Commonwealth Wind Incentive Program: Micro Scale

Design & Construction Rebates

Background, Guidelines, Application Forms and Instructions
Solicitation No. 2011-CWIPMS-04
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*Attachments to this Solicitation are available as separate documents.*
1. **Introduction**

### 1.1. Commonwealth Wind Incentive Program Micro Scale Overview

The Massachusetts Clean Energy Technology Center (“MassCEC”) has issued this Commonwealth Wind Incentive Program: Micro Scale (“Micro Wind”) Solicitation (No. 2011-CWIPMS-04) (the “Solicitation”) to provide rebates through a non-competitive application process for the installation of wind projects by professional, licensed contractors at residential, commercial, industrial, institutional, and public facilities. The Applicant (and project site) must be a customer of a Massachusetts investor-owned electric distribution utility or Municipal Light Plant Departments that pay into the Renewable Energy Trust Fund. The rebates are based on the capacity and performance of the project.

### 1.2. Who We Are

**The Massachusetts Clean Energy Center**

The Green Jobs Act of 2008 created MassCEC to accelerate job growth and economic development in the state’s clean energy industry. This new quasi-public agency serves as a clearinghouse and support center for the clean energy sector, making direct investments in new and existing companies, providing assistance to enable companies to access capital and other vital resources for growth, and promoting training programs to build a strong clean energy workforce that capitalizes on the job opportunities created by a vital new industry. With the enactment of Chapter 158 of the Acts of 2009 of the Commonwealth of Massachusetts, responsibility for administration of the Massachusetts Renewable Energy Trust Fund (the “Trust Fund”) has transferred from the Massachusetts Technology Collaborative to MassCEC. The Trust Fund supports renewable energy projects throughout the Commonwealth. Working in partnership with the Commonwealth’s Executive Office of Energy and Environmental Affairs, MassCEC is administering the Trust Fund to maximize the environmental and economic benefits of renewable energy for the citizens, businesses, and communities of the Commonwealth. For additional information about MassCEC, and its programs and initiatives, please visit www.masscec.com.

**The Commonwealth Wind Incentive Program**

The goal of the Commonwealth Wind Incentive Program is to assist responsibly-sited wind energy projects of all scales in achieving successful and timely installations, while also supporting Governor Patrick’s goal of having 2,000 megawatts (MW) of wind power capacity installed in the Commonwealth by 2020. The Commonwealth Wind Incentive Program (CommWind) provides rebate, grant, and loan funding for the installation of wind projects in Massachusetts. Funding is available for residential, commercial, industrial, and public facilities that are customers of investor-owned electric utilities or Municipal Light Plant Departments that pay into the Trust Fund. The CommWind Program has three initiatives:

<table>
<thead>
<tr>
<th>Initiative</th>
<th>Capacity</th>
<th>Type of Funding</th>
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</thead>
<tbody>
<tr>
<td>Micro Wind</td>
<td>Less than 100 kW(^1)</td>
<td>Rebates</td>
</tr>
<tr>
<td>Community Scale Wind</td>
<td>100 kW or greater</td>
<td>Grants – Feasibility Studies and Design &amp; Construction</td>
</tr>
<tr>
<td>Commercial Wind</td>
<td>Greater than 2 MW (land-based)</td>
<td>Feasibility Study Grants and Development Loans</td>
</tr>
</tbody>
</table>

\(^1\) Maximum threshold for eligible power capacity is defined as the manufacturer stated nameplate capacity of the turbine.
2. **Minimum Applicant and Project Requirements**

The following are definitions or references for key terms frequently used in this solicitation.

### 2.1. Applicant Related Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant</td>
<td>An individual or entity that submits an application to MassCEC for a Commonwealth Wind Incentive Program: Micro Scale (Micro Wind) rebate but has not yet been awarded a rebate.</td>
</tr>
<tr>
<td>Awarded Applicant</td>
<td>An Applicant that has received a Rebate Award but has not yet reached Project Completion.</td>
</tr>
<tr>
<td>Rebate Recipient</td>
<td>Under Micro Wind, the Rebate Recipient is the designee to receive the rebate for a project that has achieved Project Completion. A System Owner may choose to receive the rebate directly or to have their rebate paid directly to the Installer/Installer Entity or Third-Party Owner as defined in Section 2.2. The designation of the Rebate Recipient must be clearly stated in the Turnkey Contract, as described in Section 3. Payment is made for the work performed on the project and does not convey ownership rights to the installed system.</td>
</tr>
<tr>
<td>System Owner</td>
<td>The owner of the wind project that was supported by Micro Wind.</td>
</tr>
<tr>
<td>Host Customer</td>
<td>The Host Customer is located at the Project Site and is the customer of the electric utility into which the wind system will be interconnected. This may or may not be the System Owner.</td>
</tr>
<tr>
<td>Host Customer Entity</td>
<td>A parent company or parent organization of the Host Customer and all of its subsidiaries are considered a single Host Customer Entity. Public entities, at the sole discretion of the MassCEC, may be exempt from the definition of single Host Customer Entity.</td>
</tr>
</tbody>
</table>

