

2023 PROGRAM MANUAL

ENTERGY SOLUTIONS

Energy Efficiency Program

Entergy Texas



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PROGRAM OVERVIEW

BACKGROUND

The Entergy Texas Entergy Solutions Program was developed in 2008 to comply with State of Texas energy efficiency goals to reduce peak electric demand. In 1999, the state legislature passed Senate Bill 7, which restructured the state's electric utility industry and set initial energy efficiency goals for investor-owned utilities. In 2007, House Bill 3693 was passed and expanded these energy efficiency goals.

The Entergy Texas Entergy Solutions Program, referred to as the Program, is now in its eleventh year and all associated services are available to participants at **NO COST**.

PROGRAM OBJECTIVES

The Entergy Solutions Program is a market transformation program offered to select electric commercial customers of Entergy Texas.

Program Objectives include:

- Encourage delivery of energy efficiency products and services to the targeted markets.
- Transform these targeted markets over time by addressing specific barriers that hinder adoption of energy efficient technologies and practices.
- Provide a suite of educational and support services to facilitate the implementation of energy efficiency projects.
- Create a simple and streamlined program process to stimulate strong participation from the targeted markets.

The Program seeks to accomplish these objectives through a variety of services. First, the Entergy Solutions Program helps senior management and facility supervisors operate their buildings more efficiently by understanding the technical and financial benefits of investing in energy efficiency and developing a plan to make energy efficiency improvements. Customers enrolling in the Program, referred to as Partners, receive technical and energy management assistance to help them make decisions about cost effective investments in facility energy efficiency. Partners also receive direct cash incentives for completed energy efficiency projects.

Other program services may include the identification and evaluation of opportunities for energy efficiency measures and communications support. The Entergy Solutions Program works with Partners to determine the most appropriate set of services to offer in order to address both immediate and longer-term needs.

While the Program does provide some technology recommendations it does not require specific technologies or end uses. Instead, the Program provides a framework through which the Partner can receive incentives for implementing and installing a wide range of qualifying measures at their sites.

In addition to Entergy Texas electric commercial customers, or Partners, the Entergy Solutions Program involves the Program Sponsor, Entergy Texas, Inc., and the Program Implementer, CLEARresult. The roles and responsibilities of each are defined in the Program Roles & Responsibilities section of this Program Manual.

NOTE: Entergy Texas will not directly market any energy efficiency-related products or services to its customers. Entering into an agreement with Entergy Texas does not imply Entergy Texas' endorsement or approval of any products or services. Entergy Texas makes no representation of the benefits of any particular technology or energy efficiency measure eligible for incentives under this program. The selection of an energy efficiency measure is at the discretion of the individual customer.

PROGRAM GOALS

The ENTERGY SOLUTIONS Program will work to achieve goals for both peak demand (kW) and annual energy savings (kWh) within a set Program incentive budget. The 2023 Entergy Solutions goals and incentives are listed in the following table.

kW	kWh	Cash Incentives
4700	19,500,000	\$1,300,000

While the main goal of the program is to reduce peak demand at Entergy Texas customer sites and reach the demand reduction goals established by Senate Bill 1125, there are secondary program goals that are reflected in the program rules and procedures, including:

- Encourage private sector delivery of energy efficiency products and services.
- Encourage customer energy and bill savings.
- Stimulate investment in efficient technologies most likely to reduce Entergy Texas's peak capacity requirements during 2023
- Create a simple and streamlined program process to stimulate strong program participation from energy service providers.
- Minimize the burden of M&V requirements associated with standard offer programs by offering deemed or simple savings calculations for many measures.

PROGRAM ELIGIBILITY

The 2023 Entergy Solutions Program is currently being offered as a full program and select non-industrial, commercial electric distribution customers of Entergy Texas are eligible to participate in the Program.

NOTE: Customers must have under 69kVa load in order to qualify for participation in the Program.

A customer is defined by a single Tax ID number. Multiple locations are thereby considered a single customer, regardless of the number of Entergy Texas account numbers and meters servicing that customer. For a specific location to be eligible for financial incentives from the Program its electric account number and meter number, noted on an electric bill, must be provided in order to verify the location's electric service is provided by Entergy Texas.

To participate in the Entergy Solutions Program please refer to the Program Enrollment and Contacts section of this Program Manual.

PROGRAM ROLES & RESPONSIBILITIES

PROGRAM SPONSOR

The Program Sponsor, Entergy Texas is responsible for:

- Authorizing and issuing incentive payments for completed projects.
- Post-inspection of all projects that are estimated to save 50 peak kW or more.
- Overseeing the Program Implementer.

PROGRAM IMPLEMENTER

CLEAResult was selected by Entergy Texas to serve as the Program Implementer for the Entergy Solutions Program. CLEAResult is responsible for:

- Conducting outreach to potential Program Partners.
- Approving Program Partner eligibility and enrollment.
- Providing some or all of the following services based on the specific Partner's needs as assessed by Entergy Texas and CLEAResult to include education, training, technical assistance and PR/communications support.
- Making recommendations for higher efficiency options.
- Conducting formal onsite pre- and post-installation inspections of eligible projects to approve kW and kWh savings and incentive amounts.
- CLEAResult will perform all required pre-inspections and post-inspections for projects estimated to save less than 50 peak kW.
- Validating and quantifying the demand and energy savings for all projects.

PROGRAM PARTNER

To participate in the Entergy Texas Entergy Solutions Program, a Program participant, or Partner, will be asked to fulfill a combination of the following requirements as determined by consulting with CLEAResult:

- Commit to the terms of the Entergy Solutions Letter of Intent (LOI).
- Submit all necessary supporting documentation for eligible energy efficiency projects in order to reserve incentives through the implemented partner portal located at <https://applications.entergytxsolutions.com>.
- Provide any and all project data including plans, submittals, COMCheck reports, equipment audits, calculation forms, project narrative or scope, savings statement, project cost and supporting invoices.
- Exert best efforts to approve, fund and install cost-effective energy efficiency projects identified through the Program before the last day of the program year.
- Notify Program team when projects are completed.

- Provide access to project facilities with ample lead time, both before and after projects are complete, for inspections required to verify electric demand and energy savings. New construction projects do not require inspections before project completion.
- Participants in the 2023 Entergy Solutions Program must meet minimum eligibility criteria, comply with all program rules and procedures, submit documentation describing their projects, and sign an LOI with Entergy Texas.
- The program will accept proposed projects starting Jan. 2, 2023 until program incentives are fully reserved. Program year ends on Nov. 15, 2023. Projects are reserved on a first-come, first-served basis.
- We encourage recycling of lamps for lighting projects and all projects where possible.

PARTICIPATING CONTRACTOR

- Complete program required training and adhere to program guidelines outlined in the CoolSaver Program Manual
- Respond to customer requests in a professional and timely manner
- Perform A/C and Heat Pump system tune-ups or replacements at qualifying customer sites and submit appropriate documentation with each application
- Obtain a signed Host Customer Agreement from the customer and send to CLEAResult
- Perform all work to the required standards of the Program
- Submit required project information and supporting documentation in order to receive financial incentives

NOTE: Entergy Texas will not reimburse a Partner for any costs the Partner may incur by participating in the Entergy Solutions Program. Any financial investments a Partner makes through the course of participating in the Program are for the energy efficiency measures they elect to pursue and NOT for any of the services that are provided through the Entergy Solutions Program. Financial incentives for demand and energy savings are paid to Partners upon verification and approval of completed energy efficiency projects.

