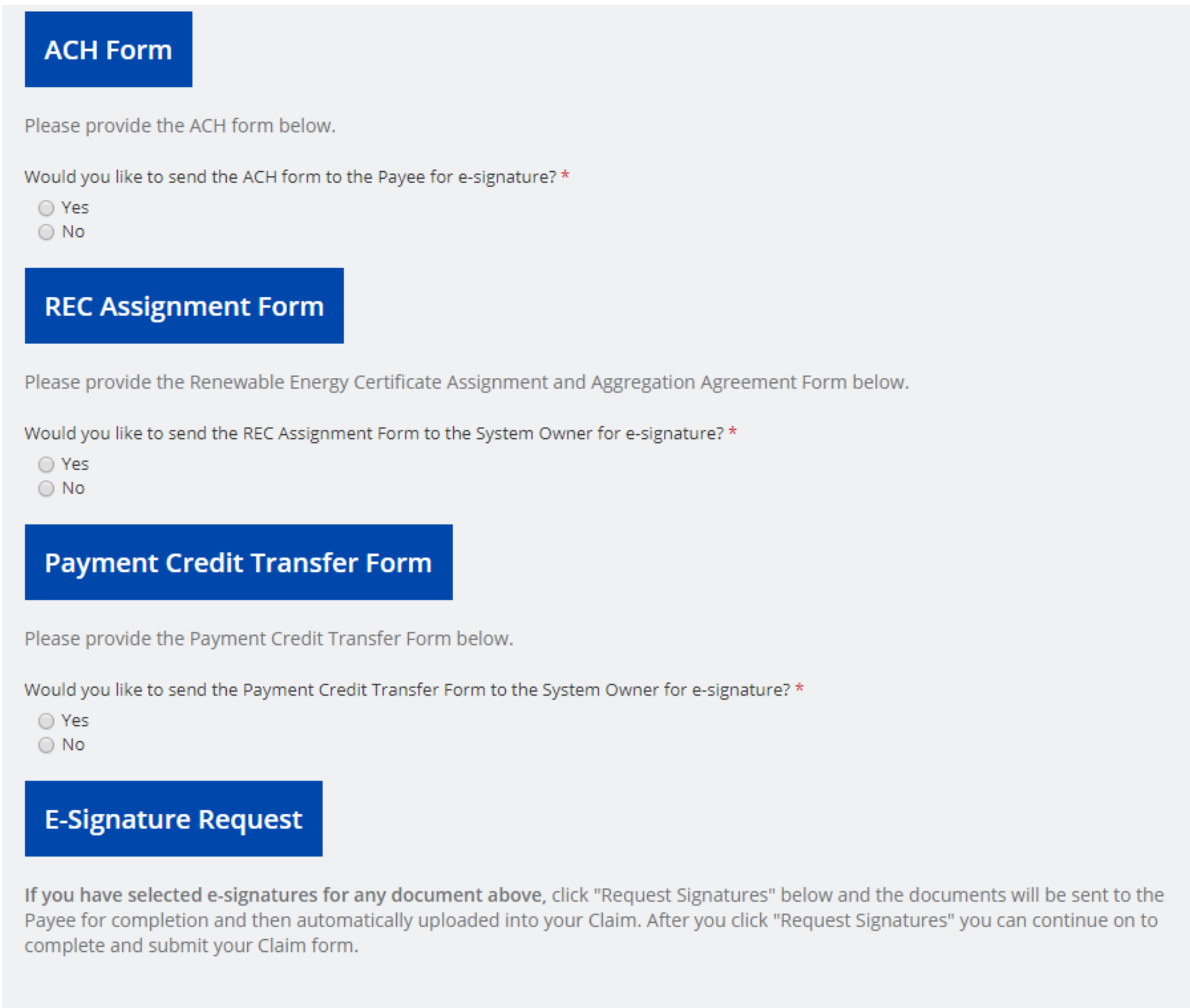
[Eversource Claim]

Documents tab (5) cont'd.

Note: Claims will not be reviewed until the e-signature process has been completed for all relevant documents.

Both National Grid and Unitil Claims follow the same processes for their REC, PCTF, ACH and W-9 forms with some very minor differences.

Both National Grid and Unitil Claims allow Applicants to choose whether they want to upload a wet-signed document or send docs out for e-signature on a document by document basis, including W-9s.



ACH Form

Please provide the ACH form below.

Would you like to send the ACH form to the Payee for e-signature? *

Yes

No

REC Assignment Form

Please provide the Renewable Energy Certificate Assignment and Aggregation Agreement Form below.

Would you like to send the REC Assignment Form to the System Owner for e-signature? *

Yes

No

Payment Credit Transfer Form

Please provide the Payment Credit Transfer Form below.

