

Navigator Pre-Development Loan Required Application Documentation

A. Loan Application

- [Navigator Pre-Development Loan Application](#)

B. Technical Documents

1. Statements of experience for technical service providers (see Appendices A & B)

C. Financial Documents

1. Current year operating budget for the property
2. For existing buildings, the previous two years':¹
 - a. Income/operating statements,
 - b. Statements of cash flows, and
 - c. Balance sheets for the property
3. Confirmation that property taxes are current
4. Copy of most recent mortgage statement
5. For new construction, a corporate and/or parent company guarantee is required
6. Evidence of the ability to fund the required 20% share of costs

¹ Audited or reviewed for all statements is preferred; if unaudited/unreviewed, supply complete copy of most recent 2 years tax return packages.

Appendix A – Statement of Experience for Technical Assistance Providers

Please provide the following information for each of the TA Provider(s)

Name of Firm: _____

Address: _____

Contact Person for this Project: _____

Phone: _____

Email: _____

Individual who will be the lead on this project: _____

Other employees or contractors who will contribute to this project: _____

Brief Project Description and Goals: _____

Budget Amount for the services: \$_____

Describe the Licensing and/or certifications of the firm, the individuals, or contractors (i.e. Professional engineer with relevant energy experience, a qualified energy engineer – a Certified Manager or Certified Energy Auditor, or demonstration of relevant experience for comparable projects.):

Describe comparable projects and/or other energy projects completed within the last two years. Provide a brief description of the projects, their costs, and results. Please provide brief resumes for the individuals who will be working on this project that focus on their energy experience. Also describe, # of years in energy projects, # of employees and what percentage of your business is related to energy projects.

Appendix B – Contractor Compliance Agreement

Eligible Contractor Non-Performance, Misconduct, Improper, and Illegal Behavior

To establish and maintain projects' consistent technical and financial performance, Inclusive Prosperity Capital (IPC) may, in its sole discretion, impose a probation, suspension, or termination of Eligible Contractors' eligibility to participate in any or all of IPC's financing programs ("Program") at any time if Program requirements are not met, or for misconduct, improper, or illegal behavior in connection with the Program or any other IPC program, such behavior includes, but is not limited to:

- Excessive property owner complaints regarding customer service
- Failure to ensure that all employees and subcontractors are properly licensed according to applicable state law and adhere to the requirements of the Program
- Improper incentive activity, including, but not limited to, failure to pass 100% of applicable rebate(s) as a reduction of upfront project cost to the property owner
- Misrepresentation of system functioning, including, but not limited to:
 - Submitting inaccurate contracts
 - Submitting inaccurate site plans
 - General discrepancies between documentation and IPC independent verification reports (i.e. inspections)
- Multiple inspection failures, including, but not limited to, failing to meet OSHA safety requirements on multiple system installs
- Failure to submit updated licensing, insurance, or other paperwork in a timely manner
- Failure to meet requirements of other relevant IPC programs
- Violation of any Program rules or ethical standards
- A lapse in required credentials
- Misrepresentation of IPC programs to property owners
- Submission of falsified documents or unauthorized signatures to the Program or any other IPC program
- Commission of any illegal actions while participating in the Program
- Criminal conviction of Eligible Contractor principal(s) that detrimentally impresses upon the Program or any other IPC program or the integrity or workmanship of the Eligible Contractor
- Eligible Contractor bills for uninstalled measures
- Failure to pull municipal permits where required by either the Eligible Contractor or designated subcontractor
- Any other Program violations in IPC's sole and reasonable determination

Eligible Contractors may be given reasonable opportunity to correct problems identified by IPC; however, IPC reserves the right to place on probation, suspend, or terminate the Eligible Contractor from the Program for any violation of Program rules, misconduct, improper, or illegal behavior as described above. Suspended Eligible Contractors may reapply to the Program after six (6) months. Suspended Eligible Contractors will submit a new application and include a plan for preventing future issues.

IPC's process for addressing such matters is as follows:

1. Upon IPC's notification of an act or omission as outlined in this Section 4.9, IPC may:
 - a. Request a written response to the allegations from Eligible Contractor, and
 - b. Forward non-performance, misconduct, improper and illegal behavior allegations to the appropriate state consumer protection authorities.
2. IPC will review Eligible Contractor response and request additional information as needed
3. IPC will respond in writing with its findings and with any disciplinary action. Such disciplinary action shall include, but not be limited to:
 - a. Probation
 - b. Suspension from the Program for up to one (1) year
 - c. Termination from the Program
4. Issues regarding inspection are to be corrected by the installer/ contractor

If Eligible Contractor disagrees with decision made by IPC staff, Eligible Contractor may appeal the decision within thirty (30) days to IPC executive management, setting forth a written response to the allegations and findings of the IPC staff. The Eligible Contractor shall have the right to present their appeal at a scheduled meeting. The decision of IPC executive management shall be the final IPC determination on the matter.

I, _____, representative of _____, agree
(Full Name) (Company Name)

to the outlined terms above as conditions for program eligibility.

Contractor Signature

Date