

**New York State
Standardized Interconnection Requirements and Application Process
For New Distributed Generators and Energy Storage Systems 5 MW or Less
Connected in Parallel with Utility Distribution Systems**

**New York State
Public Service Commission**

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Section I. Application Process

New York State Standardized Interconnection Requirements and Application Process for New Distributed Generators and Energy Storage Systems 5 MW or Less Connected in Parallel with Utility Distribution Systems (“SIR”)

A. Introduction

This document provides a framework for processing applications to:

- interconnect new distributed generation (DG) facilities with an alternating current (AC) generator nameplate rating of 5 MW or less aggregated on the customer side of the point of common coupling (PCC);
- interconnect new energy storage system (ESS) facilities with an AC inverter/converter nameplate rating of 5MW or less aggregated on the customer side of the PCC that may be stand-alone systems or combined with existing or new DG (Hybrid Projects), however, maximum export capacity onto the utility distribution system is capped at 5MW; and,
- review any modifications affecting the interface at the PCC to existing DG and/or ESS facilities with an AC nameplate rating of 5 MW or less (aggregated on the customer side of the PCC) that have been interconnected to the utility distribution system, and where an existing contract between the applicant and the utility is in place.

Distributed Generation or Energy Storage Systems neither designed to operate, nor operating, in parallel with the utility’s electrical system are not subject to these requirements. This document will ensure that applicants are aware of the technical interconnection requirements and utility interconnection policies and practices. This document will also provide applicants with an understanding of the process and information required to allow utilities to review and accept the applicants’ equipment for interconnection in a reasonable and expeditious manner.

The time required to complete the process will reflect the complexity of the proposed project. Projects using previously submitted designs certified per the requirements of Section II.F, Equipment Certification, will move through the process more quickly, and several steps may be satisfied with an initial application depending on the detail and completeness of the application and supporting documentation submitted by the applicant. Applicants submitting systems utilizing certified equipment however, are not exempt from providing utilities with complete design packages necessary for the utilities to verify the electrical characteristics of the generator systems, the interconnecting facilities, and the impacts of the applicants’ equipment on the utilities’ systems.

The application process and the attendant services must be offered on a non-discriminatory basis. The utilities must clearly identify their costs related to the applicants’ interconnections, specifically those costs the utilities would not have incurred but for the applicants’ interconnections. The utilities will keep a log of all applications, milestones met, and justifications for application-specific requirements. The applicants are to be responsible for

payment of the utilities' costs, as provided for herein. Any unspent project analysis/study fees shall be applied forward to any subsequent analysis applicable to a given application/project.

All application timelines shall commence the next Business Day following receipt of information from the applicant.

Staff of the Department of Public Service ("DPS Staff") will monitor the application process to ensure that applications are addressed in a timely manner. To perform this monitoring function, DPS Staff will meet periodically with utility and applicant representatives.

A glossary of terms used herein is provided in Section III.

B. Application Process Steps for Systems 50 kW or Less

Exception 1: For inverter based systems above 50 kW up to 300 kW, applicants may follow the expedited application process outlined in this section provided that the inverter based system has been certified and tested in accordance with the most recent revision of UL 1741 and its supplement SA, and the utility has approved the project accordingly. The utility has ten (10) Business Days upon receipt of the original application submittal to determine if the application is complete, project is eligible for the expedited process, and whether it is approved for interconnection if eligible for expedited process. The utility shall notify the applicant in writing of its findings upon review of the application. If the utility determines that the inverter based system is not eligible for the expedited application process, the applicant can:

- 1) Proceed with the remaining steps of Section I.C of the SIR (Systems above 50 kW up to 5 MW); or
- 2) Request a review by DPS Staff.

Exception 2: For non-inverter based system 50 kW or less, the applicant should be aware that additional information and review time may be required by the utility (refer to Step 3). The applicant must include the items required in Step 5 of the Application Process Steps for Systems above 50 kW up to 5 MW in its original application. This exception should not be considered the rule, but used by the utility only in justified situations. Utilities are encouraged to use the expedited process whenever possible. The utility has ten (10) Business Days upon receipt of the original application submittal to determine if the application is complete, project is eligible for expedited process, and whether it is approved for interconnection if eligible for expedited process. The utility shall notify the applicant in writing of its findings upon review of the application. If the utility determines that the non-inverter based system is not eligible for the expedited application process, the applicant can:

- 1) Proceed with the remaining steps of Section I.C of the SIR (Systems above 50 kW up to 5 MW); or
- 2) Request a review by DPS Staff.

Exception 3: For all systems 50 kW or less, that are proposed to be installed in underground secondary network areas, the applicant should be aware that additional information and review

time may be required by the utility (refer to Step 3). In some cases, interconnection may not be allowed or approved. DG systems interconnected to underground secondary network systems can cause unique design issues and overall reliability problems for the utilities. For this reason, additional review and analysis may be needed on a case by case basis. The utility has ten (10) Business Days upon receipt of the original application submittal to determine if the application is complete, project is eligible for the expedited process, and whether it is approved for interconnection if eligible for expedited process. The utility shall notify the applicant in writing of its findings upon review of the application. If the utility determines that the DG system cannot be interconnected, the applicant can request a review by DPS Staff.

STEP 1: Initial Communication from the Potential Applicant

Communication could range from a general inquiry to a completed application.

STEP 2: The Inquiry is Reviewed by the Utility to Determine the Nature of the Project

Technical staff from the utility may discuss the scope of the interconnection with the potential applicant (either by phone or in person) and provide a copy of the SIR document and any utility specific technical specifications that may apply. A utility representative shall be designated to serve as the single point of contact for the applicant in coordinating the potential applicant's project with the utility.

STEP 3: Potential Applicant Files an Application

The potential applicant submits an application package in the name of the customer¹ to the utility. No application fee is required of the applicant for systems 50 kW or less. A complete application package will consist of all items detailed in Appendix F. Electronic submission of all documents via the Interconnection Online Application Portal ("IOAP") is required. The utility has ten (10) Business Days upon receipt of the original application submittal to determine if the application is complete, meets the SIR technical requirements in Section II, and/or approved for interconnection if all other requirements are met. The utility shall notify the applicant by email, fax, or other form of written communication. If the application is deemed not complete by the utility, the utility shall provide a detailed explanation of the deficiencies identified and a list of the additional information required from the applicant. Once it has received the required information, the utility shall notify the applicant of the acceptance or rejection of the application within ten (10) Business days. If the applicant fails to submit the additional information to the utility within thirty (30) Business Days following the date of the utility's written notification, the application shall be removed from the queue and no further action on the part of the utility is required.

The utility's notification of acceptance to the applicant shall include an executed New York State

¹ Per the Community Distributed Generation program Order (15-E-0082), the project sponsor shall submit the interconnection application to the electric utility for approval. The sponsor may be any single entity, including the generation facility developer, an energy service company (ESCO), a municipal entity such as a town or village, a business or not for-profit corporation, a limited liability company, a partnership, or other form of business or civic association.

Standardized Interconnection Contract and the applicant may proceed with the proposed installation. The utility shall also indicate in its response to the applicant whether or not it plans to witness the testing and verification process in person.

An accepted application will be placed in each utility's interconnection inventory upon the utility's receipt of the New York State Standardized Contract executed by the applicant. If the final acceptance as set out in Step 6 below is not completed within twelve (12) months of receipt of such executed copy of the New York State Standardized Contract as a result of applicant inactivity, the utility has the right to notify the applicant by U.S. first class mail with delivery receipt confirmation that the applicant's project will be removed from the utility's interconnection inventory if the applicant does not respond within thirty (30) Business Days of the issue of such notification and provide a project status update and/or justification as to why the project should remain in the utility's interconnection inventory for an additional period of time.

With respect to an applicant proposing to install a system rated 25 kW or less, that is to be net-metered, if the utility determines that it is necessary to install a dedicated transformer(s) or other equipment to protect the safety and adequacy of electric service provided to other customers, the applicant shall be informed of its responsibility for the actual costs for installing the dedicated transformer(s) and other safety equipment. Appendix E sets forth the responsibility each applicant shall have with respect to the actual cost of the dedicated transformer(s) and other safety equipment.

STEP 4: System Installation

The applicant will install the DG system according to the utility accepted design and the equipment manufacturer's requirements. If there are substantive design variations from the originally accepted system diagram, a revised system diagram (and other drawings for non-inverter based systems) shall be submitted by the applicant for the utility's review and acceptance. All inverter based systems will be allowed to interconnect to the utility system for a period not to exceed two hours, for the sole purpose of ensuring proper operation of the installed equipment.

For net metered systems as defined in Section II.A.6, Metering, any modifications related to existing metering configurations to allow for net energy metering for residential, farm service and non-residential wind electric generating systems shall be completed by the utility within ten (10) Business Days of either notification to the utility that the installation has been completed or request for a verification test, whichever comes first.

STEP 5: The Applicant's Facility is Tested in Accordance with the Standardized Interconnection Requirements

Verification testing will be performed by the applicant in accordance with the written verification test procedure provided by the equipment manufacturer. If the utility requested to witness the testing and verification process in person as required in Step 3, the applicant shall provide a written letter of notification to the utility that the system installation is completed, including any applicable inspections and authorization. After receipt of notification, the verification testing will be performed within ten (10) Business Days, at a mutually agreeable

time. If the utility has opted not to witness the test, the applicant will send the utility within five (5) Business Days of completion of such tests a written notification certifying that the system has been installed and tested in compliance with the SIR, the utility-accepted design and the equipment manufacturer's instructions. The applicant's facility will be allowed to commence parallel operation upon satisfactory completion of the tests in Step 5. The applicant must have complied with, and must continue to comply with, all contractual and technical requirements.

STEP 6: Final Acceptance

Within five (5) Business Days of receiving the written notification of successful test completion from Step 5, the utility will issue to the applicant a formal letter of acceptance for interconnection. Within five (5) Business Days of the completion of the on-site verification, the utility will issue to the applicant either a formal letter of acceptance for interconnection or a detailed explanation of the deficiencies in the system.

C. Application Process Steps for Systems above 50 kW up to 5 MW

For inverter based systems above 50 kW up to 300 kW, certified and tested in accordance with the most recent revision of UL 1741 and its supplement SA., applicants and utilities are encouraged, but not required, to use the expedited application process (Section I.B).

Exception 1: For all systems 50 kW up to 5 MW that are proposed to be installed in underground secondary network areas, the applicant should be aware that a Coordinated Electric System Interconnection Review (CESIR) may be required by the utility, based on each utility's specific technical requirements and design considerations on a case-by-case basis. In some cases, interconnection may not be allowed or approved. DG systems interconnected to underground secondary network systems can cause unique design issues and overall reliability problems for the utilities. The utility has ten (10) Business Days upon receipt of the original application submittal to determine if the application is complete and whether it is eligible for interconnection. The utility shall notify the applicant in writing of its findings upon review of the application. If the utility determines that the DG system cannot be interconnected or requires additional information be submitted and/or additional review time is needed, the applicant can:

- (1) Work with the utility on an appropriate timeframe and approval schedule agreeable to both parties; or
- (2) Request a review by DPS Staff.

STEP 1: Initial Communication from the Potential Applicant.

Communication could range from a general inquiry to a completed application.

STEP 2: The Inquiry is Reviewed by the Utility to Determine the Nature of the Project.

Technical staff from the utility may discuss the scope of the interconnection with the potential applicant (either by phone or in person) and shall provide a copy of the SIR and any utility specific technical specifications that may apply. A utility representative shall be designated to serve as the single point of contact for the applicant in coordinating the potential applicant's project with the utility. At this time the applicant may also request that a Pre-Application Report (see Appendix D herein) be provided by the utility. The applicant shall provide a non-refundable fee of \$750 with its request for completion of the Pre-Application Report. The Pre-Application Report shall be provided to the applicant within ten (10) Business Days of receipt of the form and payment of the fee. The Pre-Application Report will be non-binding and shall only provide the electrical system data and information requested that is readily available to the utility.

Should the applicant formally apply to interconnect their proposed DG project within fifteen (15) Business Days of receipt of the utility's Pre-Application Report, the \$750 will be applied towards the application fee in Step 3.

STEP 3: Potential Applicant Files an Application

The potential applicant submits an application to the utility in the name of the customer.² A complete application package will consist of all items detailed in Appendix F. Electronic submission of all documents via the Interconnection Online Application Portal (IOAP) is required. If a Pre-Application Report has been provided to the customer, and an application is received by the utility within fifteen (15) Business Days of the date of issue of the Pre-Application Report, a \$750 credit will be applied towards the application fee. Otherwise, payment of a non-refundable \$750 application fee is required except that the application fee shall be refunded to net metering customer-generators unless applied toward the cost of installing a dedicated transformer(s) or other safety equipment. If the applicant proceeds with the project to completion, the application fee will be applied as a payment to the utility's total cost for interconnection, including the cost of processing the application.

The utility shall review the application to determine whether it is complete in accordance with Appendix F, and whether any additional information is required from the applicant. The utility shall notify the applicant in writing within ten (10) Business Days following receipt of the application. If the application is not complete, the utility's notification shall specify what is missing from the application and provide a list of additional information needed. The utility shall notify the applicant by email, fax, or other form of written communication.

If the applicant fails to submit all items required by Appendix F, or to provide additional information identified by the utility within thirty (30) Business Days following the date of the

² Per the Community Distributed Generation program Order (15-E-0082), the project sponsor shall submit the interconnection application to the electric utility for approval. The sponsor may be any single entity, including the generation facility developer, an energy service company (ESCO), a municipal entity such as a town or village, a business or not for-profit corporation, a limited liability company, a partnership, or other form of business or civic association.

utility's notification, the application shall be deemed withdrawn and no further action on the part of the utility is required.

If the required documentation is presented in this step, it will allow the utility to move to Step 4 and perform the required reviews and allow the process to proceed as expeditiously as possible.

An accepted application will be placed in each utility's interconnection inventory upon the utility's receipt of the New York State Standardized Contract executed by the applicant. If the final acceptance as set out in Step 6 below is not completed within twelve (12) months of receipt of such executed copy of the New York State Standardized Contract as a result of applicant inactivity, the utility has the right to notify the applicant by U.S. first class mail with delivery receipt confirmation that the applicant's project will be removed from the utility's interconnection inventory if the applicant does not respond within thirty (30) Business Days of the issuance of such notification and provide a project status update and/or justification as to why the project should remain in the utility's interconnection inventory for an additional period of time.

The utility will refund any advance payments for services or construction not yet completed should the applicant be removed from the utility's interconnection inventory. If the costs incurred by the utility exceed the advance payments made by the applicant prior to removal from the interconnection inventory, the applicant will receive a bill for any balance due to the utility.