### 2.2. Installer Related Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Installer</td>
<td>The Installer is the primary entity responsible for the wind project installation for the Applicant. The Installer is typically directly responsible for turnkey project management and installation work. However, the entity responsible for overall project management and installation is not required to actually (or physically) install the project and, for example, could be responsible for turnkey project management and sub-contracting the installation work to another entity or entities. The individual responsible for actual physical installation of the project, whether the Installer or a subcontractor, must be a professional contractor licensed to conduct business in Massachusetts and/or a Massachusetts licensed electrician. Homeowners or “do-it-yourselfers” are not eligible to be an Installer through the Micro Wind program.</td>
</tr>
<tr>
<td>Installer Entity</td>
<td>A parent company or parent organization of the Installer and all of its subsidiaries are considered a single Installer Entity.</td>
</tr>
<tr>
<td>Third-Party Owner</td>
<td>For the purposes of Micro Wind definitions, the Installer/Installer Entity could also be a Third-Party Owner that has a turnkey contract involving a power purchase agreement or other arrangements with the Host Customer or project host. In some cases, the Third-Party Owner may have a separate contract with another entity for the actual installation work. MassCEC staff reserve the right to make determinations regarding the application of installer entity caps, insurance requirements, and other Program requirements as regards Third-Party Owners.</td>
</tr>
</tbody>
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### 2.3. Other Related Terms
<table>
<thead>
<tr>
<th><strong>Process Queue</strong></th>
<th>MassCEC will process complete applications in the order received for purposes of allocating Micro Wind program funding.</th>
</tr>
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<tbody>
<tr>
<td><strong>Rebate Award</strong></td>
<td>A commitment to provide the Rebate Recipient with a cash rebate upon achieving Project Completion. A Rebate Award is the notification of a future payment. A Rebate Award is the notification to the Host Customer, System Owner (if different from the Host Customer), or the Installer of a future rebate payment.</td>
</tr>
<tr>
<td><strong>Wind Project</strong></td>
<td>A project that relates to the development and installation of one or more grouped wind energy systems. A wind project includes all of the unit(s) at the proposed Project Site.</td>
</tr>
<tr>
<td><strong>Project Site</strong></td>
<td>The specific contiguous property at which the wind energy system(s) will be located for which the Applicant, Awarded Applicant, or Project Host has site control.</td>
</tr>
<tr>
<td><strong>Project Completion</strong></td>
<td>Project Completion is defined as a project that has been installed and interconnected to the utility’s network consistent with all Micro Wind requirements including submission of all relevant back-up documentation to MassCEC and completed inspection by a MassCEC designated inspector.</td>
</tr>
<tr>
<td><strong>Turnkey Contract Requirement</strong></td>
<td>Installers are required to provide Applicants with a Turnkey Contract. In order to qualify as an acceptable Turnkey Contract it must identify a project manager, and must include rebate application preparation, equipment procurement and installation, site preparation, permitting and interconnection support, rebate project completion paperwork, training, operations and maintenance, and compliance with all applicable state and local laws and Micro Wind requirements, including without limitation the Minimum Technical Requirements (Attachment A) and Minimum Insurance Requirements. The Turnkey Contract shall include a budget that identifies key project components and a timeline (with a corresponding payment schedule) for installation of the wind project. <strong>Installers are required to provide applicants with a turnkey service and installation.</strong> This turnkey service must include responsibility for the Micro Wind application and rebate process including submittal of project completion documentation, securing the required permits, the installation of the project, scheduling and participation in all required inspections, and providing warranty services as required by MassCEC.</td>
</tr>
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### 2.4. Attachments

<table>
<thead>
<tr>
<th><strong>Minimum Technical Requirements</strong></th>
<th>Attachment A</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Application and Instructions</strong></td>
<td>Attachment B</td>
</tr>
<tr>
<td><strong>Commonwealth Wind Evaluation and Siting Tool</strong></td>
<td>Attachment C</td>
</tr>
<tr>
<td><strong>Sample Participant’s Agreement</strong></td>
<td>Attachment D</td>
</tr>
<tr>
<td><strong>Project Monitoring Requirements</strong></td>
<td>Attachment E</td>
</tr>
<tr>
<td><strong>Pathway for New Installers</strong></td>
<td>Attachment F</td>
</tr>
</tbody>
</table>
3. **Minimum Applicant and Project Requirements**

Once MassCEC receives a Micro Wind application, MassCEC staff reviews each application for completeness and accuracy. Each applicant must demonstrate compliance with the following minimum criteria:

**Customer and Project Requirements**

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Minimum Requirement</th>
</tr>
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<tbody>
<tr>
<td><strong>Eligible Applicants</strong></td>
<td>The Project Host must be the electricity end user and customer on record in an eligible electric provider territory which is a contributor to the Trust Fund. The Green Communities Act of 2008 allows the municipally-owned electric departments to voluntarily opt-in to the Trust Fund. If any such communities elect this option, their customers would also become eligible. More information about opting into the Trust Fund is available online at MassCEC’s <a href="#">MLP page</a>. For information on areas served by investor-owned electric distribution companies please see the <a href="#">Electric Utility Map</a>. The Project Host must be the electricity end user or customer of record of an eligible electric utility and the future consumer of the electricity generated by the proposed renewable energy system.</td>
</tr>
<tr>
<td><strong>State Employees and Special State Employees</strong></td>
<td>State employees and special state employees are not eligible for Micro Wind rebates unless they have received a determination of eligibility from the State Ethics Commission, which must be submitted with the rebate application. Individuals who provide services to a state agency or office are deemed to be special state employees of that agency or office. State employees or special state employees must satisfy one of the following criteria to be eligible for a rebate: (i) is not an employee or a special state employee of any of the state agencies or offices that administer or provide oversight to the Commonwealth Wind Incentive Program including MassCEC, DOER, EEA, and the Governor’s office, or (ii) is an employee or special state employee of any other state agency and has disclosed his/her participation in the Program to the State Ethics Commission, or (iii) is a state employee and the State Ethics Commission has determined that he/she is eligible to participate.</td>
</tr>
<tr>
<td><strong>Project Location and Building Type</strong></td>
<td>The renewable energy project must be located in Massachusetts within the service territory of an eligible electric provider territory which is a contributor to the Trust Fund. The building or facility utilizing the power generated by the renewable energy technology must be grid-connected. Applications can be made for any type of facility.</td>
</tr>
<tr>
<td><strong>Project Size, Rebate Caps, and Application Limits</strong></td>
<td>Micro Wind is designed for projects up to 99 kW in nameplate capacity based on manufacturer nameplate specifications. Maximum threshold for eligible power capacity is defined as the manufacturer stated nameplate capacity of the turbine. Micro Wind rebates are determined based on rated capacity as determined by the highest power capacity of the turbine at a wind speed up to and including 11 m/s, as provided in the appropriate power curve. Applicants may install systems of any size, but the rebate from MassCEC will be based on the rebate caps detailed in Section 4.2. MassCEC will not award more than two rebate applications to any given Project.</td>
</tr>
</tbody>
</table>
Site subject to all size and funding caps. For example, if a residential customer has only received a MassCEC rebate for a 10 kW wind project, the customer can still apply once more for up to 89 kW more at the same Project Site for a total of 99 kW.