PROGRAM OUTREACH & MARKETING

The Program will use the following marketing and outreach strategies to engage and enroll customers.

Upstream Outreach – Work directly with installers, distributors and trade associations to educate them on the Program and develop a robust network of service providers that will implement energy savings measures and deliver savings to Entergy Texas customers.

Downstream Outreach – Work with Entergy Texas key account managers and public affairs personnel to recruit or re-enroll commercial customers. The Program will also leverage existing relationships to explore opportunities with targeted markets. The Program will schedule and conduct phone calls and face-to-face meetings with these customers.

Program Website – The Program will host and maintain a program website with content specific to the targeted markets focused on helping customers relate to and identify opportunities for their specific types of facilities.

Program Social Media Posts – The Program will develop and distribute social media posts to promote the program and inform our program participants of current Program updates.

Trade Shows and Conventions – The Program will look for opportunities to represent the Program at state and regional conferences to educate contractors and building owners about the Entergy Solutions Program.

INCENTIVES

There are a variety of incentives available to Partners in order to assist with identification, evaluation and implementation of eligible energy efficiency projects. Program incentives include a mix of cash and non-cash incentives as described below. CLEAResult will work with enrolled Partners to determine the appropriate non-cash incentives to provide in addition to assisting with identification and development of projects that may be eligible for cash incentives.

NON-CASH INCENTIVES

Technical Assistance and Project Identification – The Entergy Solutions Program provides technical support to help Partners identify and evaluate energy efficiency opportunities in order to determine viable projects. As part of this service, the Program also educates senior decision makers on project financing options when funding sources are not immediately available.

Communications and Program Support – The Entergy Solutions Program provides press releases and other communications support to inform each community about the steps their area businesses and organizations are taking to improve the energy performance of their facilities, reduce operating costs and use budget dollars more efficiently.

CASH INCENTIVES

The Entergy Solutions Program provides cash incentives based on reductions in peak electric demand (kW) and energy consumption (kWh) at a Partner's facility. These incentives help the Partner to "buy down" the incremental cost of purchasing more energy efficient equipment and are meant to encourage adoption of construction and maintenance practices which will reduce energy operating costs. The 2023 Program cash incentives are listed in the table below.

2023 Commercial Solutions Program		
Lighting	\$165/kW	\$0.01/kWh
HVAC	\$250/kW	\$0.02/kWh
Refrigeration	\$275/kW	\$0.02/kWh
Roofing	\$250/kW	\$0.02/kWh
Other	\$165/kW	\$0.02/kWh

INCENTIVE BASIS

Financial incentives received through the Program will be based on a project's reductions in peak electric demand (kW) and energy consumption (kWh/year) as determined pursuant to this Program Manual and the Public Utility Commission of Texas Technical Resource Manual (TRM) found at:

<http://www.texasefficiency.com/index.php/regulatory-filings/deemed-savings>. Demand and energy savings will be calculated using the definitions provided above and according to one of three Measurement & Verification (M&V) approaches.

Deemed or Stipulated Savings – The most common approach, deemed or stipulated savings, is based on standardized savings values or simple formulas for a range of measures in representative building types. This approach is suitable for a variety of projects where energy and demand savings may be estimated to a reasonable degree of accuracy without additional measurement and verification (M&V). Variables such as operating hours, coincident usage with peak electric demand period, and energy consumption of existing equipment are assumed in these cases according to previously gathered data. The Partner is not required to perform any M&V activities when using deemed or stipulated savings. For example, projects that replace DX units or T12 lamps and ballasts with new, high performance alternatives would typically be eligible for deemed savings and would not require further field measurements.

Simple Measurement and Verification (Simple M&V) – Savings values using this approach are based on simple engineering calculations using typical equipment characteristics and operating schedules developed for particular applications including some short-term testing or simple metering. Please contact CLEAResult when determining whether to employ the Simple M&V approach. An M&V plan is required to be submitted before the project begins for this M&V approach.

Measured Savings or Full M&V – With this approach actual measurements and analysis through metering, billing, regression analysis or energy modeling are relied upon to calculate peak electric demand savings and energy savings. There are specific M&V procedures based on the International Performance Measurement and Verification Protocol (IPMVP). This protocol serves as the starting point for standard industry practice and specifies how and what M&V procedures are used for calculating demand and energy savings. More information about the IPMVP may be found at www.evo-world.org. Partners selecting this option must submit an M&V plan before the project begins. Proposed M&V plans must then be approved by CLEAResult before any associated measures are installed.

The savings methodologies described above differ in terms of detail and rigor. Methodologies are chosen based upon the predictability of equipment operation and availability of previous program data and cost.

NOTE: A Partner may be responsible for the additional costs associated with M&V activities for a project when the simple M&V or full M&V approaches are selected. M&V activities and responsibilities may be assigned to a third-party contractor or, in some limited cases, conducted by CLEAResult. These M&V activities and costs are NOT required for participating in the Program but may be justified for specific projects.

INCENTIVE RESERVATION

Cash incentives are subject to availability and are reserved on a first-come, first-served basis. In order to receive cash incentives from the Entergy Solutions Program a Partner must first complete and submit all required enrollment documents. In addition, a detailed scope of work, project timeline and necessary supporting documentation for each Entergy Solutions project must be provided.

Program team will review submitted project documentation and approve eligible projects for an initial incentive reservation. A Project Application Form will need to be signed and returned to Entergy Solutions to record the date of reservation. The incentive reservation amount may be adjusted during the course of the program year according to changes in the estimated savings. Program team may choose to update the

Partner on significant changes to the reserved incentives amount for their projects. If the Program is fully subscribed at the time a project is completed, Entergy Texas is not required to pay the Partner in excess of 100% of the incentives reserved for the project.

More detailed information about the process for reserving cash incentives is provided in the Project Definition & Requirements section, Project Approval Process section and Funding Limitations section of this Program Manual.

INCENTIVE PAYMENT

Any cash incentives received through the Program are paid directly to the Partner after the project is completed, verified and, if necessary, a post-installation inspection is conducted. For projects that are utilizing either simple M&V or full M&V savings methodologies incentive payments will be made after completion of all verification activities using the IPMVP procedure.

Payment may be made to an alternative party at the discretion of the Program Partner. The Partner will need to complete an Alternative Incentive Recipient Form to redirect payment of incentives. Please see the Alternative Incentive Recipient Form in the Appendix of this Program Manual.

FUNDING LIMITATIONS

Both the cash and non-cash incentive budgets available through the Entergy Solutions Program are limited. In the event that incentive reservations exceed the program budget for incentives, the Program is considered fully subscribed. Projects that are submitted to the Entergy Solutions Program after the Program is fully subscribed will be added to a project waitlist.

