



Home Electrification and Appliance Rebates Program: Sample Application Responses and Guidance

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Modification Note: This version modifies sample responses for some of the questions below (changes are highlighted in yellow). This version also makes clerical fixes.

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Introduction

This document provides example responses and additional guidance to assist a state/territory¹ in applying for and implementing the Inflation Reduction Act (IRA) Home Rebate Program(s) in accordance with the requirements of the Administrative and Legal Requirements Document and the [Program Requirements & Application Instructions](#).²

- Applicants are **not** required to use this document. It is intended to serve as a useful starting point for applicants to frame their responses reflecting DOE program requirements.
- States **are** encouraged to modify the sample responses (blue text) as needed to describe their intended approach. If a state believes the sample response provided by DOE reflects what the state intends to do and submits a verbatim response, DOE will seek confirmation from that state that they fully intend to do what is written.
- Many questions will have responses that will vary depending on a state's program design, policies, and program objectives. In these cases, DOE provides prompts (RED SMALL CAPS TEXT) that provides guidance on what type of information should be included to fulfill the requirement of the questions.
- Note that certain terms, such as "implementation contractor," are used frequently in the sample responses. In some but not all cases for the sake of brevity, the responses include alternatives such as "other entities." However, it should be clear that states are not expected to use implementation contractors and/or many other specifics noted in the sample responses. A state should ensure that their applications/responses accurately reflect their proposed approach.
- This document provides example responses to all questions, including questions that can be deferred to the Implementation Blueprint. A State Implementation Blueprint must be submitted after receipt of the award and a minimum of 60 days prior to planned program launch. DOE will provide the state feedback and approval to proceed. States must receive DOE approval on the State Implementation Blueprint before launching their program.
- Applicants can also find other helpful resources and recommended approaches on the [Recommendations for Home Energy Rebate Program Administrators webpage](#).

¹ State and Territorial Energy Offices are eligible to apply for funds to offer rebates under Sections 50121 and 50122. The term "state" used throughout this document refers to any State or Territorial Energy Office applying to offer these rebates.

² [Full Home Energy Rebate Program Funds Administrative and Legal Requirements Document \(ALRD\)](#)–Issued July 27, 2023. Last updated October 13, 2023. [Home Energy Rebate Program Requirements & Application Instructions](#)–Issued July 27, 2023. Last updated October 13, 2023.

Relevance to Tribes

DOE is issuing separate guidance for Tribes interested in providing rebates under IRA Section 50122. However, some of these sample responses included in the sections on 50122 may be relevant to Tribes as they develop applications and design rebate programs.

Home Electrification and Appliance Rebates State Programs (Sec. 50122)

Use of Funds and Rebate Eligibility

Section 4.1.1 Use of Funds

1. Please provide the types of allowable costs the state proposes within each category of **administrative funds** and **rebate funds** within those categories.

Note: These responses should correspond with the Standard Form 424, Standard Form 424A, and Budget Justification Workbook.

Please note that "rebate funds" indicate the remaining amount of grant funds after subtracting "administrative funds."

[ENTER STATE NAME] plans to use **administrative funds** to cover the following types of activities, for a total administrative fund annual cost of [ENTER NUMBER: \$X] (see also 1a below):

- Program planning and design [ENTER TOTAL \$X OR \$X PER PROJECT]
 - The state will contract with an organization with expertise in designing and delivering efficiency programs, with proven success in market uptake, sound installations, income verification, and delivering benefits to low-income households. Depending on the initial organization's experience reaching disadvantaged communities, the state may contract with another organization better suited to addressing this need.
- State program staff [ENTER TOTAL \$X OR \$X PER PROJECT]
 - The state plans to hire [ENTER NUMBER: X] full-time staff members, with the intent that their time will be split amongst the 50121 and 50122 awards. Our accounting systems can separately track these different funding sources and internal policies are in place to ensure the time is accurately tracked.
- Development of tools and systems for program administration, including websites, applications, rebate processing, and reporting [ENTER TOTAL \$X OR \$X PER PROJECT]
 - The state plans to fund a program implementation contractor or a separate qualified entity to develop user interfaces and systems for households, contractors, and others to use to apply for rebates, submit required documentation, etc., including income verification.
 - Depending on the interest of other state agencies with low-income programs, the state may also fund an IT firm to develop an application programming interface (API) that allows several low-income programs to

automatically share information regarding their enrollees, thereby substantially expediting income verification.