Project capacity for a multi-turbine project will be calculated as the sum of the applicable capacities (as stated above) of each individual turbine. Eligible projects exceeding a total rated capacity of 99 kW with individual rated turbine capacities less than or equal to 99 kW will be eligible for the Micro Wind rebate only for the first 99 kW installed. Additional capacity is not eligible for any rebates under the Commonwealth Wind program.

Projects seeking to install a single turbine with a nameplate capacity of 100 kW or greater must pursue funding from the Community Scale portion of Commonwealth Wind.

**Small Project Carve-Out**

The MassCEC Micro Wind program reserves a minimum of 25% of its annual budget for projects with rated capacity of 15 kW or less. This small project carve-out is in effect for the first nine months of the fiscal year (July 1 through March 31). On April 1 of the year, the small project carve-out is suspended for the remainder of the fiscal year (April 1 through June 30). Submitted applications will not be processed if program funding is not available at the time of submission. If the Micro Wind budget necessitates enforcement of the Small Project Carve-Out, the MassCEC Micro Wind team will post the applicable information on the program webpage. Please contact the Micro Wind Coordinator for any additional inquiries on the small project carve-out.

**Minimum Performance Threshold**

Projects must meet a minimum performance threshold. The minimum performance threshold requires that the system have an expected capacity factor (CF) of at least 10% (based on rated capacity at 11 m/s) as calculated directly from the CWEST site report. Please note that MassCEC requires the CWEST report to include a 10% wind speed derate factor to be utilized in conjunction with the wind maps integrated in the current version of CWEST, as recommended in the Small Wind Progress Briefing from 2008 which is located on the Micro Wind Resources webpage. MassCEC reserves the right to change any CWEST assumptions if it deems appropriate.

Hub height for vertical axis wind turbines (VAWTs) is defined as the height of the midpoint of the cross-sectional wind sweep area. For any questions on performance thresholds or hub height calculations please contact the Micro Wind coordinator.

Project sites that do not meet the performance criteria based on the CWEST report may still qualify based on at least six months of collected site wind speed data. Site wind speed data must be collected under the following conditions:

- Monitoring equipment must conform with Equipment Requirements stated in Attachment E, the Wind Project Monitoring Requirements,
- Monitoring must be within 200 feet of the project site,
- Monitoring equipment location must be within 20 feet of project elevation (data must be corrected for elevation differences),
- Monitoring must be on a tower with the highest wind speed sensor mounted at least 50% of the proposed turbine’s hub height. The monitoring must use two wind speed sensors spaced at least 20% of hub height or at least two meters apart, whichever is greater. Alternatively, one wind speed sensor may be used if mounted at proposed turbine hub height.

Collected wind speed data must be seasonally and historically adjusted to represent
an average year’s wind climate. Please contact the MassCEC Micro Wind coordinator for guidelines on completing a seasonal and historic adjustment. Projects that do not meet the minimum performance threshold may be eligible for the “production-only pilot”. Please see “Production-Only Pilot Rebate” below and Section 4.3 for more information.

### Production-Only Pilot Rebate

For projects that MassCEC deems do not meet the minimum performance threshold but which the project host remains interested in developing, MassCEC will provide a limited number of “production-only” rebates. Projects must meet all other requirements and obligations included in this solicitation.

At the discretion of MassCEC, the “production-only” rebate is limited to the first five projects or 20 kW in total rated capacity that qualify and are awarded the “production-only” rebate, whichever comes first.

The production-only rebate structure is defined in Section 4.3.

### Existing Grantees

Existing Micro Wind/SRI Awarded Applicants are not permitted to forfeit their awards in order to reapply under a new rebate matrix.

Applicants receiving awards through other MassCEC programs for their proposed project are still eligible for Micro Wind grants. However, the value of the other award(s) made to a particular project under other MassCEC programs may be deducted from the assistance available through this Solicitation.

### Eligible Renewable Technologies

This Initiative is focused only on small wind systems. MassCEC will only fund approved wind technologies, as outlined below.

All technologies (manufacturer and model) must demonstrate compliance with at least one of the two minimum standards, outlined below, in order to be eligible for funding through the Commonwealth Wind Incentive Program: Micro Scale. In addition, all systems must meet the minimum rated capacity of 1 kW at 11 m/s and be below 100 kW in nameplate capacity in order to be eligible for funding.

1. Earn turbine eligibility through NYSERDA’s Small Wind Incentive Program as outlined on the NYSERDA website at: [www.powernaturally.org/programs/wind/incentives.asp](http://www.powernaturally.org/programs/wind/incentives.asp)
2. Earn approval by the Small Wind Certification Council (SWCC), outlined at: [www.smallwindcertification.org](http://www.smallwindcertification.org). In the future, MassCEC expects that the SWCC will be the preferred standard for turbine eligibility in MassCEC’s Micro Wind program. All manufacturers are encouraged to pursue certification from the SWCC.

Micro Wind is not intended to support projects using hydroelectric, landfill gas, fuel cells, advanced biomass, ocean thermal, wave or tidal energy.

### 50% Onsite Usage

The Applicant must demonstrate that 50% or more of the renewable energy produced by the proposed renewable energy system is expected to be used onsite or assigned through net metering based on annual production and usage estimates. For example, the Applicant’s onsite annual electricity consumption and expected net metering accounts must be greater than or equal to 50% of the estimated annual production of the renewable system. Only new construction projects may use energy modeling or similar estimates to demonstrate 50% onsite or assigned usage.

### Caps on

MassCEC has an annual cap for each Awarded Applicant Entity or Host Customer.
**Awarded Applicant Entities and Host Customer Entities**

Entity and therefore will not process new applications involving an Awarded Applicant Entity or Host Customer Entity that will result in that Entity’s involvement in more than $250,000 in Micro Wind Rebate Awards during a given fiscal year.