STEP 4: Utility Performs Preliminary / Supplemental Screening Analysis and Develops a Cost Estimate for the Coordinated Electric System Interconnection Review (CESIR) if required

The utility shall perform a Preliminary Screening Analysis of the proposed system interconnection utilizing the technical screens A through F detailed in Appendix G. The Preliminary Analysis shall be completed and a written response detailing the results of each screen and the overall outcome of the Preliminary Analysis shall be sent to the applicant within fifteen (15) Business Days of the completion of Step 3. Depending on the results of the Preliminary Analysis and the subsequent choices of the applicant, the following process(es) will apply:

If the Preliminary Analysis finds that the applicant's proposed system passes all of the relevant technical screens (i.e. screens A through F) and is in compliance with the Interconnection Requirements outlined in Section II, there are no requirements for Interconnection Facilities or Distribution Upgrades, the utility will return a signed and executed New York State Standardized Interconnection Contract to the applicant. The applicant will sign and return the contract within 15 Business Days after receipt from the utility and proceed with the interconnection process.

If the Preliminary Analysis finds that the applicant's proposed system cannot pass all of the relevant technical screens (i.e. screens A through F), the utility shall provide the technical reasons, data and analysis supporting the Preliminary Analysis results in writing. The applicant shall notify the utility within ten (10) Business Days following such notification whether to (i) proceed to a Preliminary Analysis results meeting, (ii) proceed to Supplemental Review, (iii) proceed to a full CESIR, or (iv) withdraw the Interconnection Request. If the applicant fails to notify the utility of their decision within thirty (30) Business Days of notification of the Preliminary Analysis results, the Interconnection Request shall be removed from the queue and no further action on the part of the utility is required.

- i. If the applicant chooses to proceed to a Preliminary Analysis results meeting and modifications that obviate the need for Supplemental Analysis are identified, and the applicant and the utility agree to such modifications, the utility shall return a signed and executed New York State Standardized Interconnection Contract within fifteen (15) Business Days of the Preliminary Analysis results meeting if no Interconnection Facilities or Distribution Upgrades are required. The applicant will sign and return the contract within 15 Business Days after receipt from the utility and proceed with the interconnection process.

If Interconnection Facilities or Distribution Upgrades are required and agreed to, the utility shall provide the applicant with a non-binding cost estimate of any Interconnection Facilities or Distribution Upgrades and a signed and executed New York State Standardized Interconnection Contract within fifteen (15) Business Days of the Preliminary Analysis results meeting. The applicant shall sign and return the contract to the utility within fifteen (15) Business Days following such notification indicating the intention of the applicant to revise its application as requested and proceed with the interconnection process. The applicant may request one extension of no more than fifteen (15) Business Days to respond. If the applicant fails to return the contract within fifteen (15) Business Days of notification of the Preliminary Analysis results, or at the end of the extension, if one was requested, the Interconnection Request shall be removed from the queue and no further action on the part of the utility is required.

If the applicant chooses to proceed to a Preliminary Analysis results meeting and modifications that obviate the need for Supplemental Analysis are not identified and agreed to, the applicant shall notify the utility within ten (10) business days of the meeting of their intention to (i) proceed to Supplemental Analysis, (ii) proceed to a full CESIR, or (iii) withdraw the Interconnection Request. If the applicant fails to notify the utility of their decision within thirty (30) business days, the Interconnection Request shall be removed from the queue and no further action on the part of the utility is required.

- ii. Applicants that elect to proceed to Supplemental Analysis shall provide a nonrefundable fee of \$2,500 with their response; however actual costs up to a maximum of \$5,000 will be billable to the applicant upon reconciliation of utility costs as defined

in Step 11 or exit from the interconnection queue. The utility shall complete the Supplemental Analysis within twenty (20) Business Days, absent extraordinary circumstances, following authorization and receipt of the fee. If the Supplemental Analysis finds that the applicant's proposed system passes all of the relevant technical screens (i.e. screens G through I) and is in compliance with the Interconnection Requirements outlined in Section II, then there are no requirements for Interconnection Facilities or Distribution Upgrades. Thus, the utility will return a signed and executed New York State Standardized Interconnection Contract to the applicant within fifteen (15) Business Days of providing the applicant the results of the Supplemental Review. The applicant will sign and return the contract within fifteen (15) Business Days after receipt from the utility and proceed with the interconnection process.

If the Supplemental Analysis finds that the applicant's proposed system cannot pass all of the relevant technical screens (i.e. screens G through I), the utility shall provide the technical reasons, data, and analysis supporting the Supplemental Analysis results in writing. The applicant shall notify the utility within ten (10) Business Days following such notification whether to (i) proceed to a Supplemental Analysis results meeting, (ii) proceed to a full CESIR, or (iii) withdraw the Interconnection Request. If the applicant fails to notify the utility of their decision within thirty (30) Business Days of notification of the Preliminary Analysis results, the Interconnection Request shall be removed from the queue and no further action on the part of the utility is required.

- i. If the applicant chooses to proceed to a Supplemental Analysis results meeting and modifications that obviate the need for a CESIR are identified, and the applicant and the utility agree to such modifications, the utility shall return a signed and executed New York State Standardized Interconnection Contract within fifteen (15) Business Days of the Preliminary Analysis results meeting if no Interconnection Facilities or Distribution Upgrades are required. The applicant will sign and return the contract within 15 Business Days after receipt from the utility and proceed with the interconnection process.

If Interconnection Facilities or Distribution Upgrades are required and agreed to, the utility shall provide the applicant with a non-binding cost estimate of any Interconnection Facilities or Distribution Upgrades and a signed New York State Standardized Interconnection Contract within fifteen (15) Business Days of the Supplemental Analysis results meeting. The applicant shall notify the utility within fifteen (15) Business Days following such notification indicating the intention of the applicant to accept the upgrades and proceed with the interconnection process. The applicant may request one extension of no more than fifteen (15) Business Days to respond. If the applicant fails to sign and return the contract within fifteen (15) Business Days of notification of the Preliminary Analysis results, or at the end of the extension, if one was requested, the Interconnection Request shall be deemed inactive and no further action on the part of the utility will be required.

- ii. If the applicant chooses to proceed to a Supplemental Review results meeting and modifications that obviate the need for Supplemental analysis are not identified and agreed to, the applicant shall notify the utility, within ten (10) business days of the meeting, of their intention to proceed to a full CESIR or withdraw the

Interconnection Request. If the applicant fails to notify the utility of their decision within thirty (30) Business Days of notification of the Supplemental Analysis results, the Interconnection Request shall be removed from the queue and no further action on the part of the utility is required.

- iii. If the applicant and the utility are unable to identify or agree to modifications that enable the applicant to pass either the Initial or Supplemental Analysis or if the applicant chooses at any time in the above process to proceed directly to a CESIR, the utility shall provide the applicant with an estimate of costs associated with the completion of the CESIR within five (5) Business Days of the final notification to/from the applicant. The applicant shall notify the utility within ten (10) business days of receiving this cost estimate of their intention to proceed to a full CESIR and move on to Step 5 or to withdraw their application.

An accepted application will be placed in each utility's interconnection inventory upon the utility's receipt of the New York State Standardized Contract executed by the applicant. If the final acceptance as set out in Step 11 below is not completed within twelve (12) months of receipt of such executed copy of the New York State Standardized Contract as a result of applicant inactivity, the utility has the right to notify the applicant by U.S. first class mail with delivery receipt confirmation that the applicant's project will be removed from the utility's interconnection inventory if the applicant does not respond within thirty (30) Business Days of the issue of such notification and provide a project status update and/or justification as to why the project should remain in the utility's interconnection inventory for an additional period of time.

If a local permitting moratorium prevents an applicant from meeting the above timelines, the utilities may grant affected project applicants an extension. To be granted an extension of the required timelines, the applicant must submit the New York State Standard Moratorium Attestation Form, Appendix I. Upon payment of 25% expected upgrade costs, if applicant has received its CESIR, executed Interconnection Contract, and submission of the Attestation Form, the remainder of the total upgrade payment shall be adjusted to 120 business days from the end of the moratorium. The project will retain its exact interconnection queue position for up to twelve months from the date of the executed Interconnection Contract, or the date that the 25% upgrade cost payment was received. If applicable, the unused portion of the 25% payment shall be refunded if the project does not move forward after receiving an extension.

STEP 5: Applicant Commits to the Completion of the CESIR

Prior to commencement of the CESIR, the applicant shall provide the following information to the utility:

- a complete, detailed interconnection design package
- proof of site control by executing the New York State Standard Site Control Certification Form, Appendix J
- the name, phone number, and agent letter of authorization (if appropriate) of the individual(s) responsible for addressing technical and contractual questions regarding the proposed system, and
- if applicable, advance payment of the costs associated with the completion of the CESIR

The complete detailed interconnection design package shall include:

- (1) Electrical schematic drawing(s), including a site plan, reflecting the complete proposed system design which are easily interpreted and of a quality necessary for full interconnection. The drawings shall show all electrical components proposed for the installation and their connections to the existing on-site electrical system from that point to the PCC, and shall be clearly marked to distinguish between new and existing equipment. For those systems proposed to be interconnected at a system voltage of 1000 volts or greater, the drawings shall be sealed by a NYS licensed Professional Engineer.
- (2) A complete listing of all interconnection devices proposed for use at the PCC. A set of specifications for this equipment shall be provided by the applicant upon request from the utility.
- (3) The written verification test procedure provided by the equipment manufacturer, if such procedure is required by this document. For non-inverter based systems, testing equipment must be capable of measuring that protection settings operate within the appropriate times and thresholds set forth in Section II.
- (4) Three (3) copies of the following information:
 - Proposed three-line diagram of the generation system showing the interconnection of major electrical components within the system. Single line diagrams shall be acceptable for single phase installations. Proposed equipment ratings clearly need to indicate:
 - 1) Number, individual ratings, and type of units comprising the above rating;
 - 2) General high voltage bus configuration and relay functions; and
 - 3) Proposed generator step-up transformer MVA ratings, impedances, tap settings and winding voltage ratings;
 - Electrical studies as requested by the utility to demonstrate that the design is within acceptable limits, inclusive and not limited to the following: system fault, relay coordination, flicker, voltage drop, and harmonics. This shall include all relay, communication, and controller set points.

If the utility determines that the detailed interconnection design package provided by the applicant is incomplete or otherwise deficient, the utility shall notify the applicant within ten (10) Business Days and provide a detailed explanation of the deficiencies identified and a list of what is required by the applicant. Unless otherwise notified by the utility, the CESIR review period begins upon confirmed receipt and acceptance of the applicant's interconnection design package and associated fees.

If the applicant fails to provide the utility authorization to proceed, CESIR fee, and information requested within thirty (30) Business Days of the request, the application shall be removed from

the queue and no further action on the part of the utility is required.

STEP 6: Utility Completes the CESIR

The CESIR will consist of two parts:

- (1) a detailed review and explanation of the impacts to the utility system associated with the interconnection of the proposed system, and
- (2) a detailed review and explanation of the proposed system's compliance with the applicable criteria set forth below.

A CESIR will be performed by the utility to determine if the proposed generation on the circuit results in any protective coordination, fault current, thermal, voltage, power quality, or equipment stress concerns.

The CESIR shall be completed within sixty (60) Business Days of receipt of the information set forth in Step 5. For systems utilizing type-tested equipment, the time required to complete the CESIR may be reduced. The utility shall complete the CESIR within sixty (60) Business Days, absent extraordinary circumstances, following authorization, receipt of the CESIR fee, and complete information set forth in Step 5. If the applicant fails to provide the utility authorization to proceed, CESIR fee and information requested within thirty (30) Business Days, the interconnection request shall be removed from the queue and no further action on the part of the utility is required.

Upon completion of the CESIR, the utility will provide the following, in writing, to the applicant:

- (1) notification of whether the proposed system meets the applicable criteria considered in the CESIR process;
- (2) utility system impacts, if any;
- (3) a description of where the proposed system is not in compliance with these requirements;
- (4) detailed description of reasoning and justification for any system upgrades and associated equipment deemed necessary for interconnection of the project;
- (5) a good faith, detailed estimate of the total cost of completion of the interconnection of the proposed system and/or a statement of cost responsibility for a dedicated transformer(s) or other required interconnection equipment, which is valid for sixty (60) Business Days.

Appendix E sets forth the responsibility each applicant shall have with respect to the actual cost of the dedicated transformer(s) and other safety equipment.

Utility cost estimates provided in the CESIR shall be detailed and broken down by specific equipment requirements, material needs, labor, overhead, and any other categories or efforts

incorporated in the estimate. Contingencies associated with the cost estimates shall not exceed +/- 25%.

STEP 7: Applicant Commits to Utility Construction of Utility's System Modifications

The applicant will execute the New York Standardized Interconnection Contract for interconnection and provide the utility with an advance payment of 25% of the utility's estimated costs as identified in Step 6 within sixty (60) Business Days of receipt of the CESIR results. The utility is not required to procure any equipment or materials associated with the project or begin construction until full payment has been received. The applicant has a total of one hundred twenty (120) Business Days to provide full payment to the utility from the time of the executed contract. Utility retains the right to re-assess the project's inventory position if the applicant exceeds either of these timeframes.

If a local permitting moratorium prevents an applicant from meeting the above timelines, the utilities may grant affected project applicants an extension. To be granted an extension of the required timelines, the applicant must submit the New York State Standard Moratorium Attestation Form, Appendix I. Upon payment of 25% expected upgrade costs, if applicant has received its CESIR, executed Interconnection Contract, and submission of the Attestation Form, the remainder of the total upgrade payment shall be adjusted to 120 business days from the end of the moratorium. The project will retain its exact interconnection queue position for up to twelve months from the date of the executed Interconnection Contract, or the date that the 25% upgrade cost payment was received. If applicable, the unused portion of the 25% payment shall be refunded if the project does not move forward after receiving an extension.

STEP 8: Project Construction

The applicant and the utility shall collaborate to identify an in-service date and develop a project schedule. The applicant shall build the facility in accordance with the utility-accepted design and the project schedule. The utility shall commence construction/installation of system modifications in accordance with the project schedule. Utility system modifications will vary in construction time depending on the extent of work and equipment required; the schedule for this work is to be discussed and agreed upon with the applicant in Step 6.

STEP 9: The Applicant's Facility is Tested in Accordance with the Standardized Interconnection Requirements

The verification testing shall be performed by the applicant in accordance with the written test procedure(s) provided by the applicant in Step 5 and any site-specific requirements identified by the utility in Step 6. The final verification testing shall be performed within ten (10) Business Days of notification to the utility by the applicant of complete installation at a mutually agreeable time, and the utility shall be given the opportunity to witness the tests. If the utility opts not to witness the tests, the applicant shall send the utility within five (5) Business Days of completion of such testing a written notification certifying that the system has been installed and tested in compliance with the SIR, the utility-accepted design, and the equipment manufacturer's instructions.