- Program evaluation and consumer satisfaction surveys [ENTER TOTAL \$X OR \$X PER PROJECT]
 - The state will conduct the required customer satisfaction questions included in the program requirements. The state is also planning to conduct a process and impact evaluation, which is described in question 44.
- Program monitoring and audits [ENTER TOTAL \$X OR \$X PER PROJECT]
 - In addition to state staff monitoring program delivery and overseeing the implementation contractor(s), the state may require outside assistance to respond to state or federal inquiries. The implementation contractor(s) and other providers (e.g., income verification services) will also be required to fulfill data reporting and analysis per the contract(s).
- Consumer protection functions including resolution procedures, data review, contractor management, installation standards, continuous improvement [ENTER TOTAL \$X OR \$X PER PROJECT]
 - In response to findings from periodic assessments of program performance (as well as any identified problems that arise throughout implementation), the state or its implementation contractor(s) will institute changes to address deficiencies in program delivery (or design).
 - The state will develop consumer protection guides or one-pagers that will be provided to all rebate applicants as one part of the consumer protection strategy.
 - The state will also either create a separate hotline and email inbox or dedicate state staff to respond to consumer questions and/or complaints.
 - State staff will fulfill contractor management needs with regular reviews of program implementer/other contractor data submissions.
- Marketing, education, and outreach, including the funding of local governments and place-based organizations to assist with these activities [ENTER TOTAL \$X OR \$X PER PROJECT]
 - The state [CHOOSE ONE: WILL HOLD/HAS HELD] [ENTER NUMBER: X] community engagement session(s) to better understand community interests and inform the program design.
 - The state will conduct separate outreach to retailers, manufacturers, and distributors.
 - The state, potentially with assistance from its implementation contractors or outside experts and partners, will develop marketing and education information for homeowners, tenants, retailers, contractors, and others as needed.
- Implementation contract cost not including rebates and costs for activities directly related to delivery of rebate [ENTER TOTAL \$X OR \$X PER PROJECT]

- The implementation contractor(s) will use administrative funds for data review and reporting, and to fulfill other programmatic management requirements.
- State oversight of implementation contractor and other service provider costs/contract management; data review and reporting.
- Contractor training [ENTER TOTAL \$X OR \$X PER PROJECT]
 - Contractor training and/or review of a contractor's certification(s) will be required before a contractor is placed on the qualified contractor list.
 - Training specifically to assist contractors in participating in the rebate program.
- Activities to improve access to rebates, facilitating leverage of private funds and financing mechanisms (e.g., loan loss reserves, interest rate reductions) where beneficial to efficiency and/or electrification projects [ENTER TOTAL \$X OR \$X PER PROJECT]
 - Depending on availability of resources, the state will engage financing organizations (e.g., green banks) to assist in making low-cost financing (or other incentives including the potential to establish and apply loan loss reserves) available to rebate applicants and providers (e.g., contractors).
- Technical assistance [ENTER TOTAL \$X OR \$X PER PROJECT]
 - Depending on availability of resources, the state and/or its implementation contractor(s) may provide technical assistance either directly or through specialized organizations to assist entities focused on serving disadvantaged communities and/or other priorities.

The state certifies that costs will not be duplicated on the Home Efficiency Rebates (Section 50121) award, or other awards, and are not duplicative from costs captured in the Indirect Rates.

The state plans to use **rebate funds** to cover the following types of activities, for a total rebate fund annual cost of [ENTER NUMBER: \$X] (see also 1b below):

- Rebates for allowable products [ENTER TOTAL \$X OR \$X PER PROJECT],
- Disadvantaged community incentives [PROVIDE ADDITIONAL INFORMATION IN RESPONSE TO QUESTION #2; ENTER TOTAL \$X OR \$X PER PROJECT]; and,
- The proposed set of activities listed in the response to question #2 [ENTER TOTAL \$X OR \$X PER PROJECT].

a. The total amount of estimated administrative funds to be expended annually.

[THIS RESPONSE SHOULD CORRELATE AND ALIGN WITH THE REBATE DELIVERY FUNDS JUSTIFICATION TAB OF THE BUDGET JUSTIFICATION WORKBOOK.]