Would you like to send the Payment Credit Transfer Form to the System Owner for e-signature? *

Yes

No

E-Signature Request

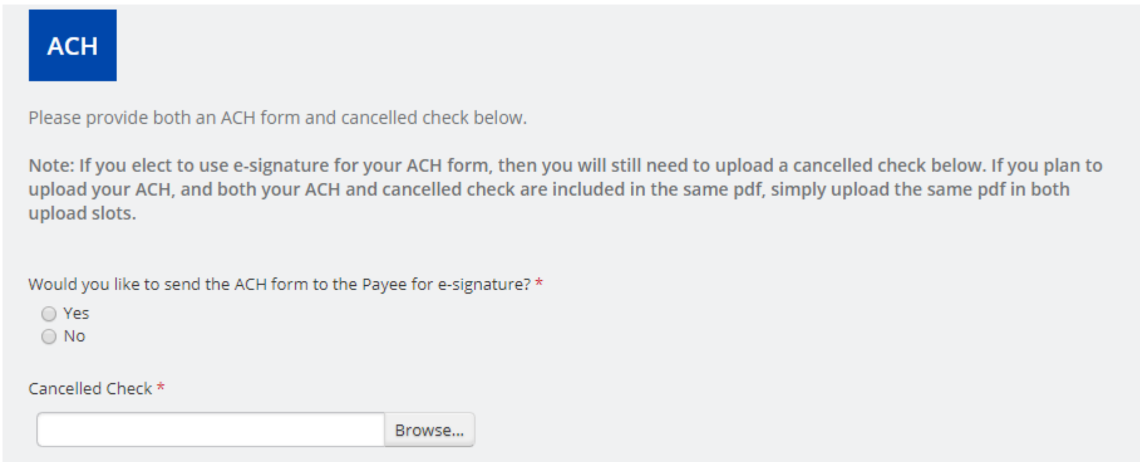
If you have selected e-signatures for any document above, click "Request Signatures" below and the documents will be sent to the Payee for completion and then automatically uploaded into your Claim. After you click "Request Signatures" you can continue on to complete and submit your Claim form.

[National Grid & Unitil Claims]

For all those docs for which the Applicant chooses the e-signature option, those electronic docs will be aggregated under the "E-Signature Request" header. Then by clicking on the "Request Signatures" button they will all be served out at the same time via DocuSign. For those docs for which the Applicant chooses not to pursue the e-signature option, they will be required to upload completed/signed documents into the appropriate slots.

Documents tab (5) cont'd.

If a National Grid Applicant chooses the EFT payment method for their incentive payments, they will be required to upload a voided check in addition to the ACH form. This check will help National Grid ensure the incentive payments are made to the right account.



ACH

Please provide both an ACH form and cancelled check below.

Note: If you elect to use e-signature for your ACH form, then you will still need to upload a cancelled check below. If you plan to upload your ACH, and both your ACH and cancelled check are included in the same pdf, simply upload the same pdf in both upload slots.

Would you like to send the ACH form to the Payee for e-signature? *

Yes

No

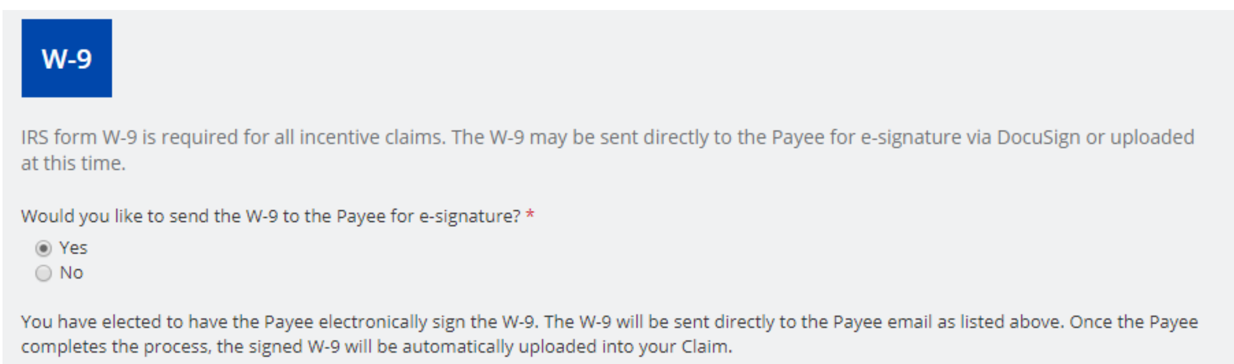
Cancelled Check *

Browse...

[National Grid Claim]

Unitil Applicants will only be required to complete an ACH form via e-signature or wet-signed upload if they are Residential payees. Commercial Payees that select the EFT payment method will sign up via the Paymode X site (per the Payee/Payment tab (4)).

Both National Grid and Unitil allow W-9s via e-signature or wet-signed upload.



W-9

IRS form W-9 is required for all incentive claims. The W-9 may be sent directly to the Payee for e-signature via DocuSign or uploaded at this time.