STEP 10: Interconnection

The applicant's facility will be allowed to commence parallel operation upon satisfactory completion of the tests in Step 9. In addition, the applicant must have complied with and must continue to comply with the contractual and technical requirements.

STEP 11: Final Acceptance and Utility Cost Reconciliation

If the utility witnessed the verification testing, then, within ten (10) Business Days of the completion of such testing, the utility will issue to the applicant either a formal letter of acceptance for interconnection or a detailed explanation of the deficiencies in the system. If the utility did not witness the verification testing, then, within ten (10) Business Days of receiving the written test notification from Step 9, the utility will either issue to the applicant a formal letter of acceptance for interconnection, or will request that the applicant and utility set a date and time to witness operation of the DG system. This witnessed verification testing must be completed within twenty (20) Business Days after being requested. Within ten (10) Business Days of the completion of any such witnessed testing, the utility will issue to the applicant either a formal letter of acceptance for interconnection or a detailed explanation of the deficiencies in the DG system. Within sixty (60) Business Days after issuance of the formal letter of acceptance, the utility shall prepare and submit to the applicant a final reconciliation statement of its actual costs minus the application fee and advance payments made by the applicant. Within twenty (20) Business Days after delivery of the reconciliation statement, the applicant will receive either a bill for any balance due or a reimbursement for overpayment as determined by the utility's reconciliation. The applicant may contest the reconciliation with the utility. If the utility's final reconciliation invoice states a balance due from the applicant, unless it is challenged by a formal complaint interposed by the applicant, it shall be paid to the utility within thirty (30) business days or the utility reserves the right to lock the generating system offline. If the utility's final reconciliation invoice states a reimbursement for overpayment to be paid by the utility, unless the reimbursement amount is challenged by a formal complaint interposed by the applicant, it shall be paid to the applicant within thirty (30) business days. If the applicant is not satisfied, a formal complaint may be filed with the Secretary to the Commission.

D. Application Process for Energy Storage Systems

Energy Storage Systems (ESS) may consist of a stand-alone storage system or a Hybrid Project. Only systems that are operating in parallel with the utility system are within the scope of this document. ESS may be charged from DG only, a combination of DG and the local distribution system, or from the local distribution system only. The dispatch or discharge of ESS and DG may be limited to no net export of energy or nameplate of DG only, or may have no limitations. Nameplate rating of the inverter and associated ESS in a Hybrid System must each be less than or equal to 5 MW, with a total net export of less than or equal to 5 MW. The ESS may be co-located with load or may be stand-alone, without any associated load.

Except as provided in this Section, the rules in Sections B and C shall apply to applications to: construct new Hybrid Projects; construct new stand-alone storage; add an ESS to an existing DG facility; and change the operating mode of an existing Hybrid Project or stand-alone storage

facility, depending on the AC nameplate rating of the DG component of the application, or in the case of a stand-alone storage application, the AC nameplate rating of the storage equipment.

Step 1. The Application

An applicant proposing a Hybrid Project or stand-alone storage shall complete and submit Appendix K with Appendix F.

Following interconnection of a Hybrid Project or a stand-alone storage facility, the owner may apply to change the operating mode of the storage component. To initiate review, the owner shall submit completed Appendix K specifying the proposed new operating parameters to the utility.

The owner of an existing DG facility may apply to add an ESS by submitting completed Appendix K to the utility at any time.

For all projects involving ESS, the utility shall review the application and respond within the time frames provided in Section B or C, as applicable.

Step 2. Technical Review

When performing screening analysis and system impact studies associated with ESS, maximum export and import capacity shall be utilized, except that fault current contribution shall be evaluated based on aggregate AC nameplate rating. The utility's technical review shall determine whether the proposed facility, operating per the parameters identified in the application (Appendix K), can be safely and reliably interconnected to the utility's distribution system. The applicant shall pay the costs for the utility's review in advance.

Based on the application and proposed operating parameters, the utility will determine if a Protection and Control Review is required. The utility will notify the applicant of this determination. The applicant will have thirty (30) Business Days from the notification to pay the fee for the review, which shall be calculated as \$500 plus \$4/kW capped at \$3000. The utilities shall have twenty (20) Business Days to perform the review and provide the results, including a description of any modifications to the control systems that the utility determines are necessary.

Within ten (10) Business Days of an applicant's request, the utility shall discuss the results of the technical review and shall work with the applicant to identify design changes that may reduce interconnection costs.

For all applications relating to ESS, the utility's written report of its technical review shall include a completed Attachment I, as defined below, specifying the operating parameters studied for the proposed facility. The utility and the applicant shall discuss the listed operating parameters promptly after delivery of the study results to the applicant.

Step 3. Contract and Payment for Utility Construction Costs

An applicant proposing a Hybrid Project, stand-alone storage, or the addition of ESS to an existing DG facility shall execute the New York State Standardized Interconnection Contract for Systems including Energy Storage, Appendix A1, and make payment to the utility for its estimated construction costs within the time required by either Section B or C, as applicable.

Each contract shall include a completed Attachment I, which shall specify the operating parameters for the interconnected ESS after consultation with the applicant.

An applicant proposing to change the operating parameters listed in Attachment I for an existing ESS shall sign an amendment to the Standard Interconnection Contract for Facilities including Energy Storage to incorporate the revised Attachment I and make payment for any utility construction costs within the time required by section B or C, as applicable.

E. Rules for Combining DG Applications

Distributed Generation applications that have been determined to be complete and that meet the following criteria may be combined:

- (a) the applications must be sequential in the utility's queue on both the circuit and substation bus, or non-sequential combined applications may proceed with the lower queue position;
- (b) there can be no non-SIR applications in the utility's queue between the applications that propose to aggregate;
- (c) the proposed projects must be located on the same or adjacent parcels;
- (d) both applications must be compensated at the same rate and; and
- (e) the size of the combined projects may not exceed an AC nameplate rating of 5 MW.

If none of the applications has reached the deadline for payment of 25% of the estimated utility construction costs necessary for its interconnection, the applicant(s) may ask the utility to perform a technical review of the applications as a combined project. The applicant(s) shall submit its request in writing to the utility. The utility shall cease any ongoing work on the individual applications and notify the applicant(s) within ten (10) Business Days of any additional information that is needed to perform the requested analysis and of the fee that will be charged. The utility shall apply any unspent study fees related to the individual applications to the charge for the new study. The applicant(s) shall pay the fee and provide the information sought by the utility within ten (10) Business Days of the notification. The construction cost payment due dates for the applications that are proposed to combine will be suspended until a new due date is established pursuant to this Section.

If any of the applications proposed to be combined has made a payment for estimated utility construction costs, the applicant(s) may still submit a request to study them as a combined project as provided above. Any additional payment due dates associated with the applications shall be suspended until a new due date is established. The utility shall cease work on the individual applications and shall cancel any procurements that the applicant(s) agree should be cancelled. The applicant(s) shall bear any cost associated with such cancellations. The utility shall notify the applicant(s) of any information that is needed to perform the requested analysis and of the fee that will be charged for the study within ten (10) Business Days of receiving the request. The applicant(s) shall pay the fee and provide the information sought by the utility within ten (10) Business Days of the notification.

The utility shall have sixty (60) Business Days from receipt of the fee and the project information to perform the technical review of the combined applications. The utility's report of the results shall provide the information specified in Step 6 of Section C to the applicant(s). The applicant(s) may:

- (1) proceed to construct the combined project;
- (2) resume the interconnection of the separate applications; or
- (3) withdraw one or more of the applications.

If the applicant(s) selects option (1), payment for the full amount of the estimated utility construction costs shall be due sixty (60) Business Days after receipt of the results of the technical review. If the applicant(s) selects either option (2) or (3), full payment of the construction cost associated with the applications that are to continue to interconnect shall be due within the same time period. If the applicant(s) does not meet these deadlines, the applications shall be deemed withdrawn with no further action required by the utility.

F. Interconnection On-Line Application Portal (IOAP)

Each utility shall maintain an IOAP system to provide applicants a web-based application submittal process. Hard copy, email, and/or mailed in application will no longer be allowed or accepted. The IOAP shall also provide applicants with updated information regarding the status of their SIR application process. The system shall be customer specific and post the real-time status of the SIR process. At a minimum, the following content shall be provided:

1. The applicant's name and project/application identification number.
2. Description of the project, including at a minimum, the project's type (energy source), size, metering, and location.
3. SIR project application status, including all the steps completed and to be completed, along with corresponding completion/deadline dates associated with each step.
 - If the next action is to be taken by the utility, the expected date that action will be completed,
 - If the next action is to be taken by the applicant, what exactly is required and a contact for more information,
4. Information regarding any outstanding information request made by the utility of the applicant, and
5. The status of all amounts paid and/or due to the utility by the applicant.

Access shall be available for the customer and their authorized agent(s), such that both can access the information. The IOAP must be private and secure from unauthorized access. Access to the IOAP shall be easily found on each electric utility's Interconnection / Distributed Generation home web page.

The IOAP application process must be consistent with the latest version of the SIR and include the ability to attach associated documentation or drawings for each project. Electronic signatures shall be accepted and approved for this process.

Section II. Interconnection Requirements

A. Design Requirements

1. Common

The generator-owner shall provide appropriate protection and control equipment, including a protective device that utilizes an automatic disconnect device that will disconnect the generation in the event that the portion of the utility system that serves the generator is de-energized for any reason or for a fault in the generator-owner's system. The generator-owner's protection and control equipment shall be capable of automatically disconnecting the generation upon detection of an islanding condition and upon detection of a utility system fault.

The type and size of the generation facility or energy storage system is based on electrical generator or inverter AC nameplate rating.

The generator-owner's protection and control scheme shall be designed to ensure that the generation remains in operation when the frequency and voltage of the utility system is within the limits specified by the required operating ranges. Upon request from the utility, the generator-owner shall provide documentation detailing compliance with the requirements set forth in this document.

The specific design of the protection, control, and grounding schemes will depend on the size and characteristics of the generator-owner's generation, as well the generator-owner's load level, in addition to the characteristics of the particular portion of the utility's system where the generator-owner is interconnecting.

The generator-owner shall have, as a minimum, an automatic disconnect device(s) sized to meet all applicable local, state, and federal codes and operated by over and under voltage and over and under frequency protection. For three-phase installations, the over and under voltage function should be included for each phase and the over and under frequency protection on at least one phase. All phases of a generator or inverter interface shall disconnect for voltage or frequency trip conditions sensed by the protective devices. Voltage protection shall be wired phase to ground for single phase installations and for applications using wye grounded-wye grounded service transformers.

The settings below are listed for single-phase and three-phase applications using wye grounded- wye grounded service transformers or wye grounded-wye grounded isolation transformers. For applications using other transformer connections, a site-specific review will be performed by the utility and the revised settings identified in Step 6 of the Application Process.

The requirements set forth in this document are intended to be consistent with those contained in the most current version of IEEE Std 1547, Standard for Interconnecting Distributed Resources with Electric Power Systems. The requirements in IEEE Std 1547 above and beyond those

contained in this document shall be followed and any other Standards included in or referenced to in IEEE Std 1547 shall be adhered to.

Voltage Response

The required operating range for the generators shall be from 88% to 110% of nominal voltage magnitude. In addition, the generator shall not cause the system voltage at the PCC to deviate from a range of 95% to 105% of the utility system voltage. For excursions outside these limits the protective device shall automatically initiate a disconnect sequence from the utility system as detailed in the most current version of IEEE Std 1547. Clearing time is defined as the time the range is initially exceeded until the generator-owner's equipment ceases to energize the PCC and includes detection and intentional time delay. Other static or dynamic voltage functionalities shall be permitted as agreed upon by the utility and generator-owner

Frequency Response

The required operating range for the generators shall be from 59.3 Hz to 60.5 Hz. If deemed necessary due to abnormal system conditions the utility may request that the generator operate at frequency ranges below 59.3 Hz in coordination with the load shedding schemes of the utility system. For excursions outside these limits the protective device shall automatically initiate a disconnect sequence from the utility system as detailed in the most current version of IEEE Std 1547. Clearing time is defined as the time the range is initially exceeded until the generator-owner's equipment ceases to energize the PCC and includes detection and intentional time delay. Other static or dynamic frequency functionalities shall be permitted as agreed upon by the utility and generator-owner

Reconnection to the Utility System

If the generation facility is disconnected as a result of the operation of a protective device, the generator-owner's equipment shall remain disconnected until the utility's service voltage and frequency have recovered to acceptable voltage and frequency limits as defined in the most current version of IEEE Std 1547 for a minimum of five (5) minutes. Systems greater than 25 kW that do not utilize inverter based interface equipment shall not have automatic recloser capability unless otherwise approved by the utility. If the utility determines that a facility must receive permission to reconnect, then any automatic reclosing functions must be disabled and verified to be disabled during verification testing.

2. Synchronous Generators

Synchronous generation shall require synchronizing facilities. These shall include automatic synchronizing equipment or manual synchronizing with relay supervision, voltage regulator, and power factor control.

For all synchronous generators sufficient reactive power capability shall be provided by the generator-owner to withstand normal voltage changes on the utility's system. The generator

voltage VAR schedule, voltage regulator, and transformer ratio settings shall be jointly determined by the utility and the generator-owner to ensure proper coordination of voltages and regulator action. Generator-owners shall have synchronous generator reactive power capability to withstand voltage changes up to 5% of the base voltage levels.

A voltage regulator must be provided and be capable of maintaining the generator voltage under steady state conditions within plus or minus 1.5% of any set point and within an operating range of plus or minus 5% of the rated voltage of the generator.

Generator-owners shall adopt one of the following grounding methods for synchronous generators:

- a) Solid grounding
- b) High- or low-resistance grounding
- c) High- or low-reactance grounding
- d) Ground fault neutralizer grounding

Synchronous generators shall not be permitted to connect to utility secondary network systems without the acceptance of the utility.

3. Induction Generators

Induction generation may be connected and brought up to synchronous speed (as an induction motor) if it can be demonstrated that the initial voltage drop measured at the PCC is acceptable based on current inrush limits. The same requirements also apply to induction generation connected at or near synchronous speed because a voltage dip is present due to an inrush of magnetizing current. The generator-owner shall submit the expected number of starts per specific time period and maximum starting kVA draw data to the utility.