CHOOSE ONE OF THE FOLLOWING:

OPTION 1: ENTER \$X BASED ON 20% OR LESS OF THE STATE'S REBATE FUNDS FOR 50122 DIVIDED BY THE EXPECTED NUMBER OF YEARS FOR PROGRAM IMPLEMENTATION (NO GREATER THAN 8 YEARS)

OR

OPTION 2: PROVIDE A FORECAST OF EXPECTED ADMINISTRATIVE COSTS EACH YEAR OF THE PROGRAM IMPLEMENTATION IF IT IS NOT EXPECTED TO BE THE SAME EACH YEAR. WHEN FORECASTING COSTS, CONSIDER THAT THERE MAY BE ADDITIONAL UPFRONT STARTUP COSTS THAT WILL NOT PERSIST THROUGH THE DURATION OF THE PROGRAM, AND THAT THE 20% MAXIMUM IS A CAP THAT APPLIES OVER THE DURATION OF THE ENTIRE PROGRAM (NOT EACH YEAR).]

- b. The total amount of estimated project-related costs as a portion of the rebate funds to be expended annually.

[INCLUDE THE AMOUNT (IN DOLLAR OR PERCENTAGE) OF REBATE FUNDS THAT WILL BE APPLIED TO PROJECT-RELATED COSTS EACH YEAR. IN ESTIMATING THIS AMOUNT, DO NOT INCLUDE ANY PROJECT-RELATED EXPENSES THAT WILL BE BORNE BY OTHERS (NOT THE STATE). THIS SHOULD CORRELATE AND ALIGN WITH THE REBATE DELIVERY FUNDS JUSTIFICATION TAB OF THE [BUDGET JUSTIFICATION WORKBOOK](#).]

NOTE: ALL ADMIN FUNDS SHOULD BE USED FIRST BEFORE SUBMITTING A REQUEST FOR THESE FUNDS THAT INCLUDES A JUSTIFICATION ON TAB J IN THE [BUDGET JUSTIFICATION WORKBOOK](#).

2. If requesting rebate funds for any project-related activities, describe and justify each activity and associated budget in the budget justification worksheet as well as below.

[DESCRIBE PROJECT-RELATED COSTS THAT THE STATE PROPOSES (SUBJECT TO DOE APPROVAL) TO PAY FOR WITH 50122 FUNDS.

ALL PROPOSED ACTIVITIES MUST FALL UNDER ONE OF THE 8 CATEGORIES LISTED IN THE REBATE DELIVERY FUNDS JUSTIFICATION TAB OF THE BUDGET JUSTIFICATION WORKBOOK **AS WELL AS BELOW.**

FOR THE PURPOSES OF THIS SAMPLE RESPONSE, EACH OF THE 8 CATEGORIES ARE LISTED BELOW; HOWEVER, ONLY INCLUDE THOSE CATEGORIES THAT YOUR STATE INTENDS TO CARRY OUT WITH REBATE FUNDS.

FOR EACH RELEVANT CATEGORY PROVIDE:

- ANTICIPATED SPENDING LEVEL;
- DESCRIPTION OF THE PROPOSED WORK; AND
- JUSTIFICATION (FOR EXAMPLE, HAVE YOU EXPLORED OTHER OPTIONS FOR SUPPORTING THESE ACTIVITIES SUCH AS LEVERAGING INCENTIVES AND/OR INFRASTRUCTURE OF EXISTING PROGRAMS? (E.G., QUALIFIED CONTRACTOR LISTS, ASSESSMENTS, QUALITY ASSURANCE)).

ONLY INCLUDE PROJECT-RELATED COSTS PROPOSED TO BE PAID FOR WITH REBATE FUNDING. DO NOT INCLUDE ANY PROJECT-RELATED COSTS THAT WILL BE PAID BY HOUSEHOLDS OR OTHERS.]

The state would like to request using rebate funds to cover the following types of project-related activities:

- (1) Equipment, tools, models, and procedures used to assess a home and estimate energy savings [ENTER NUMBER: \$X]
- (2) Equipment, tools, models, and procedures used to verify installations and perform quality control including inspections and reporting [ENTER NUMBER: \$X]
 - o The state needs to procure [ENTER SPECIFIC TYPE OF EQUIPMENT] to verify quality installation...
- (3) Customer service support [ENTER NUMBER: \$X]
- (4) Consumer protection functions including consumer feedback, project verification, and inspections [ENTER NUMBER: \$X]
- (5) Income Eligibility [ENTER NUMBER: \$X]
 - o Depending on the level of interest of other agencies with low-income programs in the state, the state would like to fund the development and use of an API that can allow automated look-up of enrollees in programs that provide categorical eligibility. This could dramatically reduce the time and effort associated with income verification as well as the possibility of granting rebates to ineligible applicants.
 - o The state would like to set aside funds in the event that carrying out income verification is more costly than anticipated OR if a greater percentage of applications require review due to higher levels of falsified applications.
- (6) Disadvantaged community delivery, including targeted marketing and outreach [ENTER NUMBER: \$X]
 - o The state would like to provide individualized assistance to households in disadvantaged communities if warranted, depending on the uptake of rebates in these areas.
- (7) Disadvantaged community incentives (see Section 3.1.4) [ENTER NUMBER: \$X]
 - o Given the state's goal of delivering [ENTER NUMBER: X%] of rebates to low-income households in disadvantaged communities, the state may require as much as [ENTER NUMBER: \$X] for installer incentives.
- (8) Integration with existing programs, home energy assessments, and project scoping [ENTER NUMBER: \$X]