Accordingly, these related applications will not be placed into the Process Queue. MassCEC, at its sole discretion, will determine the applicability of the cap to an Applicant or Host Customer Entity in the event that the cap is reached.

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**Installer Requirements**

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<tr>
<th>Criteria</th>
<th>Minimum Requirement</th>
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<tbody>
<tr>
<td><strong>Turnkey Contract</strong></td>
<td>All Applicants must have a Turnkey Contract with their Installer, or Installer Entity, for a project. This Turnkey Contract must be in place at the time of application. A turnkey service and installation contract must include responsibility for the Micro Wind application and rebate process, securing required permits, the installation of the project, scheduling and participation in all required inspections, submittal of project completion documentation, and provision of warranty services as required. MassCEC can provide rebates to either the grantee or the installer, but the Rebate Recipient must be clearly designated in the Turnkey Contract.</td>
</tr>
<tr>
<td><strong>First Time Installers:</strong> “Crawl Before You Walk Policy”</td>
<td>First-time Installers are subject to MassCEC’s “Crawl Before You Walk Policy.” All first time installers are only eligible to initially submit one rebate application. The applications from first time Installers who are subject to the “Crawl Before You Walk Policy” must include an electrical diagram in addition to all the standard technical requirements of the program. Upon application review, approval, and execution of the Participant Agreement, the Project may be started. Once the Wind Project is complete, the site must pass an inspection by a MassCEC-designated auditor before the Installer may submit subsequent applications. More information is included in Attachment F to this solicitation.</td>
</tr>
<tr>
<td><strong>Minimum Insurance Requirements</strong></td>
<td>At no additional cost to the Rebate Recipient, the Project Installer, Installer Entity, and installation subcontractors shall purchase and maintain for the Term of this Agreement or longer as may be required herein, from a company or companies lawfully authorized to do business in the Commonwealth and having a rating no lower than A- (Excellent) from A.M. Best’s Key Rating Guide (latest edition in effect at the date of this Agreement and at the time of renewal of any policies required by this Agreement), the following insurance: Insurance Requirements (Projects 50 kW or less in rated capacity): • Commercial general liability insurance (form CG 00 01 or equivalent) in a limit of not less than $1,000,000 per occurrence, $1,000,000 per occurrence for personal injury, $2,000,000 general aggregate, and $1,000,000 products and completed operations aggregate written for a period of three years beyond final payment. • Minimum additional $1,000,000 umbrella for excess liability coverage. • Commercial automobile liability with a combined single limit of $1,000,000 with a hired and non-owned endorsement. Personal automobile liability coverage will be acceptable in lieu of commercial automobile coverage only if the vehicle used at the job site is not commercially insured. Limits for</td>
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</table>
personal auto must be at least $250,000 bodily injury per person, $500,000 bodily injury per accident, and $250,000 property damage per accident with an endorsement that the policy covers business related use with an additional $1,000,000 personal umbrella policy.

- Workers’ Compensation coverage as required by Chapter 152 of the Massachusetts General Laws with Employers’ Liability limits of $500,000 each accident, $500,000 disease-each employee and $500,000 disease-policy limit.

Insurance Requirements (Projects greater than 50 kW in rated capacity):

- Commercial general liability insurance (form CG 00 01 or equivalent) in a limit of not less than $1,000,000 per occurrence, $1,000,000 per occurrence for personal injury, $2,000,000 general aggregate (applied per job), and $1,000,000 products and completed operations aggregate written for a period of three years beyond final payment.

- Minimum additional $2,000,000 umbrella for excess liability coverage with terms and conditions that are at least as broad as the underlying liability policies and for concurrent terms with the underlying commercial general liability insurance.

- Commercial automobile liability with a combined single limit of $1,000,000 with a hired and non-owned endorsement. Personal automobile liability coverage will be acceptable in lieu of commercial automobile coverage only if the vehicle used at the job site is not commercially insured. Limits for personal auto must be at least $250,000 bodily injury per person, $500,000 bodily injury per accident, and $250,000 property damage per accident with an endorsement that the policy covers business related use with an additional $1,000,000 personal umbrella policy.

- Workers’ Compensation coverage as required by Chapter 152 of the Massachusetts General Laws with Employers’ Liability limits of $500,000 each accident, $500,000 disease-each employee and $500,000 disease-policy limit.

The Project Installer agrees that the Commercial General Liability insurance set forth above shall be primary and non-contributing with respect to any insurance carried by Rebate Recipient or the Project Installer’s subcontractor and that Project Installer’s insurance policy shall not (i) exclude subcontractors from coverage or (ii) have any restrictions on coverage resulting from subcontractors failing to maintain certain levels of insurance. In addition, if the Project is a residential property, the General Liability and Umbrella policies must include coverage for “residential work”. The Commercial General Liability insurance shall name the Rebate Recipient and Massachusetts Clean Energy Technology Center as additional insureds with coverage at least as broad as the coverage provided to the named insured.

The Project Installer agrees that the insurance set forth above shall be written on an occurrence basis, unless Rebate Recipient approves in writing, coverage on a claims-made basis.

Certificates of insurance reasonably acceptable to the Rebate Recipient (or upon Rebate Recipient’s request, a copy of the policies for verification) that include insurance coverages required and specified above shall be delivered to the Rebate Recipient and MassCEC promptly after execution of an Agreement. Each policy
shall contain all generally applicable conditions, definitions, exclusions and endorsements related to the Project. These certificates and the insurance policies required shall contain a provision that coverages afforded under the policies will not be canceled, modified or allowed to expire until at least thirty (30) days’ prior written notice has been given to the Rebate Recipient and MassCEC. MassCEC shall accept a 10 day notice for cancellation for non-payment of premium as required by insurance company. In the event that any insurance policy providing coverages required by this Agreement will expire during the Term of this Agreement, the Project Installer shall, not less than fifteen (15) days prior to the policy’s expiration date, deliver to the Rebate Recipient and MassCEC certificates of insurance evidencing renewal of such policies. If any of the foregoing insurance coverages are required to remain in force after final payment, an additional certificate evidencing continuation of such coverage shall be submitted with the invoice for final payment.