Starting or rapid load fluctuations on induction generators can adversely impact the utility’s system voltage. Corrective step-switched capacitors or other techniques may be necessary. These measures can, in turn, cause ferroresonance. If these measures are installed on the customer’s side of the PCC, the utility will review these measures and may require the customer to install additional equipment.

4. Inverters

Direct current generation can only be installed in parallel with the utility’s system using a synchronous inverter. The design shall be such as to disconnect this synchronous inverter upon a utility system event. Inverters intended to provide local grid support during system events that result in voltage and/or frequency excursions as described in Section II.A.1 shall be provided with the required onboard functionality to allow for the equipment to remain online for the duration of the event.

It is recommended that equipment be selected from the Department of Public Service “Certified Interconnection Equipment list” maintained on the Commission’s website. Interconnected DG systems utilizing equipment not found in such list must meet all functional

requirements of the current version of IEEE Std 1547 and be protected by utility grade relays (as defined in these requirements) using settings approved by the utility and verified in the field. The field verification test must demonstrate that the equipment meets the voltage and frequency requirements detailed in this section.

Synchronization or re-synchronization of an inverter to the utility system shall not result in a voltage deviation that exceeds the requirements contained in Section II.E, Power Quality. Only inverters designed to operate in parallel with the utility system shall be utilized for that purpose.

5. Minimum Protective Function Requirements

Protective system requirements for distributed generation facilities result from an assessment of many factors, including but not limited to:

- Type and size of the distributed generation facility
- Voltage level of the interconnection
- Location of the distributed generation facility on the circuit
- Distribution transformer
- Distribution system configuration
- Available fault current
- Load that can remain connected to the distributed generation facility under isolated conditions
- Amount of existing distributed generation on the local distribution system.

As a result, protection requirements cannot be standardized according to any single criteria. Minimum protective function requirements shall be as detailed in the table below. Function numbers, as detailed in the latest version of ANSI C37.2, are listed with each function. All voltage, frequency, and clearing time set points shall be field adjustable.

| Synchronous Generators | Induction Generators | Inverters |
|--|--|--|
| Over/Under Voltage (Function 27/59) | Over/Under Voltage (Function 27/59) | Over/Under Voltage (Function 27/59) |
| Over/Under Frequency (Function 81O/81U) | Over/Under Frequency (Function 81O/81U) | Over/Under Frequency (Function 81O/81U) |
| Anti-Islanding Protection | Anti-Islanding Protection | Anti-Islanding Protection |
| Overcurrent (Function 50P/50G/51P/51G) | Overcurrent (Function 50P/50G/51P/51G) | Overcurrent (Function 50P/50G/51P/51G) |

For energy storage systems or distributed generation where net export is limited, Reverse Power (Function 32) shall be required.

The need for additional protective functions shall be determined by the utility on a case- by- case basis. If the utility determines a need for additional functions, it shall notify the generator-

owner in writing of the requirements. The notice shall include a description of the specific aspects of the utility system that necessitate the addition, and an explicit justification for the necessity of the enhanced capability. The utility shall specify and provide settings for those functions that the utility designates as being required to satisfy protection practices. Any protective equipment or setting specified by the utility shall not be changed or modified at any time by the generator- owner without written consent from the utility.

The generator-owner shall be responsible for ongoing compliance with all applicable local, state, and federal codes and standardized interconnection requirements as they pertain to the interconnection of the generating equipment. Protective devices shall utilize their own current transformers and potential transformers and not share electrical equipment associated with utility revenue metering.

A failure of the generator-owner's protective devices, including loss of control power, shall open the automatic disconnect device, thus disconnecting the generation from the utility system. A generator-owner's protection equipment shall utilize a non-volatile memory design such that a loss of internal or external control power, including batteries, will not cause a loss of interconnection protection functions or loss of protection set points.

All interface protection and control equipment shall operate as specified independent of the calendar date.

For monitoring and control of new DG projects, the most current version of the Monitoring and Control Criteria shall be employed by the utilities to evaluate the need for such equipment. The Monitoring and Control Criteria document was developed and agreed to through a collaborative process as part of the Interconnection Technical Working Group (ITWG). This document can be found on the Department of Public Service website (www.dps.ny.gov) at the Distributed Generation/Interconnections tab under Interconnection Technical Working Group Information. The communications hardware, protocols, and data models must comply with utility standards.

6. Metering

The need for additional revenue metering or modifications to existing metering will be reviewed on a case-by-case basis and shall be consistent with metering requirements adopted by the Commission.

Any incremental metering costs are included in interconnection costs that may be required of an applicant.

The following table summarizes the applicable New York Net Metering Rules:

| New York (PSL §66-1) - Net Metering* | | | |
|---|----------------------------|-----------------|-------------------|
| Incentive Type: | Net Metering Rules | | |
| Eligible Renewable/Other Technologies: | Wind | | |
| Applicable Sectors: | Residential | Non-Residential | Farm-Service Wind |
| Limit on System Size: | 25 kW | Up to 2 MW | 500 kW |
| Remote Net Metering | No** | Yes | Yes |
| Limit on Overall Enrollment: | .3% of 2005 Demand per IOU | | |

* Refer to specific utility tariff leaves for more detailed rules and regulations applicable to net metering wind electric generating systems.

B. Operating Requirements

The generator-owner shall provide a 24-hour telephone contact. This contact will be used by the utility to arrange access for repairs, inspection, or emergencies. The utility will make such arrangements (except for emergencies) during normal business hours.

Voltage and frequency trip set point adjustments shall be accessible to service personnel only.

Any changes to these settings must be reviewed and approved by the utility.

The generator-owner shall not supply power to the utility during any outages of the utility system that serves the PCC. The generator-owner's generation may be operated during such outages only with an open tie to the utility. Islanding will not be permitted. The generator-owner shall not energize a de-energized utility circuit for any reason.

Energy storage systems cannot disconnect to self-generate if their operating characteristics require their stored energy to be discharged at that time. All control systems must be password protected from modification by the interconnection customer and property owner following Interconnection.”

The disconnect switch specified for system size larger than 25 kW and non-inverter based systems of 25 kW or less in Section II.D, Disconnect Switch, may be opened by the utility at any time for any of the following reasons:

- a. to eliminate conditions that constitute a potential hazard to utility personnel or the general public;
- b. pre-emergency or emergency conditions on the utility system;
- c. a hazardous condition is revealed by a utility inspection; protective device tampering;
- d. parallel operation prior to utility approval to interconnect.

The disconnect switch may be opened by the utility for the following reasons, after notice to the responsible party has been delivered and a reasonable time to correct (consistent with the conditions) has elapsed:

- a. A generator-owner has failed to make available records of verification tests and maintenance of its protective devices;
- b. A generator-owner's system adversely impacts the operation of utility equipment or equipment belonging to other utility customers;
- c. A generator-owner's system is found to adversely affect the quality of service to adjoining customers.

The utility will provide a name and telephone number so that the generator-owner can obtain information about the utility lock-out.

The generator-owner shall be allowed to disconnect from the utility without prior notice in order to self-generate.

If a generator-owner proposes any modification to the system that has an impact on the interface at the PCC after it has been installed and a contract between the utility and the generator-owner has already been executed, then any such modifications must be reviewed and approved by the utility before the modifications are made.

C. Dedicated Transformer

The utility reserves the right to require a power-producing facility to connect to the utility system through a dedicated transformer. The transformer shall either be provided by the connecting utility at the generator-owner's expense, purchased from the utility, or conform to the connecting utility's specifications. The transformer that is part of the normal electrical service connection of a generator-owner's facility may meet this requirement if there are no other customers supplied from it. A dedicated transformer is not required if the installation is designed and coordinated with the utility to protect the utility system and its customers adequately from potential detrimental net effects caused by the operation of the generator.

If the utility determines a need for a dedicated transformer, it shall notify the generator- owner in writing of the requirements. The notice shall include a description of the specific aspects of the utility system that necessitate the addition, the conditions under which the dedicated transformer is expected to enhance safety or prevent detrimental effects, and the expected response of a normal, shared transformer installation to such conditions. Disconnect Switch

Generating equipment with system size larger than 25 kW and non-inverter based systems of 25 kW or less shall be capable of being isolated from the utility system by means of an external, manual, visible, gang-operated, load break disconnecting switch. The disconnect switch shall be installed, owned, and maintained by the customer- generator, and located between the generating equipment and its interconnection point with the utility system.

The disconnect switch must be rated for the voltage and current requirements of the installation.

The basic insulation level (BIL) of the disconnect switch shall be such that it will coordinate with that of the utility's equipment. Disconnect devices shall meet applicable requirements of the most current revision of UL, ANSI, and IEEE standards, and shall be installed to meet all applicable local, state, and federal codes. (New York City Building Code may require additional certification.)

The disconnect switch shall be clearly marked, "Generator Disconnect Switch," with permanent 3/8 inch or larger letters.

The customer-generator will propose, and the utility will approve, the location of the disconnect switch. The location and nature of the disconnect switch shall be indicated in the immediate proximity of the electric service entrance. The disconnect switch shall be readily accessible for operation and locking by utility personnel in accordance with Section II.B, Operating Requirements. The disconnect switch must be lockable in the open position with a 3/8" shank utility padlock.

For installations above 600V or with a full load output of greater than 960A, a draw-out type circuit breaker with the provision for padlocking at the draw-out position will not be an acceptable disconnect switch for the purposes of this requirement unless the use of such a circuit breaker is specifically granted by the utility, based on site-specific technical requirements. If the utility grants such use, the generator-owner will be required, upon the utility's request, to provide qualified operating personnel to open the draw-out circuit breaker and ensure isolation of the DG system, with such operation to be witnessed by the utility followed immediately by the utility locking the device to prevent re-energization. In an emergency or outage situation, where there is no access to the draw- out breaker or no qualified personnel, utilities may disconnect the electric service to the premise in order to isolate the DG system.

D. Power Quality

The requirements for acceptable flicker levels shall be in accordance with the latest version of IEEE Std 1453 Recommended Practice for the Analysis of Fluctuating Installations on

Power Systems. Short and long term perception of flicker shall be within the planning and compatibility levels delineated in this standard. Mitigation measures necessary to comply with these requirements shall at the generator-owner's expense. Power Factor

If the average power factor, as measured at the PCC, is less than 0.9 (leading or lagging), the method of power factor correction necessitated by the installation of the generator will be negotiated with the utility as a commercial item. If the average power factor of the generator is proven to be above the minimum of 0.9 (leading or lagging) by the customer and accepted by the utility, that power factor value shall be used for any further utility design calculations and requirements.

Induction power generators may be provided VAR capacity from the utility system at the generator-owner's expense. The installation of VAR correction equipment by the generator-owner on the generator-owner's side of the PCC must be reviewed and approved by the utility prior to installation.

E. Islanding

Systems must be designed and operated so that islanding is not sustained on utility distribution circuits or on substation bus and transmission systems. The requirements listed in this document are designed and intended to prevent islanding. Special protection schemes and system modifications may be necessary based on the capacity of the proposed system and the configuration and existing loading on the subject circuit.

For inverter based systems, the most current version of the Unintentional Islanding Protection Practice for Generation Connected to the Distribution System shall be employed by the utilities to evaluate the need for special measures to prevent unintentional islanding on radial distribution systems. This document can be found on the Department of Public Service website (www.dps.ny.gov) at the Distributed Generation/Interconnections tab under Interconnection Technical Working Group Information.

The need for zero sequence voltage (3Vo) and direct transfer trip (DTT) protection schemes shall be evaluated based on minimum loads on the associated feeder and substation bus, including certain fault conditions resulting from system installation to protect for an islanded condition.

F. Equipment Certification

In order for the equipment to be acceptable for interconnection to the utility system without additional protective devices, the interface equipment must be equipped with the minimum protective function requirements listed in the table in Section II.A.5 and be tested by a Nationally Recognized Testing Laboratory (NRTL) recognized by the United States Occupational Safety and Health Administration (OSHA) in compliance with the most current revision of UL 1741 and its supplement SA.

For each interconnection application, documentation including the proposed equipment certification, stating compliance with UL 1741 and its supplement SA by an NRTL, shall be provided by the applicant to the utility. Supporting information from an NRTL website or

UL's website stating compliance is acceptable for documentation.

If an equipment manufacturer, vendor, or any other party desires, documentation indicating compliance as stated above may be submitted to the Department of Public Service for listing under the certified equipment list on the Department of Public Service website (www.dps.ny.gov) at the Distributed Generation/Interconnections tab.

Certification information for equipment tested and certified to the most current revision of UL 1741 and its supplement SA by a non-NRTL shall be provided by the manufacturer, or vendor, to the contacts listed on the Department of Public Service website for review before final acceptance and posting under the certified equipment list. Utilities are not responsible for reviewing and approving equipment tested and certified by a non-NRTL.

If equipment is UL 1741 and its supplement SA certified by an NRTL and compliance documentation is submitted to the utility, the utility shall accept such equipment for interconnection in New York State. All equipment certified to the most current revision of UL 1741 and its supplement SA by an NRTL shall be deemed 'certified equipment' even if it does not appear on the Commission's website under the Certified Equipment list.

Utility grade relays need not be certified per the requirements of this section.

For DG systems that are already interconnected with the utility's electrical system and seek to use the New York State Standardized Interconnection Requirements and Application Process in order to qualify for net metering, no DG system will be required to obtain recertification the latest equipment certification standards, as long as the DG system met the equipment certification requirements by the utility in effect at the time of the DG unit's interconnection.

G. Verification Testing

All interface equipment must include a verification test procedure as part of the documentation presented to the utility. Except for the case of small single-phase inverters as discussed later, the verification test must establish that the protection settings meet the SIR requirements. The verification testing may be site-specific and is performed periodically to assure continued acceptable performance.

Upon initial parallel operation of a generating system, or any time interface hardware or software is changed, the verification test must be performed. A qualified individual must perform verification testing in accordance with the manufacturer's published test procedure. Qualified individuals include professional engineers, factory-trained and certified technicians, and licensed electricians with experience in testing protective equipment. The utility reserves the right to witness verification testing or require written certification that the testing was successfully performed.

Verification testing shall be performed at least once every four years. All verification tests prescribed by the manufacturer shall be performed. If wires must be removed to perform certain tests, each wire and each terminal must be clearly and permanently marked. The generator-owner shall maintain verification test reports for inspection by the utility.

Single-phase inverters and inverter systems rated 25 kW and below shall be verified upon initial parallel operation and once every four years as follows: the generator-owner shall interrupt the utility source and verify that the equipment automatically disconnects and does not reconnect for at least five minutes after the utility source is reconnected. The owner shall maintain a log of these operations for inspection by the connecting utility. Any system that depends upon a battery for trip power shall be checked and logged at least annually for proper voltage. Once every four (4) years the battery must be either replaced or a discharge test performed.