Section 4.1.2 Rebate Conditions and Levels

3. Describe how the state will manage and ensure that rebate minimums and administrative maximums are adhered to over the duration of the program.

[STATES SHOULD PROVIDE DETAILS ON BUDGETING AND FORECASTING TOOLS THAT WILL ENSURE REBATE MINIMUMS AND ADMINISTRATIVE MAXIMUMS ARE ADHERED TO, PROCESS CONTROLS, WHAT SYSTEMS STATES INTEND TO USE (E.G., WILL BE USING DOE'S API), HOW SYSTEMS BEING DEVELOPED WILL ASSIGN REBATE AMOUNTS TO PRODUCTS, HOW SYSTEMS WILL TRACK ADMINISTRATIVE COSTS AND REBATE FUNDS EXPENDED, AND HOW THE STATE MAY ACCOUNT FOR HIGHER ADMINISTRATIVE RATIOS IN THE EARLY YEARS OF THE PROGRAM RELATIVE TO LATER YEARS.]

Budgeting and Forecasting Tools:

To ensure that rebate minimums and administrative maximums are adhered to throughout the program, the state will utilize a combination of budgeting and forecasting tools. The state plans to use the DOE Rebate Tracking System and Coupon Generator System to minimize the costs of data tracking and reporting.³ By making use of the Tracking System's API (available to states, vendors, modeling tools, etc.), the state will minimize data entry errors, reduce administrative costs, and ensure data consistency by adhering to DOE/Pacific Northwest National Laboratory (PNNL) data specifications. The DOE Rebate Tracking System and its accompanying "coupon" (i.e., rebate reservation) feature will ensure that rebate amounts comply with program requirements. Rebate applicants will only be approved for the rebate amounts (and percentages) associated with their income level (e.g., below 80% AMI; between 80 and 150% AMI) and the product type they intend to purchase (e.g., heat pump water heater, cooktop).

Process Controls and Systems:

The state will implement process controls to track administrative costs and rebate funds expended. The DOE Rebate Tracking System will maintain a database with records of all previously issued rebates to individual residential dwellings, ensuring that rebates are not duplicated for the same address and that rebate funds committed to that address do not exceed the \$14,000 cap.

The state will also use the DOE Rebate Tracking System to track the amount of rebate funds committed to date, and only approve new requests for rebates if sufficient funds remain. When the system issues a coupon, it will simultaneously put into place a reservation of rebate funds (equivalent to the maximum value of that coupon) that will remain in place until either the coupon is redeemed at point of sale or the coupon expires, whichever is first. The state will monitor these rebate amounts relative to administrative spending forecasts.

The state also plans to establish reserves within the DOE Rebate Tracking System to ensure that sufficient funds are in place (and maintained) for specific uses (e.g., minimum of 50% of rebate funds for low-income, with at least 10% for low-income multifamily). Each time that the state receives an additional allocation of rebate funds from DOE, the state will work with the DOE/PNNL team to ensure that the Tracking System's accounting system reflects newly available funds.

Administrative Efficiencies and Accounting Practices:

To reduce the costs of administration and project-related activities, the state will investigate systems that use "smart" technology to automatically read uploaded documents for income verification and/or other purposes. For example, the state aims to use a system that accurately reads the applicant's information including address on enrollment cards from various categorically-eligible programs.

The state will closely track and report spending both within this category as well as funds that are provided as rebates and as incentives to contractors. The state will also follow Generally Accepted Accounting Principles (GAAP) and conduct audits

³ The DOE Rebate Tracking System refers to the PNNL/DOE rebate database and coupon generation system.

every 5 years through the subcontractor [ENTER NAME]. [DESCRIBE YOUR ACCOUNTING PRACTICES IN 1-2 SENTENCES].