Any Partners submitting projects that are unable to receive cash incentives in the current program year due to oversubscription may choose to continue with their installation without incentives or delay the project and reapply for incentive funds during the next program year when a new incentive budget becomes available.

Funds for each year are paid on a first-come first-served basis. Depending on the incentive funds that remain available in the Program at the time the project is completed, the Partner may be paid only as much as there are remaining funds in the Program that program year.

To ensure that incentives are available to multiple customers and energy efficiency service providers, no Project Sponsor, or combination of affiliated Project Sponsors, may reserve or receive more than 20% of the total Program incentive budget (\$248,932.80 as of January 2023) in a given budget year.

For projects using only deemed savings, requiring no M&V activities beyond installation, the customer or project sponsor is eligible to receive 100% of the project incentive payment after the project is installed and approved by program team.

For all other projects, M&V activities must be completed, documented, and accepted before customer or Project Sponsor will receive the remaining incentive payment, based on the one-year verified savings. Entergy Texas will pay in two installments: The Installation Payment and the Performance Payment. After each project is installed and approved by Entergy Texas, the customer or Project Sponsor will receive an initial payment of 40% of the total estimated project incentive payment. Following project completion plus one year, "Performance Payment" may be up to 60% of the total estimated incentive payment.

PROJECT ELIGIBILITY

PROJECT DEFINITIONS & REQUIREMENTS

A project, for Program purposes, is defined as one or more proposed peak demand saving measure types at one facility owned or operated by a Partner.

All measures must meet the following requirements:

- It must result in a measurable and verifiable electric demand reduction during either the summer peak period, defined as between 1 p.m. and 7 p.m. Monday through Friday for the months of June through September, excluding weekends and Federal holidays, or the winter peak period defined as between the hours of 6 a.m. and 10 a.m., and 6 p.m. and 10 p.m. during the months of December, January and February, excluding weekends and Federal holidays.
- It must produce electric demand savings through an increase in energy efficiency.

NOTE: New equipment must exceed minimum equipment efficiency standards as described in the TRM 9.0 found at <http://www.texasefficiency.com/index.php/regulatory-filings/deemed-savings>.

Multiple projects at multiple site locations may be applied for on one Letter of Intent (LOI) Form. Comprehensive projects that include a range of measure types are encouraged, though each measure must be treated as a separate project for project approval purposes. For example, light fixture retrofits and HVAC split system replacements at the same facility by the same Partner would be treated as two separate projects.

If the measures and sites proposed are all similar, one project may involve the installation of measures at multiple customer sites. For example, installation of measures at a chain of department stores may include more than one customer site but may constitute a single project. These sites would share a common M&V plan. All sites and measures must be installed before the first payment will be made.

ELIGIBLE MEASURES

The energy efficiency upgrade measures in the list below are measurable by deemed savings calculations and are eligible for the Entergy Solutions Program. Savings based on the deemed savings approach apply where NO unusual conditions exist. Deemed savings measures require no short-term testing or long-term metering. Detailed descriptions of each available deemed measure's savings and documentation approach can be found in the TRM 9.0 found at <http://www.texasefficiency.com/index.php/regulatory-filings/deemed-savings>.

- LIGHTING EFFICIENCY
 - Lamp and Ballast Replacements
 - Exterior Lighting
 - High Intensity Discharge (HID) Fixture Replacements
 - Hard-Wired Compact Fluorescent Lamps (CFLs)
 - Light Emitting Diode (LED) Lighting, Traffic Signals, etc.
 - LED tubes must be DLC certified: Type B (direct wired) or Type C (external driver)
 - NOTE: Type A (Plug-In-Play) are not eligible for program incentives
 - LED fixtures are required to be on the DesignLights Consortium 5.1, DOE LED Lighting Facts, or ENERGY STAR® qualified product list.
 - A requirement for all T8 fluorescent systems: all post-retrofit technologies must use reduced wattage T-8 systems or high-performance T-8 systems and meet the High Performance and Reduced Wattage lamp and ballast efficiency specifications developed by the Consortium for Energy Efficiency (CEE) as published on the CEE website.
- UNITARY AIR CONDITIONING AND HEAT PUMP EQUIPMENT
 - Air Cooled Air Conditioners

- Water and Evaporative Cooled Air Conditioners
- Air Cooled Heat Pumps
- Variable Frequency Drives for Air Handling Units
- WATER CHILLING EQUIPMENT (CHILLERS)
 - Screw—Air Cooled
 - Reciprocating—Air Cooled
 - Reciprocating—Water Cooled
 - Rotary/Screw/Scroll—Water Cooled
 - Centrifugal—Water Cooled
 - If the project is to replace the early-retired cooling equipment with more efficient equipment, the baseline efficiency will be the applicable ASHRAE 90.1 efficiency standard of the year when the replaced system is manufactured.
- BUILDING ENVELOPE (Retrofit and Replacement projects only)
 - Roofing – When ‘R’ value is increased
 - Windows – South and West oriented windows only
- PREMIUM EFFICIENCY MOTORS
- REFRIGERATION
 - Solid and Glass Door Reach-Ins
 - Electronic Defrost Controls
 - ECM Evaporator Fan Motors
 - Evaporator Fan Controls
 - Cooler Night Covers
 - Strip Curtains
 - Zero-Energy Doors
 - Door Heater Controls
- FOOD SERVICE MEASURES
 - Electric Convection Ovens
 - Electric Combination Ovens
 - Energy Star® Dishwashers
 - Energy Star® Steam Cookers
 - Energy Star® Fryers
 - Energy Star® Hot Food Cabinets
 - Vending Machine Controls
 - Pre-Rinse Spray Valves
 - Demand Controlled Kitchen Ventilation (DCV)
- LIGHTING AND HVAC CONTROLS
 - VFDs on Air Handlers
 - Lighting Demand Controls
 - Electric Arc Furnaces (EAFs)
 - Occupancy Controls (Lighting and HVAC)
 - Rotary/screw/scroll – water cooled
 - Centrifugal – water cooled
- FUEL SWITCHING
 - Electric to gas fuel switching measures may be eligible. Please check with your Program representative regarding specific project opportunities.
- POOL PUMPS
 - Energy Star® 1 to 3 HP variable speed pool pumps. Pumps over 3 horsepower or multispeed will require a Custom project.

submission and implementation of an M&V plan to be paid for by the Partner. Please see the Incentives Basis section of this Program Manual for further information on preparing and implementing an M&V plan.

The following measures are excluded from consideration in the program:

- Measures that involve plug loads, e.g. office equipment.
- Measures that achieve savings through equipment maintenance, recommissioning or operational changes, without an equipment efficiency upgrade.
- Measures that result in negative environmental or health effects.
- Lighting de-lamping: Only removing bulbs or tubes.
- Measures that involve fuel-switching to electric.
- Type A LED Tubes (Plug-And-Play)
- Measures that receive an incentive through any other energy efficiency program offered by Entergy Texas.