H. Interconnection Inventory

The utilities will manage the queue of interconnection applications in their inventories in the order in which they are received and according to the timelines set forth in this document.

To ensure applications are addressed in a timely manner and monitor the overall interconnection activities, utilities shall submit an SIR inventory of projects monthly to the Public Service Commission by the 15th day of the following month. Therefore, 12 interconnection inventory submissions shall be provided each year by each of the electric utilities. Utilities shall provide DPS Staff with redacted and unredacted versions of its interconnection inventory, including the current queue, for the associated time period in Excel format. At a minimum, the following information shall be provided in the inventory:

1. Utility Name
2. Applicant Name
3. Developer
4. Application No.
5. Circuit ID
6. Substation
7. System Type
8. System Capacity
9. Metering Configuration
10. Protective Equipment
11. Application Review Start and End date
12. Preliminary Screening Analysis Start and End date
13. CESIR Start and End date
14. CESIR Costs
15. Utility CESIR Costs
16. Customer CESIR Costs
17. Utility System Upgrade Costs
18. Customer System Upgrade Costs
19. Verification Testing date
20. Final Letter of Acceptance date

Section III. Glossary of Terms

Automatic Disconnect Device: An electronic or mechanical switch used to isolate a circuit or piece of equipment from a source of power without the need for human intervention.

Business Day: Monday through Friday, excluding utility holidays.

Cease to Energize: Cessation of energy flow capability

Coordinated Electric System Interconnection Review: Any studies performed by utilities to ensure that the safety and reliability of the electric grid with respect to the interconnection of distributed generation as discussed in this document.

Dedicated Transformer: A transformer installed by the utility to isolate a DG system.

Direct Transfer Trip: Remote operation of a circuit breaker by means of a communication channel.

Disconnect (verb): To isolate a circuit or equipment from a source of power. If isolation is accomplished with a solid-state device, "Disconnect" shall mean to cease the transfer of power.

Disconnect Switch: A mechanical device used for isolating a circuit or equipment from a source of power.

Draw-out Type Circuit Breaker: Circuit breakers that are disconnected by physically separating, or racking, the breaker assembly away from the switchgear bus.

Energy Storage System (ESS): A commercially-available mechanical, electrical or electro-chemical means to store and release electrical energy, and its associated electrical inversion device and control functions that may stand-alone or be paired with a distributed generator at a point of common coupling

Generator-Owner: An applicant to operate on-site power generation equipment in parallel with the utility grid per the requirements of this document.

Hybrid Project: A facility that operates, or is planned to operate, as a distributed generator paired with an energy storage system at a point of common coupling

Islanding: A condition in which a portion of the utility system that contains both load and distributed generation is isolated from the remainder of the utility system. (Adopted from IEEE Std 929.)

Maximum Export: The maximum export capacity of an Energy Storage System to the distribution grid at the PCC communicated by the Applicant and studied as such by the utility

per their review of the impacts on the utility system based on the operating characteristic of the Energy Storage System.

Maximum Import: The maximum import capacity of an Energy Storage System from the distribution grid at the PCC communicated by the Applicant and studied as such by the utility per their review of the impacts on the utility system based on the operating characteristic of the Energy Storage System.

Point of Common Coupling (PCC): The point at which the interconnection between the electric utility and the customer interface occurs. Typically, this is the customer side of the utility revenue meter.

Preliminary Review: A review of the generator-owner's proposed system capacity, location on the utility system, system characteristics, and general system regulation to determine if the interconnection is viable.

Protective Device: A device that continuously monitors a designated parameter related to the operation of the generation system that operates if preset limits are exceeded

Required Operating Range: The range of magnitudes of the utility system voltage or frequency where the generator-owner's equipment, if operating, is required to remain in operation for the purposes of compliance with UL 1741. Excursions outside these ranges must result in the automatic disconnection of the generation within the prescribed time limits

Safety Equipment: Includes dedicated transformers or equipment and facilities to protect the safety and adequacy of electric service provided to other customers.

Stand-Alone Storage: An energy storage system that is solely connected to a point of common coupling and not paired with a distributed generator.

Utility Grade Relay: A relay that is constructed to comply with, as a minimum, the most current version of the following standards for non-nuclear facilities:

| <u>Standard</u> | <u>Conditions Covered</u> |
|----------------------|---|
| ANSI/IEEE C37.90 | Usual Service Condition Ratings - <ul style="list-style-type: none"> • Current and Voltage Maximum design for all relay AC and DC auxiliary relays • Make and carry ratings for tripping contacts • Tripping contacts duty cycle • Dielectric tests by manufacturer • Dielectric tests by user |
| ANSI/IEEE C37.90.1 | Surge Withstand Capability (SWC) Fast Transient |
| Test IEEE C37.90.2 | Radio Frequency Interference |
| ANSI C37.2 | Electric Power System Device Function |
| Numbers IEC 255-21-1 | Vibration |
| IEC 255-22-2 | Electrostatic Discharge |
| IEC 255-5 | Insulation (Impulse Voltage Withstand) |

Verification Test: A test performed upon initial installation and repeated periodically to determine that there is continued acceptable performance.

Wind, Net Meter, Residential Applicant: A residential applicant who is proposing to install a wind electric generating system, not to exceed a combined rated capacity of 25 kW, located and used at the applicant's primary residence, per the requirements of New York State Public Service Law §66-1.

Wind, Net Meter, Non-Residential Applicant: A non-residential applicant who is proposing to install a wind electric generating system located and used at the applicant's premises, not to exceed 2 MW, pursuant to New York State Public Service Law §66-1.

Wind, Net Meter, Farm Applicant: A farm applicant who is proposing to install a wind electric generating system, not to exceed a combined rated capacity of 500 kW, located and used at the applicant's primary residence, per the requirements of New York State Public Service Law §66-1.

APPENDIX A

**NEW YORK STATE STANDARDIZED CONTRACT
FOR INTERCONNECTION OF NEW DISTRIBUTED GENERATION UNITS WITH
CAPACITY OF 5 MW OR LESS CONNECTED IN PARALLEL WITH
UTILITY DISTRIBUTION SYSTEMS**

Interconnection Customer Information:

Utility Information:

Name:

Name:

Address:

Address:

Telephone:

Telephone:

Fax:

Fax:

Email:

Email:

Unit Application/File No.:

Utility Account Number:

DEFINITIONS

Delivery Service means the services the Utility may provide to deliver capacity or energy generated by the Interconnection Customer to a buyer to a delivery point(s), including related ancillary services.

Interconnection Customer means the owner of the Unit.

Interconnection Facilities means the equipment and facilities on the Utility's system necessary to permit operation of the Unit in parallel with the Utility's system

Premises means the real property where the Unit is located.

SIR means the New York State Standardized Interconnection Requirements for new distributed generation units with a nameplate capacity of 5 MW or less connected in parallel with the Utility's distribution system

Unit means the distributed generation facilities approved by the Utility for operation in parallel with the Utility's system. This Agreement relates only to such Unit, but a new agreement shall not be required if the Interconnection Customer makes physical alterations to the Unit that do not result in an increase in its nameplate generating capacity. The nameplate generating capacity of the Unit shall not exceed 5 MW.

Utility means [insert legal name of the interconnecting utilit

I. TERM AND TERMINATION

1.1 Term: This Agreement shall become effective when executed by both Parties and shall continue in effect until terminated.

1.2 Termination: This Agreement may be terminated as follows:

- a. The Interconnection Customer may terminate this Agreement at any time, by giving the Utility sixty (60) days' written notice.
- b. Failure by the Interconnection Customer to seek final acceptance by the Utility within twelve (12) months after completion of the utility construction process described in the SIR shall automatically terminate this Agreement.
- c. Either Party may, by giving the other Party at least sixty (60) days' prior written notice, terminate this Agreement in the event that the other Party is in default of any of the material terms and conditions of this Agreement. The terminating Party shall specify in the notice the basis for the termination and shall provide a reasonable opportunity to cure the default.
- d. The Utility may, by giving the Interconnection Customer at least sixty (60) days' prior written notice, terminate this Agreement for cause. The Interconnection Customer's non-compliance with an upgrade to the SIR, unless the Interconnection Customer's installation is "grandfathered," shall constitute good cause.

1.3 Disconnection and Survival of Obligations: Upon termination of this Agreement the Unit will be disconnected from the Utility's electric system. The termination of this Agreement shall not relieve either Party of its liabilities and obligations, owed or continuing at the time of the termination.

1.4 Suspension: This Agreement will be suspended during any period in which the Interconnection Customer is not eligible for Delivery Service from the Utility

II. SCOPE OF AGREEMENT

2.1 Scope of Agreement: This Agreement relates solely to the conditions under which the Utility and the Interconnection Customer agree that the Unit may be interconnected to and operated in parallel with the Utility's system.

2.2 Electricity Not Covered: The Utility shall have no duty under this Agreement to account for, pay for, deliver, or return in kind any electricity produced by the Facility and delivered into the Utility's System.

III. INSTALLATION, OPERATION AND MAINTENANCE OF UNIT

3.1 Compliance with SIR: Subject to the provisions of this Agreement, the Utility shall be required to interconnect the Unit to the Utility's system, for purposes of parallel operation, if the Utility accepts the Unit as in compliance with the SIR. The Interconnection Customer shall have a continuing obligation to maintain and operate the Unit in compliance with the SIR.

3.2 Observation of the Unit - Construction Phase: The Utility may, in its discretion and upon reasonable notice, perform reasonable on-site verifications during the construction of the Unit. Whenever the Utility chooses to exercise its right to perform observations herein it shall specify to the Interconnection Customer its reasons for its decision to perform the observation. For purposes of this paragraph and paragraphs 3.3 through 3.5, the term "on-site verification" shall not include testing of the Unit, and verification tests shall not be required except as provided in paragraphs 3.3 and 3.4.

3.3 Observation of the Unit - Ten-day Period: The Utility may perform on-site verifications of the Unit and observe the execution of verification testing within a reasonable period of time, not exceeding ten (10) business days after system installation. The Unit will be allowed to commence parallel operation upon satisfactory completion of the verification test. The Interconnection Customer must have complied with and must continue to comply with all contractual and technical requirements.

3.4 Observation of the Unit - Post-Ten-day Period: If the Utility does not perform an on-site verification of the Unit and observe the execution of verification testing within the ten-day period, the Interconnection Customer will send the Utility within five (5) days of the verification testing a written notification certifying that the Unit has been installed and tested in compliance with the SIR, the utility-accepted design and the equipment manufacturer's instructions. The Interconnection Customer may begin to produce energy upon satisfactory completion of the verification test. After receiving the verification test notification, the Utility will either issue to the Interconnection Customer a formal letter of acceptance for interconnection, or may request that the applicant and utility set a date and time to perform an on-site verification of the Unit and make reasonable inquiries of the Interconnection Customer, but only for purposes of determining whether the verification tests were properly performed. The Interconnection Customer shall not be required to perform the verification tests a second time, unless irregularities appear in the verification test report or there are other objective indications that the tests were not properly performed in the first instance.

3.5 Observation of the Unit - Operations: The Utility may perform on-site verification of the operations of the Unit after it commences operations if the Utility has a reasonable basis for doing so based on its responsibility to provide continuous and reliable utility service or as authorized by the provisions of the Utility's Retail Electric Tariff relating to the verification of Interconnection Customer installations generally.

3.6 Costs of Interconnection Facilities: During the term of this Agreement, the Utility shall design, construct and install the Interconnection Facilities. The Interconnection Customer shall be responsible for paying the incremental capital cost of such Interconnection Facilities attributable to the Interconnection Customer's Unit. All costs associated with the operation and maintenance of the Dedicated Facilities after the Unit first produces energy shall be the responsibility of the Utility.

IV. DISCONNECTION OF THE UNIT

4.1 Emergency Disconnection: The Utility may disconnect the Unit, without prior notice to the Interconnection Customer (a) to eliminate conditions that constitute a potential hazard to Utility personnel or the general public; (b) if pre-emergency or emergency conditions exist on the Utility system; (c) if a hazardous condition relating to the Unit is observed by a Utility inspection; or (d) if the Interconnection Customer has tampered with any protective device. The Utility shall notify the Interconnection Customer of the emergency if circumstances permit.

4.2 Non-Emergency Disconnection: The Utility may disconnect the Unit, after notice to the responsible party has been provided and a reasonable time to correct, consistent with the conditions, has elapsed, if (a) the Interconnection Customer has failed to make available records of verification tests and maintenance of his protective devices; (b) the Unit system interferes with Utility equipment or equipment belonging to other customers of the Utility; (c) the Unit adversely affects the quality of service of adjoining customers.

4.3 Disconnection by Interconnection Customer: The Interconnection Customer may disconnect the Unit at any time.

4.4 Utility Obligation to Cure Adverse Effect: If, after the Interconnection Customer meets all interconnection requirements, the operations of the Utility are adversely affecting the performance of the Unit or the Customer's premises, the Utility shall immediately take appropriate action to eliminate the adverse effect. If the Utility determines that it needs to upgrade or reconfigure its system, the Interconnection Customer will not be responsible for the cost of new or additional equipment beyond the point of common coupling between the Interconnection Customer and the Utility.

V. ACCESS

5.1 Access to Premises: The Utility shall have access to the disconnect switch of the Unit at all times. At reasonable hours and upon reasonable notice consistent with Section III of this Agreement, or at any time without notice in the event of an emergency (as defined in paragraph 4.1), the Utility shall have access to the Premises.

5.2 Utility and Interconnection Customer Representatives: The Utility shall designate, and shall provide to the Interconnection Customer, the name and telephone number of a representative or representatives who can be reached at all times to allow the Interconnection Customer to report an emergency and obtain the assistance of the Utility. For the purpose of allowing access to the premises, the Interconnection Customer shall provide the Utility with the name and telephone number of a person who is responsible for providing access to the Premises.

5.3 Utility Right to Access Utility-Owned Facilities and Equipment: If necessary for the purposes of this Agreement, the Interconnection Customer shall allow the Utility access to the Utility's equipment and facilities located on the Premises. To the extent that the Interconnection Customer does not own all or any part of the property on which the Utility is required to locate its equipment or facilities to serve the Interconnection Customer under this Agreement, the Interconnection Customer shall secure and provide in favor of the Utility the necessary rights to obtain access to such equipment or facilities, including easements if the circumstances so require.

VI. DISPUTE RESOLUTION

6.1 Good Faith Resolution of Disputes: Each Party agrees to attempt to resolve all disputes arising hereunder promptly, equitably and in a good faith manner.