By implementing these budgeting and forecasting tools, process controls, and accounting practices, the state will effectively manage and ensure that rebate minimums and administrative maximums are adhered to over the duration of the program.

4. Describe how the state will monitor contractor costs and ensure that costs are not artificially inflated compared with market averages.

[RESPONSE SHOULD PROVIDE DETAILS ABOUT HOW CONTRACTOR COSTS WILL BE MONITORED (E.G., VIA CONTRACTOR SUBMISSION REQUIREMENTS, SOFTWARE SOLUTIONS, SAMPLING PROCEDURES) AND WHAT STEPS THE STATE WILL TAKE TO ADDRESS COSTS THAT ARE SIGNIFICANTLY ABOVE MARKET AVERAGES.]

For those 50122 projects where a rebate is provided to a contractor (after deduction on installation/project invoice), the contractor will be required to submit itemized invoices with labor and equipment/materials costs broken out. Every quarter, the state will randomly select a statistically significant representative sample of [ENTER NUMBER: X] invoices to compare costs. If some contractors' costs are consistently higher than others, the implementer will be required to issue a warning to the contractor, provide them with an opportunity to substantiate their costs, and unless warranted, take action to remove the contractor from the qualified contractor list if not remedied.

The state will provide additional details in the State Implementation Blueprint via the Consumer Protection Plan.

5. Identify the maximum rebate amounts that will be offered to eligible entities and eligible entity representatives if lower than the allowed amounts.

[CHOOSE ONE:]

- (a) The state will use the maximum rebate amounts allowed by the federal law (as defined in Table A-1 in the Appendix).

OR

- (b) Below are the maximum rebate amounts and maximum percentage of costs that the state will apply:

[ENTER \$ AMOUNTS AND/OR % IN RIGHT COLUMN OF ONE OR BOTH OF THE FOLLOWING TABLES]

NOTE: DOE RECOMMENDS CONSIDERING SETTING CAPS TO REBATE AMOUNTS ESPECIALLY IN THE CASE THAT THE FULL STATUTORY REBATE AMOUNTS, WHEN COMBINED WITH STATE, LOCAL, UTILITY, AND OTHER PROGRAMS, MAY EXCEED THE FULL COST OF REBATED PRODUCTS.

Qualified Product	Statutory Limit/ Rebate Amount Not to Exceed	State Proposed Limit: Rebate Amount Not to Exceed (Include any conditions related to tiers, size, fuel type etc.)
Heat Pump Water Heater	\$1,750	
Heat Pump for Space Heating and Cooling	\$8,000	
Heat Pump Clothes Dryer	\$840	
Electric Stove, Cooktop, Range, or Oven		
Electric Load Service Center	\$4,000	
Insulation, Air Sealing, and Ventilation	\$1,600	
Electric Wiring	\$2,500	
Maximum Rebate	\$14,000	

Income Level	Rebate Amount Not to Exceed	State Proposed Limit
Less than 80% Area Median Income (AMI)	100% of qualified project cost	
81%-150% AMI	50% of qualified project cost	
At least 50% of residents with income less than 80% AMI	100% of qualified project cost	
At least 50% of residents with income of 81%-150% AMI	50% of qualified project cost	

6. Identify the maximum allowable project costs⁴ for determining project cost rebate levels.

[RESPONSE SHOULD DESCRIBE WHAT THE HOMEOWNER IS RESPONSIBLE FOR PAYING TO DEMONSTRATE THAT REBATE CALCULATIONS ARE CONSISTENT, INCLUDING SHOWING WHO IS PAYING FOR ITEMS LIKE ASSESSMENTS, MODELS, SITE VISITS, ETC. THAT MIGHT BE INVOLVED IN A PROJECT. PLEASE DESCRIBE WHETHER THE STATE INTENDS TO PAY FOR THESE ITEMS OR IF

⁴ Total project costs are costs that are invoiced to the eligible entity or the eligible entity representative for the purchase and installation of a qualified electrification project.

THEY ARE THE HOMEOWNER'S RESPONSIBILITIES. BELOW PROVIDES EXAMPLES FOR HOW TO DO THIS.]

Per the Program Requirements & Application Instructions, the state will follow the maximum project costs allowed by the federal law. This includes costs associated with purchase and installations of the qualified electrification project. (These are defined in Table A-1 and A-2 in the Appendix). These costs may include equipment, labor, modeling, site visits, among other costs.