In general, project incentives will be paid only for energy and demand savings directly related to end-use equipment installed as part of the project. Measures that generate savings from interactive effects between end-use equipment will be considered on a case-by-case basis. The exception is that savings due to interactive effects between lighting and a space-cooling measure are eligible based on a stipulated value in cases where lighting measures have been installed in a cooled space as part of the project.

PROGRAM SOFTWARE AND SAVINGS CALCULATORS

Participation in the Entergy Solutions Program does not require the Partner to have any specific software. The Program will utilize and make available approved savings calculators and will assist with the completion of savings calculations.

PROJECT APPROVAL PROCESS

Once a Partner has joined the Program the Partner may begin submitting projects for approval using the project approval process via the Entergy Partner Portal. Please see the Program Enrollment section of this Program Manual. The purpose of the project approval process is to provide Partners with the security of reserved incentive funds. There is no financial commitment required to reserve incentives in the Program, though providing all project documentation does signify a commitment from the Partner that the included projects will be completed during the program year the project is submitted.

Once the project is submitted, written approval by CLEAResult is required before incentive funds are officially reserved. Please note that multiple projects may be submitted throughout the program year. For more information on project eligibility, documentation requirements and project protocols for the various measure types, please refer to the TRM 9.0 found at <http://www.texasefficiency.com/index.php/regulatory-filings/deemed-savings>.

NOTE: Eligible projects must result in peak electric demand savings for Entergy Texas customers and must be completed and post inspected before Nov. 15, 2023.

Below is the step-by-step process by which a Partner may identify a retrofit, renovation, or new construction project, have it accepted into the Program and reserve financial incentives. The cash incentive for a project is paid when the project is complete.

Step 1: Letter of Intent Submission

- Step 2: Project Identification and acknowledgment by program staff
- Step 3: Pre-Installation Inspection before any existing measure is removed (not new construction)
- Step 4: Detailed scope of work, project timeline and necessary supporting documentation received
- Step 5: Project Review and Approval
- Step 6: Incentive Reservation confirmed by signed Project Application Form
- Step 7: Project Installation
- Step 8: Project Completion Notice and customer advises of any change in project
- Step 9: Post-Installation Inspection, then final engineering review
- Step 10: Incentive Payment processed

PROJECT IDENTIFICATION

CLEAResult works with individual Partners to assist them in assessing their equipment, facilities and operations to identify eligible energy efficiency projects. Please see the Incentives section of this Program Manual for details on the assistance provided in identifying projects.

Depending on the level of Program participation, or time of year, the Program may not be able to provide direct assessment assistance to all Partners. Please see the Project Eligibility section of this Program Manual for a list of eligible measures under the Program.

PRE-INSTALLATION INSPECTION

For a retrofit project:

- A pre-installation inspection must be conducted before any installation work can begin.
- A Partner will coordinate with CLEAResult to set up pre-installation inspection (allow up to four weeks).
- A Program inspector will be sent to the site or sites to visually confirm and document the existence and condition of the equipment to be replaced, including make, model and serial number where applicable.
- The Partner will provide a knowledgeable representative to accompany the inspector on the pre- installation inspection and will provide in advance maps or building layout.
- In cases where several buildings contain a high quantity of similar existing equipment, the Program may conduct a random sampling of the pre-existing equipment and work with the Partner to get any additional supporting documentation deemed necessary.

For a new construction project:

- The Partner must provide a full set of stamped construction drawings to include A/M/E/P in electronic PDF file format to CLEAResult for review. These drawings are the supporting documentation required for all new construction projects.
- Once the building construction is finished, a copy of the “as built” A/M/E/P drawing will be requested to finalize the energy savings calculations.

PROJECT SUBMISSION

Once a pre-installation inspection for retrofit projects or plan review for new construction projects has been completed, CLEAResult will assist the Partner in submitting all necessary project documentation. A Partner may submit more than one project in any given program year.

When submitting a project/projects please keep in mind the submitted documentation must include the following:

- Project scope of work and necessary project documentation such as invoices, field notes and detailed maps.
- Estimated project timelines, which must be completed, and post inspected by Nov. 15, 2023.
- The signature of an authorized Partner representative (LOI).

The Partner is responsible for following up with the Program to confirm receipt of any submitted projects.

PROJECT REVIEW & INCENTIVE RESERVATION

Approval of projects and reservations of incentive funds are solely within the discretion of the Program Implementer or Program Sponsor. Incentive funds estimated are not officially reserved until CLEAResult approves and returns a signed Project Application Form to Partner. The date listed on the Project Application Form will determine the date the incentive funds are reserved.

CLEAResult will review each project for completeness, accuracy and whether the listed measures qualify for incentive funding under the Program. CLEAResult will communicate with the Partner regarding project documentation corrections and modifications or if required, additional information to be submitted. Once the form is reviewed and finalized CLEAResult will notify the Partner in writing of the incentive amount reserved for each project.

CLEAResult may deny approval of a particular project for a variety of reasons including, but not limited to:

- Documentation is incomplete.
- Documentation is received after all funding has been reserved by other Partners (Please see the Waitlist section of this Program Manual for more information).
- The Partner fails to meet program eligibility requirements.
- The Partner fails to submit the required supporting documentation.
- The Partner is found to have made material misrepresentations in the form.
- The Partner fails to comply with applicable federal, state and local laws and regulations.

If the Program denies approval of a project CLEAResult will follow up with the Partner to request specific information or recommend specific steps to revise the project documentation. The Partner can submit the revised project documentation and CLEAResult will reconsider the project for approval based on the re-submission date.

WAITLIST

In the event that all incentive funding has been reserved, any additional projects submitted will be placed on a waitlist in the order that they are received by CLEAResult. Partners will be notified of their project's position on the waitlist. If additional incentive funding becomes available, waitlisted projects will be approved in the order received until all funding for the program year is fully reserved.

PROJECT INSTALLATION

- **For retrofit projects**, a Partner may proceed with project installation once the pre-installation inspection has been conducted and the notice to proceed has been provided by CLEAResult.

- **For new construction projects**, a Partner may proceed with project installation once plans have been reviewed, equipment has been selected and necessary project documentation has been submitted.
- During installation or construction, the Partner is to notify CLEAResult of any changes to the project scope, equipment selection, or timeline.
- Projects are approved under the condition that project installations will be complete, and post inspected by Nov. 15 in the program year the project was submitted. Project installations not complete and post inspected by Nov.15 of the program year will forfeit the incentive funds that have been reserved for that project.

NOTE: Project installations that are not completed and post inspected by Nov. 15 will be allowed to re-apply for incentive funds for the following program year under the same conditions listed in the Project Application Review & Incentive Reservation section of this Program Manual.

PROJECT COMPLETION DATE

Projects are approved under the condition that project installations will be complete, and post inspected by **Nov. 15** in the program year the project was submitted. Project installations not completed, and post inspected by Nov.15 of the program year the project was submitted risk forfeiting, at the sole discretion of the Program, the incentive funds that have been reserved for that project.

VERIFICATION NOTICE

By no later than July 29 of the program year Partners with approved projects must verify in writing to CLEAResult that the projects will be completed, and post inspect their project installations by **Nov.15** of the current funding year. Partners that fail to meet this notice requirement risk forfeiting, at the sole discretion of the Program, the incentive funds that have been reserved for that project.