6.2 Mediation: If a dispute arises under this Agreement, and if it cannot be resolved by the Parties within ten (10) business days after written notice of the dispute, the parties agree to submit the dispute to mediation by a mutually acceptable mediator, in a mutually convenient location in New York State, in accordance with the then current CPR Institute for Dispute Resolution Mediation Procedure, or to mediation by a mediator provided by the New York Public Service Commission. The Parties agree to participate in good faith in the mediation for a period of up to 90 days. If the Parties are not successful in resolving their disputes through mediation, then the parties may refer the dispute for resolution to the New York Public Service Commission, which shall maintain continuing jurisdiction over this Agreement.

6.3 Escrow: If there are amounts in dispute of more than two thousand dollars (\$2,000), the Interconnection Customer shall either place such disputed amounts into an independent escrow account pending final resolution of the dispute in question, or provide to the Utility an appropriate irrevocable standby letter of credit in lieu thereof.

VII. INSURANCE

7.1 The Interconnection Customer is not required to provide general liability insurance coverage as part of this Agreement, the SIR, or any other Utility requirement. Due to the risk of incurring damages however, the Public Service Commission recommends that every distributed generation Interconnection Customer protect itself with insurance.

7.2 Effect: The inability of the Utility to require the Interconnection Customer to provide general liability insurance coverage for operation of the Unit is not a waiver of any rights the Utility may have to pursue remedies at law against the Interconnection Customer to recover

damages.

VIII. MISCELLANEOUS PROVISIONS

8.1 Beneficiaries: This Agreement is intended solely for the benefit of the Parties hereto, and if a Party is an agent, its principal. Nothing in this Agreement shall be construed to create any duty to, or standard of care with reference to, or any liability to, any other person.

8.2 Severability: If any provision or portion of this Agreement shall for any reason be held or adjudged to be invalid or illegal or unenforceable by any court of competent jurisdiction, such portion or provision shall be deemed separate and independent, and the remainder of this Agreement shall remain in full force and effect.

8.3 Entire Agreement: This Agreement constitutes the entire Agreement between the Parties and supersedes all prior agreements or understandings, whether verbal or written.

8.4 Waiver: No delay or omission in the exercise of any right under this Agreement shall impair any such right or shall be taken, construed or considered as a waiver or relinquishment thereof, but any such right may be exercised from time to time and as often as may be deemed expedient. In the event that any agreement or covenant herein shall be breached and thereafter waived, such waiver shall be limited to the particular breach so waived and shall not be deemed to waive any other breach hereunder.

8.5 Applicable Law: This Agreement shall be governed by and construed in accordance with the law of the State of New York.

8.6 Amendments: This Agreement shall not be amended unless the amendment is in writing and signed by the Utility and the Customer.

8.7 Force Majeure: For purposes of this Agreement, "Force Majeure Event" means any event: (a) that is beyond the reasonable control of the affected Party; and (b) that the affected Party is unable to prevent or provide against by exercising reasonable diligence, including the following events or circumstances, but only to the extent they satisfy the preceding requirements: acts of war, public disorder, insurrection, or rebellion; floods, hurricanes, earthquakes, lightning, storms, and other natural calamities; explosions or fires; strikes, work stoppages, or labor disputes; embargoes; and sabotage. If a Force Majeure Event prevents a Party from fulfilling any obligations under this Agreement, such Party will promptly notify the other Party in writing, and will keep the other Party informed on a continuing basis of the scope and duration of the Force Majeure Event. The affected Party will specify in reasonable detail the circumstances of the Force Majeure Event, its expected duration, and the steps that the affected Party is taking to mitigate the effects of the event on its performance. The affected Party will be entitled to suspend or modify its performance of obligations under this Agreement, other than the obligation to make payments then due or becoming due under this Agreement, but only to the extent that the effect of the Force Majeure Event cannot be mitigated by the use of reasonable efforts. The affected Party will use reasonable efforts to resume its performance as soon as possible.

8.8 Assignment to Corporate Party: At any time during the term, the Interconnection Customer may assign this Agreement to a corporation or other entity with limited liability, provided that the Interconnection Customer obtains the consent of the Utility. Such consent will not be withheld unless the Utility can demonstrate that the corporate entity is not reasonably capable of performing the obligations of the assigning Interconnection Customer under this Agreement.

8.9 Assignment to Individuals: At any time during the term, the Interconnection Customer may assign this Agreement to another person, other than a corporation or other entity with limited liability, provided that the assignee is the owner, lessee, or is otherwise responsible for the Unit.

8.10 Permits and Approvals: Interconnection Customer shall obtain all environmental and other permits lawfully required by governmental authorities prior to the construction and for the operation of the Unit during the term of this Agreement.

8.11 Limitation of Liability: Neither by inspection, if any, or non-rejection, nor in any other way, does the Utility give any warranty, express or implied, as to the adequacy, safety, or other characteristics of any structures, equipment, wires, appliances or devices owned, installed or maintained by the Interconnection Customer or leased by the Interconnection Customer from third parties, including without limitation the Unit and any structures, equipment, wires, appliances or devices appurtenant thereto.

ACCEPTED AND AGREED:

Interconnection Customer

Signature:

Printed Name:

Title:

Date:

Utility Signature:

Printed Name:

Title:

Date:

APPENDIX A1

**NEW YORK STATE STANDARDIZED CONTRACT
FOR INTERCONNECTION OF DISTRIBUTED GENERATION UNITS THAT
INCLUDE ENERGY STORAGE SYSTEMS**

Interconnection Customer Information:

Utility Information:

Name:

Name:

Address:

Address:

Telephone:

Telephone:

Fax:

Fax:

Email:

Email:

Unit Application/File No.:

Utility Account Number:

DEFINITIONS

Delivery Service means the services the Utility may provide to deliver capacity or energy generated by Customer to a buyer to a delivery point(s), including related ancillary services.

Energy Storage System means a commercially-available mechanical, electrical or electro-chemical means to store and release electrical energy, and its associated electrical inversion device and control functions that may stand-alone or be paired with a distributed generator at a point of common coupling.

Interconnection Customer means the owner of the Unit.

Interconnection Facilities means the equipment and facilities on the Utility's system necessary to permit operation of the Unit in parallel with the Utility's system.

Net energy metering means the use of a net energy meter to measure, during the billing period applicable to a customer-generator, the net amount of electricity supplied by an electric corporation and provided to the corporation by a customer-generator.

Premises means the real property where the Unit is located.

SIR means the New York State Standardized Interconnection Requirements for new distributed generation units with a nameplate capacity of 5 MW or less connected in parallel with the Utility's distribution system.

Unit means the distributed generation facilities and Energy Storage System approved by the Utility for operation in parallel with the Utility's system. This Agreement relates only to such Unit, but a new agreement shall not be required if the Interconnection Customer makes physical alterations to the Unit that do not result in an increase in its nameplate generating capacity. The AC nameplate generating capacity of the Unit shall not exceed 5 MW.

Utility means [insert legal name of the interconnecting utility].

I. TERM AND TERMINATION

1.1 Term: This Agreement shall become effective when executed by both Parties and shall continue in effect until terminated.

1.2 Termination: This Agreement may be terminated as follows:

- a. The Interconnection Customer may terminate this Agreement at any time, by giving the Utility sixty (60) days' written notice.
- b. Failure by the Interconnection Customer to seek final acceptance by the Utility within twelve (12) months after completion of the utility construction process described in the SIR shall automatically terminate this Agreement.
- c. Either Party may, by giving the other Party at least sixty (60) days' prior written notice, terminate this Agreement in the event that the other Party is in default of any of the material terms and conditions of this Agreement. The terminating Party shall specify in the notice the basis for the termination and shall provide a reasonable opportunity to cure the default.
- d. The Utility may, by giving the Interconnection Customer at least sixty (60) days' prior written notice, terminate this Agreement for cause. The Interconnection Customer's non-compliance with an upgrade to the SIR, unless the Interconnection Customer's installation is "grandfathered," shall constitute good cause.

1.3 Disconnection and Survival of Obligations: Upon termination of this Agreement the Unit will be disconnected from the Utility's electric system. The termination of this Agreement shall not relieve either Party of its liabilities and obligations, owed or continuing at the time of the termination.

1.4 Suspension: This Agreement will be suspended during any period in which the Interconnection Customer is not eligible for delivery service from the Utility

II. SCOPE OF AGREEMENT

2.1 Scope of Agreement: This Agreement relates solely to the conditions under which the Utility and the Interconnection Customer agree that the Unit may be interconnected to and operated in parallel with the Utility's system.

2.2 Electricity Not Covered: The Utility shall have no duty under this Agreement to account for, pay for, deliver, or return in kind any electricity produced by the Unit and delivered into the Utility's System unless the system is net metered as described in Public Service Law Sections 66-j or 66-l.

III. INSTALLATION, OPERATION AND MAINTENANCE OF UNIT

3.1 Compliance with SIR: Subject to the provisions of this Agreement, the Utility shall be required to interconnect the Unit to the Utility's system, for purposes of parallel operation, if the Utility accepts the Unit as in compliance with the SIR. The Interconnection Customer shall have a continuing obligation to maintain and operate the Unit in compliance with the SIR.

3.2 Observation of the Unit - Construction Phase: The Utility may, in its discretion and upon reasonable notice, perform reasonable on-site verifications during the construction of the Unit. Whenever the Utility chooses to exercise its right to perform observations herein it shall specify to the Interconnection Customer its reasons for its decision to perform the observation. For purposes of this paragraph and paragraphs 3.3 through 3.5, the term "on-site verification" shall not include testing of the Unit, and verification tests shall not be required except as provided in paragraphs 3.3 and 3.4.

3.3 Observation of the Unit - Ten-day Period: The Utility may perform on-site verifications of the Unit and observe the execution of verification testing within a reasonable period of time, not exceeding ten (10) business days after system installation. The Unit will be allowed to commence parallel operation upon satisfactory completion of the verification test. The Interconnection Customer must have complied with and must continue to comply with all contractual and technical requirements.

3.4 Observation of the Unit - Post-Ten-day Period: If the Utility does not perform an on-site verification of the Unit and observe the execution of verification testing within the ten-day period, the Interconnection Customer will send the Utility within five (5) days of the verification testing a written notification certifying that the Unit has been installed and tested in compliance with the SIR, the utility-accepted design and the equipment manufacturer's instructions. The Interconnection Customer may begin to produce energy upon satisfactory completion of the verification test. After receiving the verification test notification, the Utility will either issue to the Interconnection Customer a formal letter of acceptance for interconnection, or may request that the Interconnection Customer and Utility set a date and time to perform an on-site verification of the Unit and make reasonable inquiries of the Interconnection Customer, but only for purposes of determining whether the verification tests were properly performed. The Interconnection Customer shall not be required to perform the verification tests a second time, unless irregularities appear in the verification test report or there are other objective indications that the tests were not properly performed in the first instance.

3.5 Observation of the Unit - Operations: The Utility may perform on-site verification of the operations of the Unit after it commences operations if the Utility has a reasonable basis for doing so based on its responsibility to provide continuous and reliable utility service or as authorized by the provisions of the Utility's Retail Electric Tariff relating to the verification of such installations generally.

3.6 Costs of Interconnection Facilities: During the term of this Agreement, the Utility shall design, construct and install the Dedicated Facilities. The Interconnection Customer shall be responsible for paying the incremental capital cost of such Dedicated Facilities attributable to the Unit. All costs associated with the operation and maintenance of the Dedicated Facilities after the Unit first produces energy shall be the responsibility of the Utility.

IV. DISCONNECTION OF THE UNIT

4.1 Emergency Disconnection: The Utility may disconnect the Unit, without prior notice to the Interconnection Customer (a) to eliminate conditions that constitute a potential hazard to Utility personnel or the general public; (b) if pre-emergency or emergency conditions exist on the Utility system; (c) if a hazardous condition relating to the Unit is observed by a Utility inspection; or (d) if the Interconnection Customer has tampered with any protective device. The Utility shall notify the Interconnection Customer of the emergency if circumstances permit.

4.2 Non-Emergency Disconnection: The Utility may disconnect the Unit, after notice to the Interconnection Customer has been provided and a reasonable time to correct, consistent with the conditions, has elapsed, if (a) the Interconnection Customer has failed to make available records of verification tests and maintenance of his protective devices; (b) the Unit interferes with Utility equipment or equipment belonging to other customers of the Utility; (c) the Unit adversely affects the quality of service of adjoining customers; or (d) the Energy Storage System does not operate in compliance with the operating parameters and limits described in Attachment I.

4.3 Disconnection by Interconnection Customer: The Interconnection Customer may disconnect the Unit at any time.

4.4 Utility Obligation to Cure Adverse Effect: If, after the Interconnection Customer meets all interconnection requirements, the operations of the Utility are adversely affecting the performance of the Unit or the Interconnection Customer's Premises, the Utility shall immediately take appropriate action to eliminate the adverse effect. If the Utility determines that it needs to upgrade or reconfigure its system the Interconnection Customer will not be responsible for the cost of new or additional equipment beyond the point of common coupling between the Interconnection Customer and the Utility.

V. ACCESS

5.1 Access to Premises: The Utility shall have access to the disconnect switch of the Unit at all times. At reasonable hours and upon reasonable notice consistent with Section III of this Agreement, or at any time without notice in the event of an emergency (as defined in paragraph 4.1), the Utility shall have access to the Premises.

5.2 Utility and Interconnection Customer Representatives: The Utility shall designate, and shall provide to the Interconnection Customer, the name and telephone number of a representative or representatives who can be reached at all times to allow the Interconnection Customer to report an emergency and obtain the assistance of the Utility. For the purpose of allowing access to the Premises, the Interconnection Customer shall provide the Utility with the name and telephone number of a person who is responsible for providing access to the Premises.

5.3 Utility Right to Access Utility-Owned Facilities and Equipment: If necessary for the purposes of this Agreement, the Interconnection Customer shall allow the Utility access to the Utility's equipment and facilities located on the Premises. To the extent that the Interconnection Customer does not own all or any part of the property on which the Utility is required to locate its equipment or facilities to serve the Interconnection Customer under this Agreement, the Interconnection Customer shall secure and provide in favor of the Utility the necessary rights to obtain access to such equipment or facilities, including easements if the circumstances so require.

VI. DISPUTE RESOLUTION

6.1 Good Faith Resolution of Disputes: Each Party agrees to attempt to resolve all disputes arising hereunder promptly, equitably and in a good faith manner.