The Project Installer hereby agrees and acknowledges that (i) Project Installer shall give prompt written notice to Rebate Recipient and MassCEC upon becoming aware of any and all losses, damages, or injuries to any person, which may in any way be related to the Work or which might reasonably give rise to a claim against Project Installer, Rebate Recipient or MassCEC; (ii) Project Installer shall promptly report to Rebate Recipient any claims asserted against the Project Installer, whether related to matters insured or uninsured; (iii) Project Installer shall not settle or provide payment for any claim or loss, injury or damage or other matter as to which Rebate Recipient and/or MassCEC may be charged with an obligation to make any payment or reimbursement without the prior written approval of Rebate Recipient and/or MassCEC as applicable; (iv) the carrying of any of the insurance required hereunder shall not be interpreted as relieving the Project Installer of any responsibility to Rebate Recipient; and (v) Project Installer shall assist and cooperate with any insurance company in the adjustment or litigation of all claims arising under this Agreement.

The Project Installer hereby agrees and acknowledges that the failure to provide and continue in force any insurance required in accordance with the terms of this Agreement shall constitute a material breach of this Agreement.

**Submitting Insurance**

All certificates should be submitted via FAX:
- Attn: Kathleen Garrett
- Fax #: 1-888-764-7633

For questions, please contact Kathleen Garrett directly at:
- kgarrett@ebix.com
- 678-281-0306

**Cap on Awards for Each Installer Entity**

MassCEC has a cap for each Installer Entity and therefore will not process new applications involving an Installer Entity that will result in that Installer Entity’s involvement in more than $250,000 in Micro Wind awards for that fiscal year. Accordingly, these related applications will not be placed into the Process Queue.

Any work that the Installer Entity is doing as the primary Installer or subcontractor is considered “involvement” and applies toward calculation of the caps. MassCEC, at its sole discretion, will determine the applicability of the cap to an Installer Entity in the event that the cap is reached.

**Existing MassCEC Service**

Entities providing services directly to MassCEC through a Master Services Agreement and associated Work Orders are not eligible to receive funding under
## Providers
Micro Wind either as an Applicant or as an Installer.

## Third-Party Ownership Projects
For a Third-Party Ownership project, documentation must be included with the application that illustrates a contractual relationship between the Host Customer and the Third-Party Owner (the System Owner). All Installers/Installer Entities that submit an application for a Third-Party Ownership project must either submit with the application a copy of the signed Power Purchase Agreement (PPA) or a signed Memorandum of Understanding (MOU) indicating that a PPA is forthcoming. If an MOU is submitted with the application, a signed PPA must then be submitted at or prior to Project Completion.

In the case of a Third-Party Ownership project, the parties to this agreement must be the same legal entities as those listed on the application. MassCEC will not make or rely on assumptions about contractual rights; applications that do not clearly delineate the required contractual relationships will be rejected.

## Installation Requirements

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Minimum Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Minimum Technical Requirements</strong></td>
<td>Applicants and Projects must comply with the Minimum Technical Requirements in Attachment A, one requirement of which is that renewable energy project electrical work must be performed by a Massachusetts licensed electrical professional. In addition, all installations must be done in compliance with local, state, and federal laws.</td>
</tr>
<tr>
<td><strong>Project Timeframe</strong></td>
<td>Applications must be approved by MassCEC prior to installation in order to qualify for payment. No rebate funds may be used to reimburse or write down costs incurred prior to applicant’s receipt of the rebate award commitment letter and execution of the Participants Agreement. All projects must be completed within one year of the rebate award. MassCEC reserves the right to rescind awards to projects that are not completed within the allowed timeframe. MassCEC has sole discretion on the determination of which projects may be granted extensions. It is the general policy of MassCEC to not grant extensions unless there are extenuating circumstances.</td>
</tr>
</tbody>
</table>

## Other Requirements

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Minimum Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Permit Prerequisite</strong></td>
<td>Project is not required to secure a building permit at the time of application. However, prior to the execution of the Participant’s Agreement between the MassCEC and the Awarded Applicant, all projects must have secured and submitted to the MassCEC all required building permits and licenses. Applicants may submit the building permit with the application or within 60 days of receiving the notification of an award offer. Applicants are required to submit the building permit within 60 days after receiving an award offer. If MassCEC does not receive a building permit</td>
</tr>
</tbody>
</table>
within 60 days of the applicant receiving an award offer, MassCEC reserves the right to rescind the award offer.

Applications for projects in municipalities that do not require permits for certain projects must be accompanied by letters to that effect from an appropriate town official.

In addition, MassCEC, at its sole discretion, may reject projects that meet Minimum Technical Requirements, but do not demonstrate that they are responsibly and appropriately sited (e.g., proximity to neighbors, not enough land, inadequate clearance, etc...).

| Prevailing Wage | Applications for projects subject to the prevailing wage requirements of Chapter 149 of the Massachusetts General Laws, including but not limited to public construction projects, must agree that any work performed on such project will be compensated according to the wages applicable to each labor classification determined by the Division of Occupational Safety of the Massachusetts Department of Labor and otherwise comply with Chapter 149. |
| Public Procurement Compliance (Government entities only) | Massachusetts government entities must demonstrate compliance with Massachusetts Public Procurement Law. For more information: [http://www.mass.gov/ig/igch30b.htm](http://www.mass.gov/ig/igch30b.htm) |
4. **Micro Wind Funding and Rebates**

4.1. **Project Funding**

Applications will be processed on a “first come – first served” basis. MassCEC will not provide funding that would, in MassCEC’s sole determination, exceed total project costs. Total project costs shall include all costs presented by the Applicant, less all other available incentives, including any state or federal rebates, subsidies, and tax incentives, discounted to present value where necessary. MassCEC will evaluate these situations on a case-by-case basis, and shall reserve the right to reduce any award projected to exceed total project costs by an amount sufficient to prevent the excess.

4.2. **Standard Rebate Cap and Matrix**

The standard rebate consists of a hybrid rebate structure, where a portion of the incentive is based on installed capacity and a portion is based on estimated project performance. The hybrid rebate is paid as follows: 90% after installation and 10% after 12 months of reporting to the Production Tracking System.