PROJECT COMPLETION NOTICE

After the project has been installed, the Partner will notify CLEAResult of the project's completion as soon as possible in order to arrange a post-installation inspection of the project. The Partner is expected to work with CLEAResult to confirm and update, if necessary, the supporting documentation for the completed project. Notice can be provided via email, phone call or in writing to CLEAResult.

NOTE: Partner agrees to submit to CLEAResult a copy of the final invoice for equipment, labor and all other costs associated with the project. If the Partner uses internal labor and is therefore not invoiced for labor the Partner should submit to CLEAResult a copy of the equipment invoice and an estimate of internal labor hours spent on the project. The Program representatives can provide the Partner with guidance on submitting the appropriate project cost information and supporting documentation for this requirement.

POST-INSTALLATION INSPECTION

After the project has been completed the Partner must:

- Notify CLEAResult of the project's completion date and any changes to original project scope.
- Work with CLEAResult to confirm and update, if necessary, the supporting documentation for:
 - Lighting – Update the Lighting Survey Form if the quantity and fixture type installed differ from those originally approved.

- HVAC – Update the documentation if the equipment type, SEER or EER rating, installed differs from those originally approved.
- Coordinate with CLEAResult to schedule a post-installation inspection to verify that the equipment has been installed as documented. The Partner should provide a knowledgeable representative to accompany the inspector as well as provide any equipment needed to verify installations such as a ladder for lighting inspections.

INCENTIVE PAYMENT

Using the results of the post-installation inspection, CLEAResult will determine the project's eligible peak demand (kW) and energy (kWh/year) savings.

Entergy Texas will pay the Partner an incentive amount based on the eligible savings.

- The Program is not under any obligation to pay more incentives than the amount reserved by the project approval process for each project.
- If greater savings are achieved than the amount reserved and program funds are available, the Program has the option to pay the Participant additional incentives.

For additional details on how incentive payments are determined, scheduled, and paid, please see the Incentives section of this Program Manual.

PAYMENT PROCESS

CLEAResult is responsible for validating and finalizing all demand and energy savings along with the corresponding cash incentives. CLEAResult will submit incentive check requests to Entergy Texas on a monthly basis for payment to the participating Partner. Entergy Texas will process the incentive check requests within 7 weeks of post inspection and issue payment to the Partners.

NOTE: Electronic Deposit is available to expedite receipt of incentive payments.

The following documentation is required to issue an incentive payment:

- A signed Letter of Intent (LOI).
- A signed Entergy New Base Supplier Form (NBSF).
- An Entergy Texas invoice, with the account number and meter number, for each location with qualifying projects.
- All required supporting documentation for each submitted measure as listed in the TRM 9.0 found at <http://www.texasefficiency.com/index.php/regulatory-filings/deemed-savings>
- Project invoices.

PROGRAM DATA TRACKING & REPORTING

The Entergy Solutions Program tracks all data in the Program Implementer's proprietary database and will make that data available to the Program Sponsor. CLEAResult provides regular reporting to Entergy Texas including but not limited to weekly, monthly, and annual reports.

PROGRAM ENROLLMENT & CONTACTS

To enroll in the Program, the Partner signs a Letter of Intent (LOI) and submits it to CLEAResult. An example of the Entergy Solutions LOI is included in the Appendix of this Program Manual.

Electronic copies of the signed LOI may be emailed to:

entergytx@clearesult.com

Paper copies of the signed LOI may be faxed or mailed to:

CLEAResult

Attn: Entergy TX Team

4301 Westbank Dr. Bldg. A, Suite 300 Austin, TX 78746

Fax: **866-257-4390**

For additional information about the program please see the website or contact these representatives:

Program Website:

<https://www.entergytxsolutions.com/>

Mark Delavan Entergy Texas

10055 Grogans Mill Rd. The Woodlands, TX 7380 Phone: **281-297-2214**

Email: mdelava@entergy.com

Michael Martinez CLEAResult

4301 Westbank Dr. Bldg. A Suite 300

Austin, TX 78746

Phone: **281-902-1161**

Email: entergytx@clearesult.com

DISCLAIMERS

CONFIDENTIALITY

The Program is subject to oversight by the Public Utility Commission of Texas (PUCT), which may request a copy of any Program materials received by CLEAResult or Entergy Texas. A Partner's sensitive company and project information submitted to the Program, such as financial statements and project costs, will be treated confidentially to the fullest extent possible and will not be provided directly to outside parties other than the PUCT. Neither CLEAResult nor Entergy Texas will be liable to any Partner or other party as a result of public disclosure of any submittals.

FALSE, MISLEADING OR INCORRECT INFORMATION

CLEAResult will discontinue its evaluation of all submittals from any Partner who submits false, misleading or incorrect information. If an evaluation is discontinued under these circumstances CLEAResult will return all of the Partner's submittals.

FORMAL COMPLAINTS

Please contact CLEAResult to raise any issues or concerns that arise during participation in the Program:

Michael Martinez, CLEAResult
4301 Westbank Dr
Building A, Suite 300
Austin, TX 78746
Phone: **281-902-1161**
Fax: **281-902-1199**
Email: **michael.martinez@clearesult.com**

Also, a formal complaint may be submitted to the PUCT at any time using the following contact information:

Public Utility Commission of Texas Office of Customer Protection
P.O. Box 13326 Austin, TX 78711-3326
Phone: **512-936-7120**, or in Texas (toll-free) **888-782-8477**
Fax: **512-936-7003**
Email: customer@puc.state.tx.us Web: www.puc.state.tx.us
TTY: **512-936-7136**
Relay Texas (toll-free): **800-735-2989**

DISCALAMER OF WARRANTIES

The Partner acknowledges and agrees that any review or inspection by Entergy Texas or CLEAResult of Partner's facilities/premises or of the design, construction, installation, operation or maintenance of the energy efficiency equipment installed or to be installed in connection with the Program is solely for the information of Entergy Texas. In performing any such inspection or review or in accepting the installed equipment for the award of incentives, Partner acknowledges and agrees that Entergy Texas or CLEAResult makes no guarantee, representation or warranty whatsoever as to the economic or technical feasibility, capability, safety or reliability of the equipment, its installation by a project contractor or its compatibility with Partner's facilities.

PROGRAM IMPLEMENTER IS AN INDEPENDENT CONTRACTOR

CLEAResult is an independent contractor and is not authorized to incur obligations on behalf of Entergy Texas. Entergy Texas is not responsible for the truth or validity of any representation not contained in the Program Manual or Letter of Intent.

DEFINITIONS

Deemed Savings – a set of pre-determined, validated estimates of energy and peak demand savings attributable to energy efficiency measures in particular types of applications that an electric utility may use instead of energy and peak demand savings determined through measurement and verification activities.

Demand Savings (kW) – peak demand savings that have been approved using one of the eligible measurement and verification protocols as set forth in this Program Manual.

Energy Savings (kWh/year) – the electric energy saved over the course of one 12-month period.