6.2 Mediation: If a dispute arises under this Agreement, and if it cannot be resolved by the Parties within ten (10) business days after written notice of the dispute, the parties agree to submit the dispute to mediation by a mutually acceptable mediator, in a mutually convenient location in New York State, in accordance with the then current CPR Institute for Dispute Resolution Mediation Procedure, or to mediation by a mediator provided by the New York Public Service Commission. The Parties agree to participate in good faith in the mediation for a period of up to 90 days. If the Parties are not successful in resolving their disputes through mediation, then the parties may refer the dispute for resolution to the New York Public Service Commission, which shall maintain continuing jurisdiction over this Agreement.

6.3 Escrow: If there are amounts in dispute of more than two thousand dollars (\$2,000), the Interconnection Customer shall either place such disputed amounts into an independent escrow account pending final resolution of the dispute in question, or provide to the Utility an appropriate irrevocable standby letter of credit in lieu thereof.

VII. INSURANCE

7.1 The Interconnection Customer is not required to provide general liability insurance coverage as part of this Agreement, the SIR, or any other Utility requirement. Due to the risk of incurring damages however, the Public Service Commission recommends that every distributed generation customer protect itself with insurance.

7.2 Effect: The inability of the Utility to require the Interconnection Customer to provide general liability insurance coverage for operation of the Unit is not a waiver of any rights the Utility may have to pursue remedies at law against the Interconnection Customer to recover damages.

VIII. MISCELLANEOUS PROVISIONS

8.1 Beneficiaries: This Agreement is intended solely for the benefit of the Parties hereto, and if a Party is an agent, its principal. Nothing in this Agreement shall be construed to create any duty to, or standard of care with reference to, or any liability to, any other person.

8.2 Severability: If any provision or portion of this Agreement shall for any reason be held or adjudged to be invalid or illegal or unenforceable by any court of competent jurisdiction, such portion or provision shall be deemed separate and independent, and the remainder of this Agreement shall remain in full force and effect.

8.3 Entire Agreement: This Agreement constitutes the entire Agreement between the Parties and supersedes all prior agreements or understandings, whether verbal or written.

8.4 Waiver: No delay or omission in the exercise of any right under this Agreement shall impair any such right or shall be taken, construed or considered as a waiver or relinquishment thereof, but any such right may be exercised from time to time and as often as may be deemed expedient. In the event that any agreement or covenant herein shall be breached and thereafter waived, such waiver shall be limited to the particular breach so waived and shall not be deemed to waive any other breach hereunder.

8.5 Applicable Law: This Agreement shall be governed by and construed in accordance with the law of the State of New York.

8.6 Amendments: This Agreement shall not be amended unless the amendment is in writing and signed by the Utility and the Interconnection Customer.

8.7 Force Majeure: For purposes of this Agreement, "Force Majeure Event" means any event: (a) that is beyond the reasonable control of the affected Party; and (b) that the affected Party is unable to prevent or provide against by exercising reasonable diligence, including the following events or circumstances, but only to the extent they satisfy the preceding requirements: acts of war, public disorder, insurrection, or rebellion; floods, hurricanes, earthquakes, lightning, storms, and other natural calamities; explosions or fires; strikes, work stoppages, or labor disputes; embargoes; and sabotage. If a Force Majeure Event prevents a Party from fulfilling any obligations under this Agreement, such Party will promptly notify the other Party in writing, and will keep the other Party informed on a continuing basis of the scope and duration of the Force Majeure Event. The affected Party will specify in reasonable detail the circumstances of the Force Majeure Event, its expected duration, and the steps that the affected Party is taking to mitigate the effects of the event on its performance. The affected Party will be entitled to suspend or modify its performance of obligations under this Agreement, other than the obligation to make payments then due or becoming due under this Agreement, but only to the extent that the effect of the Force Majeure Event cannot be mitigated by the use of reasonable efforts. The affected Party will use reasonable efforts to resume its performance as soon as possible.

8.8 Assignment to Corporate Party: At any time during the term, the Interconnection Customer may assign this Agreement to a corporation or other entity with limited liability, provided that the Interconnection Customer obtains the consent of the Utility. Such consent will not be withheld unless the Utility can demonstrate that the corporate entity is not reasonably capable of performing the obligations of the assigning Interconnection Customer under this Agreement.

8.9 Assignment to Individuals: At any time during the term, the Interconnection Customer may assign this Agreement to another person, other than a corporation or other entity with limited liability, provided that the assignee is the owner, lessee, or is otherwise responsible for the Unit.

8.10 Permits and Approvals: Interconnection Customer shall obtain all environmental and other permits lawfully required by governmental authorities prior to the construction and for the operation of the Unit during the term of this Agreement.

8.11 Limitation of Liability: Neither by inspection, if any, or non-rejection, nor in any other way, does the Utility give any warranty, express or implied, as to the adequacy, safety, or other characteristics of any structures, equipment, wires, appliances or devices owned, installed or maintained by the Interconnection Customer or leased by the Interconnection Customer from third parties, including without limitation the Unit and any structures, equipment, wires, appliances or devices appurtenant thereto.

ACCEPTED AND AGREED:

Interconnection Customer Signature:

Printed Name:

Title:

Date:

Utility Signature:

Printed Name:

Title:

Date:

**NEW YORK STATE STANDARDIZED CONTRACT
FOR INTERCONNECTION OF DISTRIBUTED GENERATION UNITS THAT
INCLUDE ENERGY STORAGE SYSTEMS**

ATTACHMENT 1

APPENDIX B

**NEW YORK STATE STANDARDIZED APPLICATION FOR
INTERCONNECTION OF INVERTER BASED PARALLEL
GENERATION EQUIPMENT TO THE ELECTRIC SYSTEM OF**

Utility:

Customer:

Name: Phone: ())

Address: Fax: ())

Email:

Municipality:

Utility Account No.:

Utility Meter No.:

Agent (if any):

Name: Phone: ())

Address: Fax: ())

Email:

Consulting Engineer or Contractor:

Name: Phone: ())

Address: Fax: ())

Email:

Existing Electric Service:

Capacity: _____ Amperes

Voltage: _____ Volts

Service Character: () Single Phase () Three Phase

Location of Protective Interface Equipment on Property:

(Include address if different from customer address.)

Energy Producing Inverter Information:

Total AC Nameplate Rating of All Inverters:

Inverter

Inverter or System Tested to UL 1741 (most current version):

Yes No *If no, attach product literature.*

Manufacturer:

Model:

Quantity:

Rating per inverter: _____kW

Type: Forced Commutated Line Commutated

Utility Interactive Stand Alone

Rated Output: _____ Amperes _____ Volts

Ramp Rate:

Method of Grounding: Grounded Ungrounded

Quantity of Inverters:

If there is more than one inverter of different types of manufacturers, please provide information on a separate sheet.

If applicable:

Step Up Transformer Winding Configuration:

Wye-Wye Wye-Delta Delta-Wye

Other existing DG such as emergency generators, other renewable technologies, microturbines, hydro, fuel cells, battery storage, etc:

Yes No

If yes, provide information about existing generation on separate sheet and include detail on one-line diagram.

Signature:

CUSTOMER/AGENT SIGNATURE

TITLE

DATE

APPENDIX C

**NEW YORK STATE STANDARDIZED APPLICATION
FOR INTERCONNECTION OF NON-INVERTER BASED PARALLEL GENERATION
EQUIPMENT TO THE ELECTRIC SYSTEM OF**

Utility:

Customer:

Name: Phone: ())
Address: Fax: ())
Email:
Municipality:
Utility Account No.: Utility Meter No.:

Agent (if any):

Name: Phone: ())
Address: Fax: ())
Email:

Consulting Engineer or Contractor:

Name: Phone: ())
Address: Fax: ())
Email:

Estimated In-Service Date:

Existing Electric Service:

Capacity: _____ Amperes

Voltage: _____ Volts

Service Character: () Single Phase () Three Phase

Secondary 3 Phase Transformer Connection: () Wye () Delta

Location of Protective Interface Equipment on Property:

(Include address if different from customer address.)

Energy Producing Inverter Information:

Manufacturer:

Model No.:

Version No.:

() Synchronous () Induction () Other

Rating: _____ kW

Rating: _____ kVA

Rated Output: _____ VA

Rated Voltage: _____ Volts

Rated Frequency: _____ Hz

Rated Speed: _____ RPM

Efficiency: _____ %

Power Factor: _____ %

Rated Current: _____ Amps

Locked Rotor Current: _____ Amps

Synchronous Speed: _____ RPM

Winding Connection:

Min. Operating Freq./Time:

Generator Connection: () Delta () Wye () Wye Grounded

System Tested to UL 1741 (most current version) (Total System):

() Yes () No *If no, attach product literature.*

Equipment Tested to UL 1741 (most current version) (i.e., Protection System): ()

Yes () No *If no, attach product literature.*

Three Line Diagram attached: () Yes Verification Test

Plan attached: () Yes

If applicable, Certification to UL 1741 attached: () Yes

For Synchronous Machines:

Submit copies of the Saturation Curve and the Vee Curve

() Salient () Non-Salient

Torque: _____ lb-ft

Rated RPM:

Field Amperes: _____ at rated generator voltage and current

and _____ % PF over-excited

Type of Exciter:

Output Power of Exciter:

Type of Voltage Regulator:

Direct-axis Synchronous Reactance (X_d): _____ ohms

Direct-axis Transient Reactance (X'_d): _____ ohms

Direct-axis Sub-transient Reactance (X''_d): _____ ohms

For Induction Machines:

Rotor Resistance (R_r): _____ ohms Exciting Current: _____ Amps

Rotor Reactance (X_r): _____ ohms Reactive Power Required:

Magnetizing Reactance (X_m): _____ ohms, _____ VARs (No Load)

Stator Resistance (R_s): _____ ohms, _____ VARs (Full Load)

Stator Reactance (X_s): _____ ohms

Short Circuit Reactance (X''_d): _____ ohms,

Phases: () Single Phase () Three Phase

Frame Size: _____ Design Letter: _____

Temp. Rise: _____ °C

Step Up Transformer Winding Configuration:
() Wye-Wye () Wye-Delta () Delta-Wye

Signature:

CUSTOMER/AGENT SIGNATURE

TITLE

DATE

APPENDIX D

PRE-APPLICATION REPORT FOR THE CONNECTION OF PARALLEL GENERATION EQUIPMENT TO THE UTILITY DISTRIBUTION SYSTEM

Utility:

| DG Project Information: (Provided to Utility by Applicant) |
|--|
| Customer name |
| Location of Project: (Address/GPS Coordinates/Google Maps Location) |
| DG technology type |
| DG fuel source / configuration |
| Proposed project size in kW (AC) |
| Date of Pre-Application Request |
| |
| Pre-Application Report: (Provided to Applicant by Utility – 10 Business Days) |
| Operating voltage of closest distribution line |
| Phasing at site |
| Approximate distance to 3-Phase (if only 1 or 2 phases nearby) |
| Circuit capacity (MW) |
| Fault current availability, if readily obtained |
| Circuit peak load for the previous calendar year |
| Circuit minimum load for the previous calendar year |
| Approximate distance (miles) between serving substation and project site |
| Number of substation banks |
| Total substation bank capacity (MW) |
| Total substation peak load (MW) |
| Aggregate existing distributed generation on the circuit (kW) |
| Aggregate queued distributed generation on the circuit (kW) |

APPENDIX E

COST SHARING FOR SYSTEM MODIFICATIONS & COST RESPONSIBILITY FOR DEDICATED TRANSFORMER(S) AND OTHER SAFETY EQUIPMENT FOR NET METERED CUSTOMERS

The first project triggering an eligible upgrade will initially bear 100% of the cost, while subsequent projects benefitting from those upgrade will reimburse the first project developer. The share of the costs paid by subsequent developers shall be calculated by the utility as the ratio of the total upgrade cost to the total AC watts the upgrade serves. If a third project uses the upgrade, the utility will perform a new calculation based on the new number of total watts served; the third project will pay its share and the utility will divide the third project's contribution among the first two projects. Sharing continues according to this formula until the capacity of the upgrade is used up or the net costs to the participating projects falls to \$100,000 or lower, whichever comes first. The utilities shall administer the allocation process and track the payments among contributing projects. The utilities are authorized to collect a \$750 fee from applicants for processing each reimbursement. The Equipment Upgrade Cost Sharing Requirement is limited in several ways. First, cost sharing only applies to substation 3V0 protection, substation transformer upgrades, and other substation-level shared upgrades. Second, only those upgrades that cost in excess of \$250,000 are subject to sharing. Third, projects below 200 kW AC in size are not required to participate.

APPENDIX E

COST SHARING FOR SYSTEM MODIFICATIONS & COST RESPONSIBILITY FOR DEDICATED TRANSFORMER(S) AND OTHER SAFETY EQUIPMENT FOR NET METERED CUSTOMERS

| Generator Type | Generator Size | Equipment Cost to Residential Net Metered Customers | Equipment Cost to Non-Residential Net Metered Customers**** |
|----------------|-----------------------------|---|---|
| Wind ** | Less than or equal to 25 kW | \$750 maximum | \$750 maximum |
| Wind | Over 25 kW up to 2 MW | N/A | As determined by Utility* |
| Farm Wind *** | Over 25 kW up to 500 kW | N/A | \$5,000 maximum*** |

* Subject to review by the Commission at the request of the Customer. Such costs can include the total costs for upgrades to ensure the adequacy of the distribution system which would not have been necessary but for the interconnection of the net metered DG resource (as per PSL §66-1(3)(c)(iii)).

** Residential and Non-Residential Wind Customers with a total rated capacity up to 25 kW, Farm Wind may be required to also pay for feeder line upgrades that would not be required but for the interconnection of the net metered DG resource. Residential and Non-Residential Wind, and Farm Wind Customers are responsible for all feeder line upgrade costs if the total nameplate rating of the generating equipment exceeds 20% of the rated capacity of the feeder line (as per PSL §66-1(5)(c)(ii)). Farm Wind Customers are responsible for 50% of feeder line upgrade costs if the total nameplate rating of the generating equipment does not exceed 20% of the rated capacity of the feeder line (as per PSL §66-1(2)).

*** For Farm Wind projects with a total nameplate rating of the generation equipment that does not exceed 20% of the rated capacity of the local feeder line to which the project will connect, that portion of the CESIR costs related to transformers or other equipment installed at the customer's site is included in the \$5,000 limitation; however, the customer is also responsible for 50% of the CESIR costs related to feeder line upgrades. Farm Wind projects with a total nameplate rating of the generation equipment that does exceed 20% of the rated capacity of the local feeder line to which the project will connect, CESIR costs related to transformers or other equipment installed at the customer's site is included in the \$5,000 limitation; however, Farm Wind customers are responsible for the CESIR costs related to feeder line upgrades.