MassCEC has provided in the application documents and on the website an updated calculator which automatically calculates total rebate values for typical wind turbine sizes. MassCEC strongly recommends that potential Applicants and Installers use these tools when calculating potential award incentives.

Public entities are eligible for a rebate adder of 30%. This adder is applied to both rebate levels stated below.

The **Installation Rebate** is calculated based on rated capacity (kW) using the following equation:

\[
\text{Rated Capacity} \times 460 + 3200
\]

The Estimated Performance Rebate will be paid with the installation incentive based on estimated electricity production. Estimated electricity production must be calculated using the Commonwealth Wind Evaluation and Siting Tool (CWEST) which is available through Attachment C. The estimated annual production and applicable assumptions will be verified by MassCEC. Please note that CWEST estimates must utilize a 10% wind speed derate factor, as stated in the Customer and Project Requirements section of this solicitation. The **Estimated Performance Rebate** is based on Expected Production (kWh) and rated capacity (kW) using the following equation:

\[
\text{Expected Production} \times 2.8 \times (\text{Rated Capacity}^{-0.29})
\]

For projects that, after 12 months of operation, outperform their estimated performance, a bonus incentive may be available. This bonus incentive is paid on a $/kWh basis and is of equivalent value to the projected performance incentive. This total bonus incentive is limited to 20% of the estimated performance incentive.

The total rebates per project are subject to two overall caps:

**Public Projects:**
- MassCEC will not pay more than $4.00/W based on the highest rated capacity of the project up to 11 m/s, and
- MassCEC will not provide a total grant greater than $130,000 per Project.

**Non-Public Projects:**
- MassCEC will not pay more than $5.20/W based on the highest rated capacity of the project up to 11 m/s, and
- MassCEC will not provide a total grant greater than $100,000 per Project.

Examples of possible rebates for small wind turbines are:
### Commonwealth Wind Incentive Program: Micro Scale

**Solicitation No. 2011-CWIPMS-04**

<table>
<thead>
<tr>
<th>Project Capacity</th>
<th>Estimated Capacity Factor</th>
<th>Installation Rebate ($USD)</th>
<th>Estimated Performance Rebate ($USD)</th>
<th>Total Rebate ($USD)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Public Projects</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 kW</td>
<td>10%</td>
<td>$5,356</td>
<td>$5,044</td>
<td>$10,400</td>
</tr>
<tr>
<td>5 kW</td>
<td>15%</td>
<td>$7,150</td>
<td>$14,996</td>
<td>$22,146</td>
</tr>
<tr>
<td>10 kW</td>
<td>20%</td>
<td>$10,140</td>
<td>$32,707</td>
<td>$42,847</td>
</tr>
<tr>
<td>50 kW</td>
<td>25%</td>
<td>$34,060</td>
<td>$95,940</td>
<td>$130,000</td>
</tr>
<tr>
<td><strong>Non-Public Projects</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 kW</td>
<td>10%</td>
<td>$4,120</td>
<td>$3,880</td>
<td>$8,000</td>
</tr>
<tr>
<td>5 kW</td>
<td>15%</td>
<td>$5,500</td>
<td>$11,535</td>
<td>$17,035</td>
</tr>
<tr>
<td>10 kW</td>
<td>20%</td>
<td>$7,800</td>
<td>$25,159</td>
<td>$32,959</td>
</tr>
<tr>
<td>50 kW</td>
<td>25%</td>
<td>$26,200</td>
<td>$73,800</td>
<td>$100,000</td>
</tr>
</tbody>
</table>

Rebates may be considered taxable income to the Rebate Recipient by the Internal Revenue Service of the United States of America and the Department of Revenue of the Commonwealth of Massachusetts. Rebate Recipients are strongly encouraged to consult with a tax professional to determine the federal and/or state tax implications of receipt of the Rebate. The Rebate Recipient is responsible for any federal or state tax liability incurred as a result of the Rebate.

### 4.3. Production-Only Pilot Rebate

For projects that MassCEC does not expect will meet the minimum performance threshold but meet all other program requirements, a limited number of production-only rebates will be available. The rebate is based solely on actual electricity production after the first 12 months of operation. The **Production-Only Pilot Rebate** is calculated based on the standard rebate for a system that would have met the performance threshold, utilizing a 10% capacity factor using the following equation:

\[
\text{Production} \times \left( \frac{\text{Installation Incentive} + \text{Estimated Performance Rebate}_{10\%}}{\text{kWh}} \right)
\]

This rebate is available for electricity production up to a 10% capacity factor (based on rated capacity). Production above a 10% capacity factor will receive an additional rebate equivalent to the standard Performance Rebate calculation and subject to all standard rebate limitations.
5. Application and Payment Process

In summary, the application and payment process involves the following steps. These steps and related responsibilities (for prospective Applicants, Installers, Rebate Recipients, and MassCEC) are discussed in greater detail in this section:

- Prospective Applicant First Steps
- Find an Installer
- Prepare and Submit Application w/Original Signatures
- MassCEC Review and Approval of Application
- Receive Award Packet and Initial Installation
- Complete Installation and Submit Project Completion Form
- Payment Process
- Production Reporting
- Public Education Support

5.1. Prospective Applicant First Steps

Prior to contacting an Installer, Applicants that are interested in a Micro Wind Project should do the following:

1. **Determine Eligibility.** Micro Wind rebates are only available to electricity customers on record in an eligible electric provider territory which is a contributor to the Renewable Energy Trust Fund.

2. **Determine if Wind is Compatible with the Site.** Prior to contacting an installer, prospective Applicants should do some homework to determine whether or not wind energy is compatible for their home or building.

3. **Estimate Rebate.** The Micro Wind rebate will only cover some of the system costs. As discussed in the next step, the Installer can provide prospective applicants with a more detailed estimate of the rebate and project costs.

The Micro Wind website provides links to resources, including how to address the issues above.