Would you like to send the W-9 to the Payee for e-signature? *

Yes

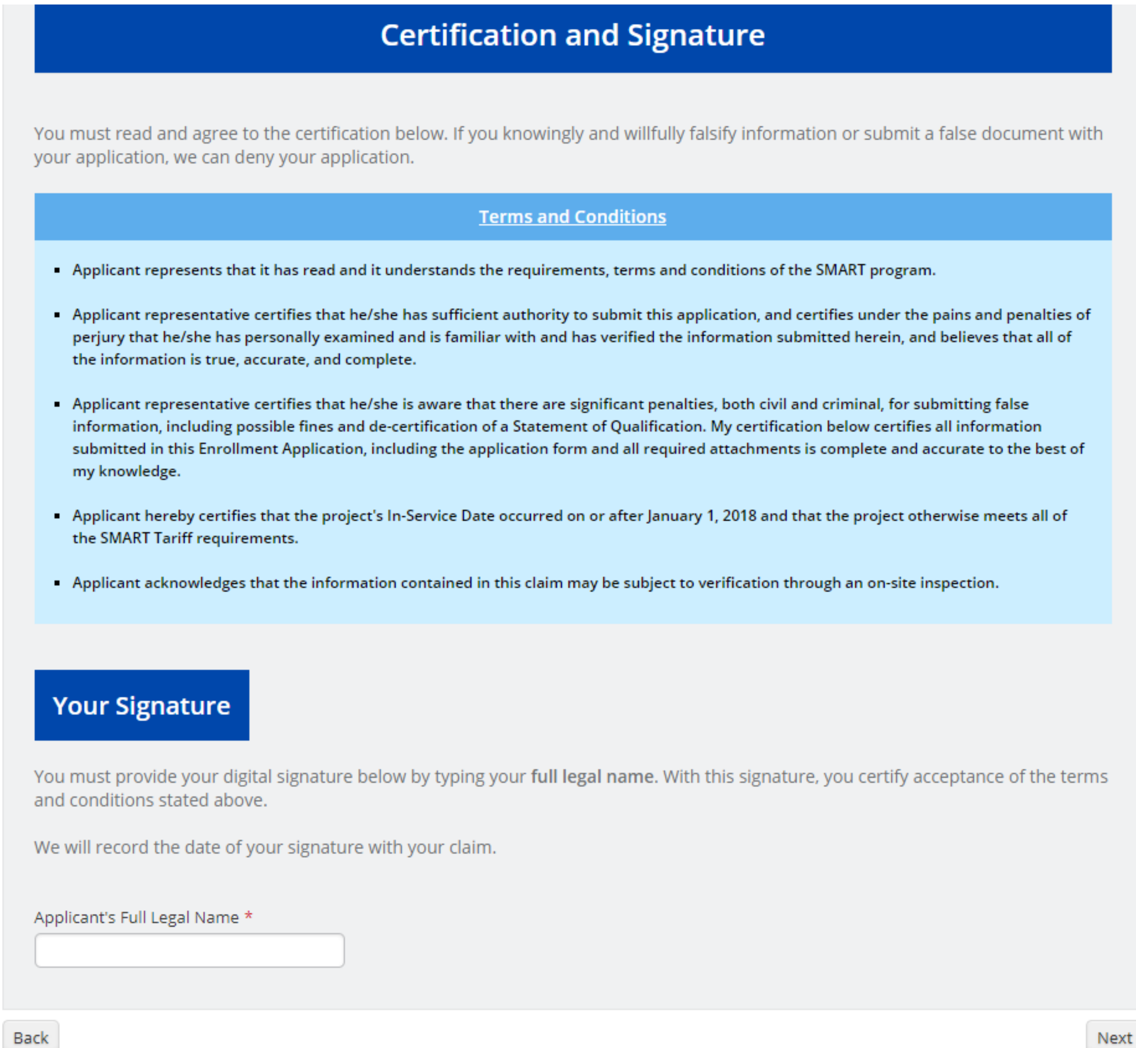
No

You have elected to have the Payee electronically sign the W-9. The W-9 will be sent directly to the Payee email as listed above. Once the Payee completes the process, the signed W-9 will be automatically uploaded into your Claim.

[National Grid & Unitil]

Certification tab (6)

On the Certifications tab (6), the terms and conditions will be repeated, and the Applicant will be asked to electronically sign the claim form accepting those terms and conditions.



Certification and Signature

You must read and agree to the certification below. If you knowingly and willfully falsify information or submit a false document with your application, we can deny your application.

Terms and Conditions

- Applicant represents that it has read and it understands the requirements, terms and conditions of the SMART program.
- Applicant representative certifies that he/she has sufficient authority to submit this application, and certifies under the pains and penalties of perjury that he/she has personally examined and is familiar with and has verified the information submitted herein, and believes that all of the information is true, accurate, and complete.
- Applicant representative certifies that he/she is aware that there are significant penalties, both civil and criminal, for submitting false information, including possible fines and de-certification of a Statement of Qualification. My certification below certifies all information submitted in this Enrollment Application, including the application form and all required attachments is complete and accurate to the best of my knowledge.
- Applicant hereby certifies that the project's In-Service Date occurred on or after January 1, 2018 and that the project otherwise meets all of the SMART Tariff requirements.
- Applicant acknowledges that the information contained in this claim may be subject to verification through an on-site inspection.

Your Signature

You must provide your digital signature below by typing your **full legal name**. With this signature, you certify acceptance of the terms and conditions stated above.

We will record the date of your signature with your claim.

Applicant's Full Legal Name *

Back

Next

Submit tab (7)

On the Submit tab we remind the applicant of next steps and then ask them to click Submit