Estimated Incentive Payment – once approved by the Program Implementer, this is the amount of incentives reserved in the Program budget for the list of committed projects and therefore is the maximum amount of incentives the Partner can receive upon project completion and verification of savings.

Incentive Reservation – in order to receive financial incentives through this Program, the Partner must first reserve incentives by submitting and having their project approved.

Letter of Intent (LOI) – non-binding agreement signed and submitted by the Partner stating their intent to participate in the Program.

Partner – an eligible Entergy Texas electric distribution customer who has enrolled in the Program.

Peak demand – electrical demand at the times of highest annual demand on the utility's system.

Peak demand reduction – reduction in demand on the utility system throughout the utility system's peak period.

Peak period – the peak period consists of the hours from 1 p.m. to 7 p.m., during the months of June, July, August and September, excluding weekends and Federal holidays. The Texas Energy Efficiency rule now includes a defined winter peak period between the hours of 6 a.m. to 10 a.m. and 6 p.m. to 10 p.m. during the months of December, January and February, excluding weekends and Federal holidays.

Post-Installation Inspection – an inspection performed after installation of new equipment. Post-installation inspection verifies actual installed measure(s) to verify resulting deemed or measured demand and energy savings.

Pre-Installation Inspection – an inspection performed prior to any replacement of existing equipment, device, or structural energy efficiency measures (windows, window film, roof coatings, etc.) to validate and collect data on existing equipment and measures.

Project – for Program purposes a project is defined as one proposed peak demand savings measure type at one facility owned or operated by the Partner.

FREQUENTLY ASKED QUESTIONS

1. What is the Entergy Solutions Program?

The Entergy Solutions Program is an energy efficiency program designed to assist Entergy Texas' select commercial electric customers to reduce peak electric demand and annual energy usage by providing access to technical knowledge, energy assessments and financial incentives to improve the efficiency of their buildings.

2. Who is eligible to participate in Entergy Solutions Program?

Please see the Program Eligibility section of this Program Manual for exact details. In general, Entergy Solutions is offered to select non-industrial, commercial electric customers (under 69 kVa load) that own or operate facilities within the Entergy Texas electric service area.

3. What does the Program cost?

Partners pay nothing to participate in the Entergy Solutions Program. Entergy Texas administers all of the support and incentives for the Program.

NOTE: The financial investment any partner makes is for the energy efficiency measures that they install in their facilities.

4. What incentives are available through the Program?

The Entergy Solutions Program offers both cash and non-cash incentives to Partners in order to assist with an organization's specific needs. Financial incentives may be available for energy efficiency projects depending on the budget available at the time a project and/or projects are submitted. Other program services, such as technical assistance and communications support, are made available according to the needs of each Partner.

5. How does a customer enroll in the Program?

An eligible customer may participate in the Program by submitting a Letter of Intent to the Program Implementer or Entergy Texas. Please see the Program Enrollment and Contacts section for additional details. Also, a sample LOI is included in the Appendix section of this Program Manual.

6. What are the next steps after initial enrollment in the Program?

- a) The Program staff will contact Partner to discuss what, if any, technical assistance is needed to identify energy efficiency projects.
- b) Program team and the Partner work collaboratively to appropriately characterize potential energy efficiency projects including estimated electric demand (kW) and energy savings (kWh).
- c) The Partner selects projects for the current program year and works with Program team on project approval process detailing the scope and timeline of each individual project.
- d) For projects retrofitting or replacing existing equipment the Program team will conduct a pre-installation inspection at the project site prior to the Partner submitting a project. The pre-installation inspection is required for all retrofit projects. New construction projects do not require a pre-installation inspection.
- e) For projects involving new construction, Partner must submit a full set of stamped construction drawings to include A/M/E/P in electronic, PDF file format to the Program team for review.

- f) Program team reviews project documentation for accuracy and reserves incentives according to estimated reductions in peak electric demand (kW) & energy savings (kWh).
- g) The Partner completes the energy efficiency project.
- h) The Partner notifies the Program team that the project is completed. Please note that all projects that are to receive a financial incentive from the Entergy Solutions Program must be completed by Nov. 15, 2023 in order to allow time for verification of the project.
- i) For all projects, the Program team will schedule a post-installation inspection at the project site.
- j) Program team finalizes project savings and incentive amounts based on the results of the post-installation inspection.
- k) Entergy Texas processes incentive payments and either issues a check or direct deposits the incentive funds. A Partner may select their preferred method of payment at the time of enrollment.
- l) Program team follows up with the customer regarding future energy efficiency projects.

7. Who decides what energy efficiency technologies to install and who installs them?

The Partner decides what energy efficiency measures to implement and how they are implemented. The Program offers only approved access to assistance for identification and evaluation of energy efficiency opportunities. The Program does NOT provide any installation of energy efficiency measures.

8. How are energy efficiency opportunities determined?

Entergy Solutions works with each Partner to assess energy efficiency opportunities in both existing facilities and in new construction projects using a combination of facility walkthroughs, energy performance benchmarking analysis and staff interviews.

APPENDIX

Letter of Intent (LOI)

Alternative Incentive Recipient Form

Entergy New Base Vendor Form

LETTER OF INTENT (LOI)



Entergy Texas is committed to providing leadership by assisting its partners in developing and implementing strategies to address rising energy costs. We are proud to offer the Entergy Solutions Program, which is available to select Entergy Texas electric commercial customers.

Both cash and non-cash incentives are available for implementing energy efficiency improvements during the program year. These incentives are available for qualifying measures that reduce peak electric demand installed in new construction and retrofit projects. Entergy Texas has contracted with CLEAResult to implement, promote and administer the program.

The Letter of Intent (LOI) is to confirm that _____, (herein referred to as the "Partner") is participating in the Entergy Solutions Program (the "Program").

By signing this document, I agree that: (1) I have reviewed the program description; (2) I represent the Partner during participation in this Program; and (3) I understand and agree to the following program elements:

VOLUNTARY INVOLVEMENT

This Program is voluntary and although I am not required to take any specific action, it is my intent to take advantage of one or more of the program offerings. Partner may terminate this LOI at any time, without penalty. Partner will automatically be re-enrolled in new program year if there are no changes to Partner information.

OVERSUBSCRIPTION

The incentives (cash and non-cash) offered through this program are limited. If more Entergy Texas Partner projects are submitted than program budgets can accommodate, the incentives will be awarded on a first-come, first-served basis, determined by available program funding. Decisions regarding approval of incentives offered under this program are solely within the responsibility of Entergy Texas.

PROGRAM EXCLUSIVITY

For the specific facilities and projects identified in the Entergy Solutions Program, the Partner will not participate in other energy efficiency programs sponsored by Entergy Texas within the same calendar year, with the exception of the Entergy Texas Load Management Program.

PROGRAM PROMOTION

Partner will allow the Entergy Solutions Program to use Partner's name to promote participation in the program to entities such as potential program partners, utilities, federal, state, or local entities, and the general public.