APPENDIX F

| | |
|--|---|
| Completed standard application form | ✓ |
| New York State Standardized Acknowledgement of Property Owner Consent Form – For Systems above 50 kW up to 5 MW Only – Refer to Appendix H for form | ✓ |
| For residential systems rated 50 kW and below, provide signed copy of the standard contract | ✓ |
| Letter of authorization, signed by the Customer, to provide for the contractor to act as the customer’s agent, if necessary | ✓ |
| If requesting a new service, a site plan with the proposed interconnection point identified by a Google Earth, Bing Maps or similar satellite image. For those projects on existing services, account and meter numbers shall be provided | ✓ |
| Description / Narrative of the project and site proposed. If multiple DG systems are being proposed at the same site/location, this information needs to be identified and explained in detail. For Energy Storage Systems, all items listed in Appendix K shall be provided | ✓ |
| DG technology type | ✓ |
| DG fuel source / configuration | ✓ |
| Proposed project size in AC kW | ✓ |
| Project is net metered, remote, or community net metered | ✓ |
| Metering configuration | ✓ |
| Copy of the certificate of compliance referencing UL 1741 | ✓ |
| Copy of the manufacturer’s data sheet for the interface equipment | ✓ |
| Copy of the manufacturer’s verification test procedures, if required | ✓ |
| System Diagram - A three line diagram for designs proposed on three phase systems, including detailed information on the wiring configuration at the PCC and an exact representation of existing utility service. One line diagrams shall be acceptable for single phase installations | ✓ |

APPENDIX G

PRELIMINARY SCREENING ANALYSIS

All Preliminary Screens (A-F) shall be completed by the utility and results shall be provided to the applicant in accordance with Section C, Step 4.

Screen A: Is the PCC on a Networked Secondary System?

Does the proposed system connect to a secondary network system?

Screen B: Is Certified Equipment Used?

Does the applicant propose to use equipment that has been listed to meet UL 1741 (Inverters, Converters and Charge Controllers for Use in Independent Power Systems) and for inverter based equipment, UL 1741 and its supplement SA by a nationally recognized testing laboratory?

Screen C: Is the Electric Power System (EPS) Rating Exceeded?

Does the maximum aggregated generation or loading capacity connected to an EPS (existing, approved and being considered) exceed any EPS ratings (modified per established utility practice)?

Screen D: Is the Line Configuration Compatible with the Interconnection Type?

Identify primary distribution line configuration that will serve the distributed generation or energy storage. Based on the DER interconnection and using the table below, determine compatibility with the electric power service, including, phase balance, line and grounding configuration. The following table shall be used to determine risk for ineffective grounding

| Primary distribution line configuration | Type of DER connection to primary | Result/Criteria |
|---|-----------------------------------|---|
| Three-phase, three-wire | 3Any type | Pass Screen |
| hree-phase, four-wire >5 kV | ESingle-phase line-to-neutral | Pass Screen |
| AllThree-phase, four-wire (For any line that has sections or mixed three-wire and four-wire) | SAll others | FailTo pass, aggregate DER nameplate rating must be less than or equal to 10% of line-section peak load |

Based on aggregate DG on the feeder, is phase balancing maintained within utility limits?

Screen E: Simplified Penetration Test

If the aggregate DER capacity on any medium voltage line section (existing and approved prior to application) is less than 15% of the annual peak load for all line sections bounded by automatic sectionalizing devices upstream of the DER?

Screen F: Is Feeder Capacity Adequate for Individual and Aggregate DG?

Is the feeder available short circuit capacity at the medium voltage PCC, divided by the rating of the individual DG, greater than 25? Is the feeder available short circuit capacity at the substation divided by the capacity all aggregate DG on the feeder, greater than 25?

SUPPLEMENTAL SCREENING ANALYSIS

All Supplemental Screens (G-I) shall be completed by the utility and results shall be provided to the applicant in accordance with Section C, Step 4.

Screen G: Supplemental Penetration Test

Where 12 months of line section minimum load data are available, can be calculated, can be estimated from existing data, or determined from a power flow model, is the aggregate DER capacity on the Line Section less than 100% of the minimum load for all line sections bounded by automatic sectionalizing devices upstream of the DER? Note the calculation of minimum load should consider both generation and charging modes of DER when energy storage is involved. Both generation and load limits need to be considered.

Screen H: Voltage Flicker Test

Can it be determined within the Supplemental Review that the voltage fluctuation is within acceptable limits as defined by IEEE 1453

Voltage flicker emission generated by each fluctuating installation (P_{st}) should be limited to its emission limit (E_{pst}). It fails the screen if P_{st} is higher than 0.35, then detailed voltage flicker study may be considered.

P_{st} can be calculated using the following formula:

$$P_{st} = d \times \frac{F}{d_{pst=1}} = \frac{\Delta S}{S_{SC}} \times \frac{0.2}{2.56\%}$$

- $d \sim \left(\frac{\Delta S}{S_{SC}} \right)$ is the relative voltage change caused by the project
- ΔS is the power variation from the project
- S_{SC} is the available short-circuit capacity of area EPS at the PCC
- F is the shape factor related to the shape of expected voltage fluctuation (conservatively, F can be considered equal to 0.2 if detailed information is not available)
- $d_{pst=1}$ is the relative voltage change that yield P_{st} value of unity assuming rectangular voltage fluctuation (2.56% assuming 1 dip per second)

Screen I: Operating Limits, Protection Adequacy and Coordination Evaluation

Review the installation based on the JU Unintentional Islanding Protection Practice, Version 1.2-2/9/2017. Identify islanding related protection concerns and requirements by application of the JU flow charts. Consider operation mode options (such as energy storage back feed relay, changing limit or reactive power control options). Also, evaluate protection coordination and coverage, breaker ratings, fault current coordination for relays and 3V0 protection (where applicable). Determine if there are any required changes in protection setting or additions. If yes (fails supplemental screening), a quick review of the failure may determine the requirements to address the reason for failure; otherwise the Interconnecting Customer will be provided with information on the specific points of failure in the supplemental review results and may elect to go to the Coordinated Electric System Interconnection Review (CESIR) process.

APPENDIX H

New York State Standardized Acknowledgment of Property Owner Consent Form

Interconnecting Utility: _____ **Utility Project Number**
(if available): _____

(Note: This Acknowledgment is to be signed by the owner of the property where the proposed distributed generation facility and interconnection will be placed, when the owner or operator of the proposed distributed generation facility is not also the owner of the property, and the property owner's electric facilities will not be involved in the interconnection of the distributed generation facility.)

This Acknowledgment is executed by _____,
(the "Property Owner"; as used herein the term shall include the Property Owner's successors in interest to the Property), as owner of the real property situated in the City/Town of _____, _____ County, New York, known as _____ [street address] (the "Property"), at the request of _____ [name of Developer] (the "Developer"; as used herein the term shall include the Developer's successors and assigns).

This Acknowledgment does not grant or convey any interest in the Property to the Developer.

1. The Property Owner certifies as of the date indicated below that the Property Owner is working exclusively with the Developer on a proposal to install a distributed generation facility (the "Facility") on the Property.

OR

2. The Property Owner certifies as of the date indicated below that the Developer has executed with the Property Owner one of the following: a signed option agreement to lease or purchase the Property, an executed Property lease, or an executed purchase agreement for the Property granting the Developer a right to use the Property for purposes of installing the Facility.

Property Owner:

Developer:

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

APPENDIX I
New York State Standard Moratorium Attestation Form

[UTILITY COMPANY NAME]
 [UTILITY DEPT. NAME AND CONTACT NAME]
 [UTILITY STREET ADDRESS]
 [CITY/TOWN, New York [ZIP CODE]

| | | | |
|------------|-----------|--------------------------|---------------------|
| Re: | DEVELOPER | [name] | |
| | | [contact information] | |
| | PROPERTY | PROJECT | [utility ID number] |
| | | [street address] | |
| | | [municipality/county] | |
| | | [city/town and zip code] | |

_____ [DEVELOPER NAME] hereby attests that it will notify the
 interconnecting utility identified above of the date that the moratorium on solar
 development in
 _____ [MUNICIPALITY NAME] is lifted.

By signing below, Developer confirms that this attestation is true and correct.

By: _____

Printed Name: _____

Title: _____

Date: _____

APPENDIX J
New York State Standard Site Control Certification Form

[UTILITY COMPANY NAME]
 [UTILITY DEPT. NAME AND CONTACT NAME]
 [UTILITY STREET ADDRESS][CITY/TOWN, New York
 [ZIP CODE]

| | | |
|------------|-----------|--------------------------|
| Re: | DEVELOPER | [name] |
| | | [contact information] |
| | PROJECT | [utility ID number] |
| | PROPERTY | [street address] |
| | | [municipality/county] |
| | | [city/town and zip code] |

_____ (the "Property Owner") is the owner of the above-referenced property (the "Property"). _____ (the "Developer") is the developer of the project identified above.

The Property Owner and the Developer have entered into an agreement authorizing the Developer to use the Property for the purpose of constructing and operating a distributed generation facility. The type of agreement that is in place is indicated below by a check mark.

| | |
|--|--|
| | Signed option agreement to lease or purchase the Property |
| | Executed lease agreement for the Property |
| | Executed agreement to purchase the Property |
| | License or other agreement granting exclusive right to use the Property for purposes of constructing and operating the distributed generation facility |

Property Owner and Developer entered into the agreement on or about _____
 (MM/DD/YYYY)

Term of Agreement (including options to extend) _____
 (MM/DD/YYYY)

Property Owner

Developer

By: _____

By: _____

Printed Name: _____

Printed Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

APPENDIX K

Energy Storage System (ESS) Application Requirements / System Operating Characteristics / Market Participation

Application Requirements:

- a. Provide a general overview / description and associated scope of work for the proposed project. Is the new ESS project associated with a new or existing DG facility?
- b. Identify whether this is a Stand-Alone or Hybrid ESS proposal.
- c. Indicate the type of Energy Storage (ES) technology to be used. For example, NaS, Dry Cell, PB-acid, Li-ion, vanadium flow, etc.
- d. Indicate how the ESS will be charged and/or act as a load: (1) Electrical Grid Only, (2) Unrestricted charging from Electrical Grid and/or DG system, (3) Restricted charging from Electrical Grid and/or DG Systems, or (4) DG only.
- e. If the intended use case for the ES includes behind-the-meter backup services, please provide a description and documentation illustrating how the entire system disconnects from utility during an outage (e.g. mechanical or electronic, coordination, etc.).
- f. Provide the data sheet for the battery portion of the energy storage equipment. including the model, capacity (kWh), and manufacturer
- g. Provide specification data/rating sheets including the manufacturer, model, and nameplate ratings (kW) of the inverter(s)/converters(s) for the energy storage and/or DG system.
- h. Indicate any impacts of ambient temperatures on charging and discharging capabilities, specifically noting any restrictions on available capacity as a function of temperature and listed on the system facility's nameplate.
- i. Provide details on cycling (anticipated maximum cycles before replacement), depth of discharge restrictions, and overall expected lifetime regarding the energy storage components.
- j. Provide proposed inverter(s) power factor operating range and whether inverter(s) are single quadrant, two-quadrant, or four-quadrant operation.
- k. Provide specification data/rating sheets including the manufacturer, model, and nameplate ratings (kW) of the inverter(s)/converters(s) for the energy storage and/or DG system.
- l. Provide details on whether the inverter(s)/converter(s) have any intrinsic grid support functions, such as autonomous or interactive voltage and frequency support. If they do, please describe these functions and default settings.
- m. Indicate whether the ES and DG system inverter(s)/converter(s) are DC-coupled or AC-coupled.
- n. Indicate whether the system inverter(s)/converter(s) is/are listed on the NY DPS "Certified Interconnection Equipment List"
 - a. If the interconnected inverter(s)/converter(s) are not listed on the "Certified

- Interconnection Equipment List” but are certified, provide a copy of the certificate of compliance.
- b. If the interconnected inverter(s)/converter(s) are not listed on the “Certified Interconnection Equipment List, or the storage and paired DG are AC coupled, please detail the use of control systems such as utility grade relays including AC and DC control schematics and relay logic.
 - c. If the interconnected inverter(s)/converter(s) are not listed on the “Certified Interconnection Equipment List”, please detail the verification of protection operation in equivalent deployments of the equipment configuration. For example, if this exact configuration has been previously deployed, please describe the project and reference the commissioning/test report.
 - d. Identify if inverter analytical models are available for use in the utility’s power flow analysis program, and if there are any restrictions on their use.
 - o. Indicate whether the interconnected inverters inverter(s)/converter(s) is/are compliant to the latest versions of the following additional standards. If partially compliant to subsections of the latest standards, please list those subsections:
 1. IEEE 1547a
 2. UL 1741 and its supplement SA
 - p. If the interconnected inverter(s)/converters are not compliant with the previously listed additional standards, please describe show utility grade protection, relay and controls are implemented between your hardware and the utility.
 - q. Detail any integrated protection that is included in the interconnected inverter(s)/converters. For example, describing over/under-voltage/current frequency behavior and reconnection behavior would comply, such as solid state transfer switching or other.

System Operating Characteristics:

- a. Identify the maximum nameplate rating in kW ac for each source (storage, any paired inverter-based distributed generation).
- b. Identify the maximum net export and import of the Hybrid or Stand-Alone system in kW ac
- c. Indicate the maximum ramp rates during charging and discharging.
- d. Indicate the maximum frequency of change of operating modes (i.e. charging to discharging and vice-versa) that will be allowed based upon control system configurations
- e. Indicate any specific and/or additional operational limitations that will be imposed (e.g. will not charge between 2-7pm on weekdays).
- f. Provide a summary of protection and control scheme functionality and provide details of any integrated protection of control schematics and default settings within controllers.
- g. Provide descriptions of any software functionality that enables intelligent charging and discharging of the ESS using interconnected DG, such as PV. For example, if the ESS can be charged only through the DG input, or if the ESS can be switched to be charged from the line input, provide those details in a sequence of operations. Provide details on grounding of the interconnected energy storage and/or DG system to meet utility effective grounding requirements.
- h. Provide short circuit current capabilities and harmonic output from the Hybrid Project or

stand-alone storage system

- i. Provide details on standard communication hardware interfaces that are available, e.g., TCP/IP, serial, etc.
- j. Provide details on standard communication protocols that are available, e.g., MODBUS, DNP-3, 2030.5, etc.
- k. Provide details on standard communication data models that are available, e.g., 61850-90-7, SunSpec, MESA, etc.

Market Participation:

- a. Will the system operate in the NYISO markets? If yes, please specify.
- b. Will the system be compensated under a utility tariff(s)? If yes, please specify.

The market participation information is non-binding; however, the operating characteristics as defined above are what will be used for technical study.