For a household with income less than 80% of AMI:

Example 1: Projects costs

- Heat pump equipment and labor: \$9,000
- TOTAL: \$9,000
- Rebate: \$8,000
- Homeowner responsibility: \$1,000

Example 2: Project costs

- Heat pump equipment and labor: \$9,000
- Initial home assessment: \$500
- Post installation testing: \$500
- Total: \$10,000
- Rebate: \$8,000
- Homeowner responsibility: \$2,000

For a household with income less than 150% AMI (but not less than 80% AMI):

Example 1: Projects costs

- Heat pump equipment and labor: \$9,000
- TOTAL: \$9,000
- Rebate: \$4,500 (50% of \$9,000)
- Homeowner responsibility: \$4,500

Example 2: Project costs

- Heat pump equipment and labor: \$9,000
- Initial home assessment: \$500
- Post installation testing: \$500
- TOTAL: \$10,000
- Rebate: \$5,000 (50% of \$10,000)
- Homeowner responsibility: \$5,000

7. Describe the documentation requirements related to project costs from eligible entities and eligible entity representatives.

[RESPONSE SHOULD DESCRIBE THE PROJECT COST RELATED REQUIREMENTS FOR DOCUMENTATION PROVIDED BY ELIGIBLE ENTITIES AND ELIGIBLE ENTITY REPRESENTATIVES, INCLUDING BUT NOT LIMITED TO: PROJECT INVOICE, FINAL PROJECT COST, EQUIPMENT AND MATERIALS COST, INSTALLATION COSTS]

For each project, the contractor or eligible entity representative (EER) must provide an invoice with the following information:

- The company name of the contractor performing the work
- The address where the work was performed
- The date on which the work was completed
- Model numbers, AHRI reference numbers, or universal product codes (UPC) for all rebated equipment
- Line-item costs of rebated equipment and materials
- Line-item costs for any audits, inspections, testing, and/or modeling
- Labor costs of the specific work performed
- The total project cost prior to the rebate and the rebate amount
- Other project costs (if applicable e.g., permitting)

The invoice must be signed and dated by the homeowner or building owner and must include rebates applied to the bill.

8. List the installation incentives the state will provide eligible entity representatives for each eligible product or service up to \$500 (in total).

Below are the installation **incentive** amounts the state will apply. [ENTER \$ AMOUNTS IN RIGHT COLUMN OF THE FOLLOWING TABLE]

Qualifying Activity	Incentive Proposed by State
Substantial installation located within a disadvantaged community (excludes installations of electric stoves and electric heat pump dryers) per dwelling unit	
Installation of one or more electric heat pump water heaters	
Installation of one or more electric heat pumps for space heating and cooling per dwelling unit - ducted	
Installation of one more electric heat pumps for space heating and cooling per dwelling unit - non-ducted	
Installation of one electric stove, cooktop, range, or oven	
Installation of one electric heat pump clothes dryer	

Installation of one or more electric load service center		
Installation of insulation per dwelling unit		
Installation of air sealing and materials to improve ventilation per dwelling unit		
Installation of electric wiring per dwelling unit		
Total incentive per dwelling unit		

9. Describe the approach for ensuring that eligible entities will not receive multiple federal rebates or grants for the same Qualified Electrification Project (QEP).

[RESPONSE SHOULD DESCRIBE THE APPROACH TO ENSURING THAT ELIGIBLE ENTITIES WILL NOT RECEIVE MULTIPLE FEDERAL REBATES OR GRANTS FOR THE SAME QEP IN DETAIL, INCLUDING A DESCRIPTION OF BOTH AUTOMATED AND MANUAL SAFEGUARDS, AS WELL AS PLANNED COMMUNICATION OF PROGRAM REQUIREMENTS TO HOMEOWNERS, BUILDING OWNERS, AND QUALIFIED CONTRACTORS AT VARIOUS STAGES OF PROGRAM PARTICIPATION.]

The state will use the [DOE Rebate Tracking System](#) to safeguard against duplicative rebates for the same product and household.

When an eligible entity (i.e., homeowner, tenant, building owner, or contractor) or eligible entity representative (as defined in the statute) applies to reserve a rebate for a product to be used at a specified address, the system will query a database to see if that type of rebate has already been issued for that address. If it has, the rebate request will be rejected, and the applicant will be informed that the applicable rebate has already been used at that address. The state's system will also notify all homeowners or building owners (and others if applicable (e.g., contractor)) that the rebate cannot be combined with other federal grants and rebates, but the household may still be eligible for a federal tax credit per Internal Revenue Service (IRS) guidelines. Notifications will include mention of typical federal grants or rebates that residents may be receiving.