PRINCIPLES OF AGREEMENT

I understand that to receive the benefits from the Program, I need to ensure that we complete the following steps:

OPPORTUNITY ASSESSMENT

The Opportunity Assessment (OPA) is a tool used to identify the energy efficiency of buildings or operations;



if chosen, I will collaborate with CLEAResult to identify opportunities for the Partner. I may use any means I choose to identify the opportunities and this Program can provide assistance at my request. I may also submit any energy assessments that were completed prior to the date of this Letter of Intent. This Program does not endorse or require the use of any specific assessment provider and Entergy Texas, this Program and/or CLEAResult are not responsible for the assessment in any way.

PRE-INSTALLATION INSPECTION

In order to receive any cash incentives offered under this Program, I need to collaborate with CLEAResult to permit a pre-installation inspection and provide other verifying project information including pictures, plans, submittals, savings summaries and invoices before installing the energy conservation measure(s). I may complete the project(s) without any communication or approval from CLEAResult if the Partner does not want to receive the incentives offered under this Program.

PROJECT SELECTION & PROGRAM FUNDS RESERVATION

If I want to proceed with the energy improvement project(s) identified in the OPA, cash incentives from this Program will be reserved through a savings statement. The minimum project size is 10 kW.

PROJECT INSTALLATION

After a pre-installation inspection, the Partner may install the efficiency project(s) utilizing any means or provider they choose. Entergy Texas and its Program Implementer, CLEAResult, will not sell, provide and/or warrant any materials or installation services for the project(s).

SUBMIT DOCUMENTATION

Partner agrees to submit to CLEAResult a copy of the original invoice for equipment cost, labor, and other costs associated with the project. If Partner uses internal labor and is therefore not invoiced for labor, Partner will submit to CLEAResult a copy of the equipment invoice and an estimate of internal labor spent. Your Program Representative can assist you in determining the cost.

POST-INSTALLATION INSPECTION

In order to receive cash incentives from this Program, I need to collaborate with CLEAResult to permit a post-installation inspection and/or provide other verifying information after installing the project(s). Partner or contractor must communicate to CLEAResult or Entergy Texas on any scope of work changes BEFORE post inspection is scheduled. Any changes may affect estimated energy savings and cash incentives. The Entergy Solutions Program will pay monetary incentives to Partner or contractor, as discussed in program materials, for eligible energy efficiency savings achieved by projects that are completed no later than Nov. 15 of each program year.

PAYMENT OF CASH INCENTIVES

Following project completion and energy reduction verification, Entergy Texas will issue a check to the Partner or contractor for the cash incentive. The amount of the incentive will be based upon the verified, qualifying measures completed. Incentive funds are limited to a Program budget. If the Program's budget is fully reserved, projects will be placed on a waitlist and will be reviewed based on the date received, as program funds become available. Partner acknowledges that projects that receive monetary incentives in the Entergy Solutions Program would not have been accomplished, or would have been completed with less efficient equipment, except for the incentives and other services provided by this program.



ACCEPTANCE OF AGREEMENT

By endorsing below, your organization accepts this agreement with the Entergy Solutions Program, sponsored by Entergy Texas and conducted by CLEAResult. **This agreement should be signed by your energy manager, facilities manager or other upper-level management.**

ENTERGY SOLUTIONS PARTNER

Signature: _____

Date: _____

Printed Name: _____

Company: _____

Title: _____

Address: _____

Phone: _____

Fax: _____

Email: _____

Entergy Account #: _____

ENTERGY TEXAS

Signature: _____

Date: _____

Mark Delavan

Entergy Texas

10055 Grogans Mills Rd. The Woodlands, TX 77380

Please identify one individual from the administrative/facilities/energy management department who will be the main point of contact while working with the Entergy Solutions Program.

APPROVED POINT OF CONTACT

Name (Mr./Ms./Dr.): _____ Title: _____

Organization: _____ Phone: _____

Address: _____ Fax: _____

_____ Email: _____

Please sign and mail, email or fax to:

CLEAResult

ATTN: Entergy Texas Team

4301 Westbank Dr. Bldg. A – Suite 300 Austin, TX 78746

Phone: (512) 327-9200 Fax: (866) 236-9505

Email: entergytx@clearresult.com

Specific steps will vary according to the needs of the project. CLEAResult is the implementation contractor for the Entergy Texas Commercial Solutions Program.

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Alternative Incentive Recipient Form

Alternative Recipient's Information					
Name		Title		Company	
Partner Name		Person of Contact		CLEAResult Contact	
Phone Number		Email Address		Address	
		Project[s] Affected			
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					

I authorize the above stated Alternative Recipient to receive the incentive check for this project.

Partner Signature _____ Date _____

Please submit Alternative Incentive Recipient Form via mail, email or fax to:

CLEAResult

ATTN: Entergy Texas Team

4301 Westbank Dr. Bldg. A – Suite 300 Austin, TX 78746

Phone: **512-327-9200**

Fax: **866-236-9505**

Email: **entergytx@clearesult.com**

Entergy New Base Vendor Form (Initial Set-Up or Changes)

Any individual or entity paid by Entergy (or any of its Subsidiaries) Accounts Payable Department is considered a Vendor. Vendors must complete this form or IRS form W-9 prior to payment being issued. Information provided on this form is subject to verification, including, but not limited to, IRS Tax Identification Number (TIN) Matching.

Instructions for completing and submitting this form

1. Complete the form electronically and then print and sign the form; or print the form and complete by hand.
2. Submit completed and signed form via one of the following methods:

Email: vmainte@entergy.com Fax: 501-823-1410

Mail: Entergy Services, Inc. Accounts Payable Department P.O. Box 8111 Baton Rouge, LA 70891

The Vendor name entered in this section will appear on Entergy issued payments, Purchase Orders, Contracts and IRS documents.

Vendor Name

Primary products / services provided to Entergy

Your Entergy Contact (required)

Name (Last, First)

Phone

Diversity Owned Businesses

Diverse-Owned Business (for example, 51% or more owned, controlled, and operated by members of the following groups: Minority [African American, Asian Pacific American, Asian Sub-Continent American, Hispanic American, & Native American],

Women, Veteran, Service Disabled Veteran): Please check here ☐ "I declare under penalty of perjury that the following responses are true and correct and I acknowledge that false representation is punishable under penalty of law."

If the box is checked, please indicate ownership type and percentage (%) in space provided.

☐ African - American

☐ Hispanic - American

☐ Aleut

☐ Asian - American

☐ European - American

☐ Pacific Islander

☐ Caucasian

☐ Native American (American Indian)

☐ Woman Owned

Diversity Category (As a federal prime contractor and pursuant to the requirements set forth in Public Law 95-507, Entergy is required to track its spending with small businesses and other diverse suppliers as outlined below. Please check the appropriate category)

☐ Small Disabled Veteran Owned Business

☐ Small Corporation Non Minority

☐ Large Minority Business Enterprise

☐ Small Hub Zone Business

☐ Small Veteran Owned Business

☐ Large Veteran Owned Business

☐ Small Minority Business Enterprise

☐ Large Hub Zone Business

☐ Large Woman Owned Business Enterprise

☐ Small Business as defined by the SBA

☐ Large Disabled Veteran Owned Business

☐ Large Corporation Non Minority

☐ N/A

Potential Conflicts of Interest

YES NO

☐

☐

Are you or any principal owner of your company of the following: A) an Entergy employee, B) in a business relationship with an Entergy employee, C) a family member of an Entergy employee, or D) a member of the same household (regardless of relationship) as a Entergy employee.