5.2. Find an Installer

Prospective applicants are responsible for selecting an Installer. Installers can help prospective Applicants with a more detailed site and financial assessment. In addition, they will be responsible for providing rebate recipients with a turnkey service and installation. Prospective applicants are encouraged to perform their own due diligence with regard to the experience and qualifications of a potential Installer and make sure that they meet Micro Wind requirements, including insurance.

5.3. Prepare and Submit Application

The selected Installer will be responsible for preparing and submitting the rebate application on behalf of the applicant. The applicant will need to assist them by (i) providing supporting materials, such as an electric bill, (ii) reviewing and approving the application package by signing the application, and (iii) signing the required turnkey contract. All signatures in the application package must be originals. Electronic signatures (e.g. faxed) will not be accepted.

The application must be completely filled out and include all supporting documentation. A separate application must be submitted for each proposed project. Hard copies of the applications must be mailed or delivered to MassCEC. Applicants are encouraged to use certified mail, or equivalent forms of delivery. It is the sole responsibility of the Installer and applicant to ensure that its application is complete and is properly submitted to MassCEC.

Applications must be submitted to:

**Commonwealth Wind Incentive Program: Micro Scale**
5.4. MassCEC Review and Approval of Application

Once MassCEC receives a Micro Wind application, MassCEC staff reviews each application for original signatures, completeness and accuracy. Funding is available on a first come, first served basis for complete applications.

1. Incomplete Applications. Incomplete applications will not be accepted nor added to the process queue for approval until they have been 100% completed to the satisfaction of MassCEC. Applicants submitting incomplete or inaccurate applications will be notified by email within 90 days. MassCEC reserves the right to send rejection emails to applicants that submit incomplete applications and require the applicant to resubmit a complete application. The submission of incomplete applications will result in significant delays and possibly lower award amounts.

2. Complete Applications. On an ongoing basis, MassCEC staff present recommendations for awards to complete applications to the Director for final approval.

MassCEC reserves the right to inspect sites prior to approving applications. In addition, MassCEC reserves the right to not accept new applications that include contractors that are involved in awarded applications that have exceeded project timeframe requirements.

5.5. Applicant Initiates Installation

Once the award has been approved by the Director, MassCEC sends each Awarded Applicant a packet with a rebate award commitment letter and related materials. The award letter indicates the amount of the rebate award, the project completion deadline, and other requirements. Related materials might include a Participants Agreement (Attachment D), Project Completion Form, and information on the Production Tracking System (more info below).

If the Applicant submitted a building permit with the application, the Applicant will receive the Participant’s Agreement with the award packet. If the Applicant has not yet submitted a building permit, the MassCEC will send an award notification without the Participant’s Agreement. The Applicant then has 60 days to provide MassCEC with the building permit. If the building permit is submitted to MassCEC within that timeframe, the award packet with the Participant’s Agreement will be sent to the Awarded Applicant. If the Participant’s Agreement is not provided to MassCEC within 60 days, the award offer may expire.

The Participant’s Agreement includes the terms and conditions of the Micro Wind rebate. The Awarded Applicant must accept the program terms and conditions by signing and returning the Participant’s Agreement with an original signature to MassCEC prior to beginning work on the applicable renewable energy project. Applicants are encouraged to use certified mail, or equivalent forms of delivery.

Once MassCEC has received the signed Participant’s Agreement, Awarded Applicants are authorized to proceed with the installation. MassCEC will only notify awarded applicants if we do not receive the Participants Agreement within 30 days of sending. Awarded applicants are responsible for notifying contractors to proceed with installation.

It is important to note that the award packet contains the documentation needed to secure your rebate payments. Awarded applicants should keep these in a safe place during the installation process.

For those projects that are rejected, MassCEC notifies the applicant of their rejection in writing.

5.6. Installer Completes Installation
Once the Wind Project has been installed and interconnected, the Installer will work with the Awarded Applicant to submit the Project Completion Form and back-up documentation so that the Awarded Applicant can receive the first rebate payment. MassCEC staff reviews each Project Completion Form for completeness and accuracy. Hard copies of the project completion paperwork must be mailed or delivered to MassCEC. Applicants are encouraged to use certified mail, or equivalents. It is the sole responsibility of the awarded applicant to ensure that the Project Completion Form is completed and is properly submitted to MassCEC.

1. **Incomplete Project Completion Forms.** Applicantssubmitting incomplete or inaccurate forms will be notified by email. However, the form will not be approved for payment until it has been completed to the satisfaction of MassCEC. Incomplete forms will not be returned to the Applicant.

2. **Complete Forms.** MassCEC staff approves each project for the first payment milestone and issue checks on a rolling basis.

All projects are subject to post-installation inspections prior to MassCEC approval for payments.

The rebate payments are contingent on the project, as built, complying with the proposed project plan upon which the rebate award was based and compliance with the Minimum Technical Requirements. Any changes in scope may affect the rebate amount. In addition, under no circumstances will MassCEC provide an increased rebate beyond those stated in Section 4.2. Furthermore, if the project fails to comply with the Minimum Technical Requirements, MassCEC may choose to rescind the award.

5.7. **Payment Process**

Pending satisfactory completion of MassCEC post installation inspections, payments are made directly to either the Awarded Applicant or the Installer, as was agreed in the turnkey contract. Typically, there are two payment milestones:

1. **First Payment Milestone.** The first payment milestone is based on installed capacity and estimated performance and is paid after submission of a Project Completion Form and system inspection. The payment consists of 90% of the total project award. MassCEC expects to pay the first payment within 60 days of receipt of all required documentation.

2. **Second Payment Milestone.** The second payment milestone will be payable after completion of 12 months of production reporting and submission of onsite wind measurement data. The Second Payment will be released after completion of a minimum of 12 months of production reporting to the Production Tracking System. Failure to report for 12 months and to submit wind speed data will forfeit the second payment. MassCEC expects to pay the performance rebate within 60 days of receipt of all required documentation.

5.8. **Mandatory System Energy Production Reporting**

System Owners of MassCEC-funded renewable energy projects or their designee must report the system's electrical output every month to MassCEC's Production Tracking System (PTS) for at least the first year of operation. As part of the award packet, MassCEC will send an overview of the PTS and a link to instructions on its use to the Awarded Applicant. PTS instruction can also be found on the web at: [http://ar.masstech-pts.org/downloads/](http://ar.masstech-pts.org/downloads/).