In addition to this, the state will coordinate with the WAP data systems to ensure that only one source of federal funds is funding a single qualified electrification project.

10. Confirm that the state will provide information via API or DOE-provided spreadsheet to the DOE central database to ensure that rebates limited to a single or a combination of products are tracked and managed, and no duplicate rebates are awarded. [CHOOSE ONE]:

- ☒ State will provide information via API.
☐ State will provide information via a DOE-provided spreadsheet.

11. Describe how the state will approach providing rebates to multifamily building owners and qualified households who live in multifamily units.

- ☐ Defer response to State Implementation Blueprint.

Multifamily building owners and tenants are eligible for rebates. However, the state will seek owner authorization for projects that include:

- Electric heat pump for space heating and cooling
- Electric heat pump water heater
- Insulation
- Electric load service center
- Electric wiring
- Mechanical ventilation

The state will communicate to tenants and emphasize the ability of tenants to apply for some rebates (electric stove, cooktop, range, oven, or heat pump clothes dryer) without prior authorization from property/building owner. However, this does not de-obligate tenants from compliance with their lease agreement(s) and requirements to notify the property/building owner.

Rebates are attributed to dwelling units or a multifamily building and the rebated equipment and appliances are to remain with the unit. Therefore, if a tenant vacates the unit where a rebated project was completed/equipment was installed, the tenant's new dwelling unit would be eligible for rebate funded projects/installations (assuming that rebates have not already been applied to that unit). In circumstances where rebates do not cover the full cost of the upgrade, the state will explore options to leverage other funding (utility or local incentives), investigate financing, and property/building owner contributions.

Rebates (and the maximum limits) apply to the dwelling unit and/or multifamily building. Therefore, owners will always be made aware of remaining rebate amounts even if a tenant initiates a rebate request. Owners will also have the ability to cancel the rebate reservation in the case they do not authorize the work.

When determining the appropriate rebate amount for a multifamily building, the state will first determine whether the multifamily building qualifies as a low-income building (i.e., the building has at least 50% of households with incomes less than 80% AMI).

12. Identify the date after which upgrade projects must be completed for the purposes of being eligible for a rebate under the state program.

☐ Defer response to State Implementation Blueprint.

[RESPONSE SHOULD DEFINE A DATE AFTER WHICH PROJECTS MUST BE COMPLETED. THIS DATE MAY BE SPECIFIC, RELATIVE TO THE PROGRAM LAUNCH DATE, OR RELATIVE TO THE PROJECT INITIATION DATE.]

A rebate may be paid only for a qualified electrification project (QEP) initiated after the state receives authorization from DOE for rebate program launch and launches the program. Rebates will not be provided retroactively. The entity applying for reimbursement of the rebate deducted at point of sale must submit required information within [ENTER LENGTH OF TIME (E.G., 30 DAYS, 60 DAYS)] of the rebate reservation (i.e., issuance of the rebate coupon). Retailers that use the DOE API will submit the used rebate reservation code and required information automatically either when the purchase is made or in batches (daily or weekly). When a contractor applies the rebate by deducting it from the invoice for installation, the contractor

will need to submit the rebate reservation code and required information. This will take longer and therefore the state allows a longer period of time. The expiration date for the rebate reservation will be clearly indicated on the coupon.

13. Describe how eligible rebate recipients will be informed of additional program funding available from non-federal funds and grants.

☐ Defer response to State Implementation Blueprint.

[RESPONSE SHOULD DESCRIBE HOW THE PROGRAM WILL INFORM HOMEOWNERS AND BUILDING OWNERS OF OTHER PROGRAM FUNDING, E.G.,

- MARKETING AND LEAVE-BEHIND MATERIALS FROM CONTRACTORS;
- MAIL, EMAIL, EVENTS, UTILITY WEBSITES;
- LOCAL NON-PROFITS;
- OTHER STATE/LOCAL PROGRAMS WORKING IN SIMILAR MARKETS;
- UTILITY COORDINATION]

As part of the state's outreach plan, the state will alert customers that other funding may be available through utilities or other state programs and will look to develop a unified, "one stop shop" outreach campaign that streamlines the education process.