If yes, please identify the Entergy employee and the relationship to that employee (note that answering "yes" does not mean you cannot act as a vendor to Entergy, but requires steps to comply with Entergy's Conflicts of Interest Policy.

Potential COI exists? Yes / No Resolution:

COI Policy
SME Initials

Entergy's primary payment method is ACH (Automated Clearing House) CTX Format/Direct Deposit. A remittance advice email is sent when payment is issued.

Bank Name

Bank Routing Number

Bank Account Number

Remittance Advice E-mail Address

Remit to Address

Address

City

State

Postal Code

Country

Contact Information

Name (Last, First)

Phone

E-mail Address

Regarding Payments: General payment/invoice status inquiries **can** call the Accounts Payable Help Desk at 1-866-576-7400 Option 1; Option 1.

Purchase Order/Sales Address

Address

City

State

Postal Code

Country

Entergy is required to file Form 1099 annually with the IRS disclosing reportable payments issued to suppliers. The information supplied in this section will enable us to determine whether we are required to report any payments issued to you during the year.

Nonresident alien and foreign entities: Complete and attach IRS Form W-8; you are not required to complete this section.

Name (as shown on your income tax return)

Business name/disregarded entity name, if different from above

Check appropriate box for federal tax

classification (required): ☐ Individual/sole proprietor ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶

☐ Exempt payee

☐ Other (see instructions) ▶

Address (number, street, and apt. or suite no.)

Requester's name and address (optional)

City, state, and ZIP code

List account number(s) here (optional)

Social security number

- -

Employer identification number

-

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3.

For other entities, it is your employer identification number (EIN). If you do not have a number, see how to get a TIN on Page 3.

Part II

Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

Sign Signature of
Here U.S. person ▶

Date ▶

Vendor Type:

Vendor Number:

1099 Reportable: ☐ Yes ☐ No

Vendor Requested By:

Entered By:

Duplicate Vendor: ☐ Yes ☐ No

Verification: ☐ TIN Matching

Date:

Duplicate Account ☐ Yes ☐ No

Section references are to the Internal Revenue Code unless otherwise noted.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note: If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person: For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on foreign partner's share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,
- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust

Foreign person. If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities.)

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S. - China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S. - China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, non-employee pay, and certain payments from fishing boat operations. Real estate transactions are not subject to backup withholding. You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts after 1983 only.)

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer have the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.
Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for insurance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole Proprietor. Enter your individual name as shown on your income tax return on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name/disregarded entity name" line.

Partnership, C Corporation, or S Corporation. Enter the entity's name on the "Name" line and any business, trade, or "doing business as (DBA)" name on the "Business name/disregarded entity name" line.

Disregarded Entity. Enter the owner's name on the "Name" line. The name of the entity entered on the "Name" line should never be a disregarded entity. The name on the "Name" line must be the name shown on the income tax return on which the income will be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a domestic owner, the domestic owner's name is required to be provided on the "Name" line. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on the "Business name/disregarded entity name" line. If the owner of the disregarded entity is a foreign person, you must complete an appropriate Form W-8.

Note: Check the appropriate box for the federal tax classification of the person whose name is entered on the "Name" line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

Limited Liability Company (LLC). If the person identified on the "Name" line is an LLC, check the "Limited Liability company" box only and enter the appropriate code for the tax classification in the space provided. If you are an LLC that is treated as a partnership for federal tax purposes, enter "P" for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter "C" for C corporation or "S" for S corporation. If you are an LLC that is disregarded as an entity separate from its owner under regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the "Name" line) is another LLC that is not disregarded for federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the "Name" line.

Other Entities. Enter your business name as shown on required federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name/disregarded entity name" line.

Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the "Business name/disregarded entity name," sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding:

The following payments are exempt from backup withholding:

1. An organization exempt from tax under section 501 (a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f) (2),
 2. The United States or any of its agencies or instrumentalities,
 3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities, or
 4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
 5. An international organization or any of its agencies, or instrumentalities.
- Other payee that may be exempt from backup withholding include:
6. A corporation,
 7. A foreign central bank of issue,
 8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
 9. A futures commission merchant registered with the Commodity Futures Trading Commission,
 10. A real estate investment trust,
 11. An entity registered at all times during the tax year under the Investment Company Act of 1940
 12. A common trust fund operated by a bank under section 584(a),
 13. A financial institution,
 14. A middleman known in the investment community as a nominee or custodian, or
 15. A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applied to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for...
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 5 and 7 through 13. Also, C corporations.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5

Payments over \$600 required to be reported and direct sales over \$5,000 (1)
1 See Form 1099-MISC, Miscellaneous Income, and its instructions
2 However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney, and payments for services paid by a federal executive agency.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN below*.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see Limited Liability Company (LLC) on Page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for a SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at www.ssa.gov. You may also get this by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution. A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You must be requested to sign by the withholding agent even if item 1, below, and items 4 and 5 on page 4 indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on the "Name" line must sign. Exempt payees, see *Exempt Payee* on page 3.

Signature requirements. Complete the certification as indicated in items 1 through 3, below and items 4 and 5 on page 4.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real Estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporation), payments to a non employee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRS, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:

Give name and SSN of:

- | | |
|---|--|
| 1. Individual | The Individual |
| 2. Two or more individuals (joint account) | The actual owner of the account or, if combined funds, the first individual on the account (1) |
| 3. Custodian account of a minor (Uniform Gift to Minors Act) | The minor (2) |
| 4. a. The usual revocable savings trust (grantor is also trustee) | The grantor-trustee (1) |
| b. So-called trust account that is not a legal or valid trust under state law | The actual owner (1) |
| 5. Sole proprietorship or disregarded entity owned by an individual | The owner (3) |
| 6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(i)(A)) | The grantor * |

For this type of account:

Give name and SSN of:

- | | | | |
|---|------------------|---|-----------------------|
| 7. Disregarded entity not owned by an individual | The owner | 11. Partnership or multi-member LLC | The partnership |
| 8. A valid trust, estate, or pension trust | Legal entity (4) | 12. A broker or registered nominee | The broker or nominee |
| 9. Corporation or LLC electing corporate status on Form 8832 or Form 2553 | The corporation | 13. Account with the Dept of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments | The public entity |
| 10. Association, club, religious, charitable, educational, or other tax-exempt organization | The organization | | |

Cont. What Name and Number To Give The Requester

14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(i)(B))

The trust

- (1) List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.
- (2) Circle the minor's name and furnish the minor's SSN.
- (3) You must show your individual name and you may also enter your business or "DBA" name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.
- (4) List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.
- *Note.** Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

to reduce your risk:

- *Protect your SSN,
- *Ensure your employer is protecting your SSN, and
- *Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TSA by calling the TAS toll-free intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.