1. **Reporting Background.** In summary, reporting to the PTS involves the following steps:

   1. Once the Applicant is awarded a rebate, MassCEC or the PTS Administrator will email the Awarded Applicant PTS login information including a username and password. The Awarded Applicant should log in at this time and keep this information in a safe place for later use.

   2. Upon project completion, the System Owner, or designated representative, must go to the PTS website specified in the instructions and enter all first time data (e.g. date the renewable energy system started producing power).
3. Each month, unless using Automated Reporting, the System Owner, or designated representative must manually enter production data into the website.

The PTS is used to support the Performance Bonus Payment and to provide MassCEC and system owners with the information necessary to monitor and evaluate the effectiveness of the projects. In addition, system owners are encouraged to participate in the green power markets by selling the Renewable Energy Certificates (RECs) that are produced by their system and accounted for in PTS.

2. Mandatory Automated Reporting (projects greater than 10 kW in rated capacity). Owners of MassCEC-funded Wind projects greater than 10 kW (dc) are required to use an automated reporting system which meets the requirements described in the link below to report the system’s electrical output every month to MassCEC’s Production Tracking System (PTS). This option is only available for systems tracked by a Data Acquisition System (DAS). Typically, an Installer/Integrator will have more information on Automated Reporting products. For more information on Automated Reporting requirements visit: http://ar.masstech-pts.org/downloads/. MassCEC may require multiple smaller commercial systems on the same property or campus that, in aggregate, exceed 10 kW to install a DAS and report to the PTS.

5.9. Mandatory System Performance Data Reporting

System Owners of MassCEC-funded renewable energy projects or their designee must also report the system’s wind performance data to MassCEC or its designee. More details are included in Attachment E to this solicitation. The Second Milestone Payment after the first year of operation will be tied both the consistent PTS data reporting and to system performance data reporting.

5.10. Public Education and Program Evaluation Support

Awarded Applicants and their Installers are required to provide good faith cooperation with MassCEC’s public education and evaluation activities, including, but not limited to: providing photos of projects, supporting development of case study materials for public dissemination, and cooperating with MassCEC or its consultants to schedule and complete site audits.

5.11. Questions and Answers

Prospective applicants are encouraged to visit the website for information and updates prior to submitting a question. Questions concerning this Solicitation should be submitted in writing (e-mail, mail, and fax) to the contact listed below. All inquiries should reference the Solicitation (no. 2011-CWIPMS-04).

The contact for questions is:

Commonwealth Wind Incentive Program: Micro Scale Coordinator
Massachusetts Clean Energy Center
55 Summer Street
9th Floor
Boston, MA 02110
Email: microwind@masscec.com
6. **Application and Payment Process**

6.1. **Notice of Public Disclosure**

6.1.1. **General Statement**

As a public entity, MassCEC is subject to Massachusetts' Public Records Law, codified at Chapter 66 of the Massachusetts General Laws. Thus, except for those documents exempted from disclosure, any documentary material, data, or other information received by MassCEC from an Applicant is a public record subject to disclosure. Applicants are advised to review Chapter 66 prior to submitting any information to MassCEC.

Notwithstanding the above, certain kinds of information may be statutorily exempt from public disclosure under the limited exemption at Chapter 23J, Section 2(k) of the Massachusetts General Laws. Specifically, materials that fall under one of the following categories may be determined to be not public records and thus not subject to disclosure:

1. Information, documents, or data that consist of trade secrets;
2. Information, documents, or data that consist of commercial or financial information regarding the operation of any business conducted by the Applicant; and
3. Information, documents, or data regarding the Applicant’s competitive position in a particular field of endeavor.

6.1.2. **Procedures for Handling Documents Identified as “Sensitive Information.”**

An Applicant may assert a claim of confidentiality for part or all of the information submitted to MassCEC. To make a claim of confidentiality, an Applicant must:

1. Clearly identify the documents, reports, or other information you wish to receive confidential treatment and mark such materials “CONFIDENTIAL”. Where a portion of an otherwise nonconfidential document is alleged to be confidential, the confidential portions should be clearly identified and marked.
2. State the basis for your claim of confidentiality (whether trade secret, commercial or financial information, or competitive position information) and whether disclosure of the information would likely result in substantial harm to your business. If substantial harm would result from disclosure, state what those harmful effects would be and their causal connection to disclosure of the information;
3. State the period of time for which confidential treatment is desired (e.g., until a certain date, until the occurrence of a specific event, or permanently);
4. Submit nonconfidential information (including any redacted versions of partially confidential documents) separate from all materials for which you request confidential treatment.

All confidentiality claims are subject to verification by MassCEC. If no confidentiality claim is made when information is received by MassCEC, then it may be made publicly available without further notice to you.

6.2. **Contractual Requirements**

MassCEC intends to enter into a Participant’s Agreement (Attachment D) with the selected Applicants. Upon MassCEC notification of a rebate award, the Rebate Recipient will execute the Participant’s Agreement.

6.3. **Waiver Authority**
MassCEC reserves the right, at its sole discretion, to waive minor irregularities in submittal requirements, to request modifications of the application, to accept or reject any or all applications received, and/or to cancel all or part of this Solicitation at any time prior to awards.

6.4. Disclaimer

This Solicitation does not commit MassCEC to award any funds, pay any costs incurred in preparing an application, or procure or contract for services or supplies. MassCEC reserves the right to accept or reject any or all applications received, negotiate with all qualified Applicants, cancel or modify the Solicitation in part or in its entirety, or change the application guidelines, when it is in its best interests.

6.5. Changes/Amendments to Solicitation

This Solicitation has been distributed electronically using MassCEC’s website. It is the responsibility of Applicants to check MassCEC’s website for any addenda or modifications to a Solicitation to which they intend to respond. MassCEC, the Commonwealth of Massachusetts, and its subdivisions accept no liability and will provide no accommodation to Applicants who submit an application based on an out-of-date Solicitation.