This will include:

- Integrating program information into existing state and utility websites, webinars, presentations, and public events aimed at both consumers and trade partners.
- Developing fact sheets, brochures, and a "Be a Smart Consumer" packet that participating contractors will be required to provide prior to commencing work.
- Sending information electronically to the homeowner or building owner when a participating contractor initiates the rebate request prior to commencing work.
- Including program information in a direct-to-consumer monthly e-newsletter, sent via email.
- Exploring mobile and virtual outreach tools to educate and enroll households into clean energy and energy efficiency programs.

The state will provide additional detail in the State Implementation Blueprint via the Education and Outreach Plan.

Section 4.1.3 Low-Income Households

Note: Low-income households are defined as households with less than 80% Area Median Income (AMI). The U.S. Department of Housing and Urban Development (HUD) calculates median family income levels for areas across the U.S. HUD has a website available [here](#) where users can view these calculations. Information about HUD's methods for calculating AMI statistics is available [here](#). HUD typically updates these values in March or April of each year. (see the [Program Requirements & Application Instructions](#) document Section 2.1)

14. Identify the portion of the rebate funds the state will reserve for low-income and low-income multi-family households.

The state plans to allocate a minimum of [ENTER NUMBER: X%] of rebates to low-income households (i.e., households with less than 80% of AMI). This is consistent with (or greater than) the percentage of low-income households in the state, which is [ENTER NUMBER: X%].

The state plans to allocate a minimum of [ENTER NUMBER NO LESS THAN 10%] of rebates to low-income multifamily buildings.

15. Provide a brief description of the procedures and penalties the state will provide to ensure that renters are not subject to unjustified rent increases.

☐ Defer response to State Implementation Blueprint.

[RESPONSE SHOULD DETAIL THE PROCEDURES THAT WILL ENSURE RENTERS ARE NOT SUBJECT TO UNJUSTIFIED RENT INCREASES (E.G., HOW BUILDING OWNERS WILL BE NOTIFIED OF AND REQUIRED TO SIGN AGREEMENTS OF RENTER PROTECTIONS, HOW INCREASES TO RENT WILL BE COLLECTED AND MONITORED) AND THE PENALTIES THAT WILL PROVIDE DETERRENCE FOR OWNER VIOLATIONS (I.E., BY ESTABLISHING SOME MEASURE OF ECONOMIC OR REPUTATIONAL CONSEQUENCE). IF A STATE HAS NO LEGAL AUTHORITY TO RECLAIM REBATES OR PENALIZE THOSE WHO ARE FOUND IN VIOLATION OF THESE REQUIREMENTS, THE RESPONSE SHOULD INCLUDE OF A DESCRIPTION OF HOW THE STATE WILL ENSURE THE ENTITY IS IN BANNED FROM PARTICIPATING IN FUTURE PROJECTS AND WILL BE UNABLE TO CLAIM FUTURE REBATES.]

For all tenant-occupied properties that receive higher rebate amounts available only to households with incomes less than 80% AMI, the state will require the building owner to sign a statement acknowledging the following:

- The owner agrees to rent the dwelling unit to a low-income tenant.
- The owner agrees not to evict a tenant to obtain higher rent tenants based upon the improvements.
- The owner agrees not to increase the rent of any tenant of the building as a result of the energy improvements with exception of increases to recover actual increases in property taxes and/or specified operating expenses and maintenance costs.
- The owner agrees that if the property is sold within [ENTER A NUMBER NO LESS THAN TWO] years of receipt of the rebates, the aforementioned conditions apply to the new owner and must be part of the purchase agreement.
- The owner will provide written notice to tenants explaining their rights and the building owner's obligations (e.g., add an addendum to the lease).
- In the event the owner does not comply, the owner must refund the rebate and will be subject to penalties and enforcement commensurate to their actions:
 - A fine/penalty in addition to recovery of the rebated amount
 - Damages and attorney's fees recoverable by tenants

The state will provide contact information for tenants to notify the state of breaches to this agreement. The state will also include this information in the consumer education campaign, so tenants are aware of their rights under the applicable state law.

16. Describe how the state program will define a disadvantaged community. If not using the default disadvantaged community definition of low-income households located in a disadvantaged community identified by the Climate and Economic Justice Screening Tool (CEJST), a state must explain how the proposed definition will meet the following three criteria as described in DOE J40 implementation guidance⁵:

- The communities of concern identified by the state tool or definition must conform to the definition of communities established in U.S. Office of Management and Budget (OMB) guidance:
 - a group of individuals living in geographic proximity to one another that experiences common conditions.
 - a geographically dispersed set of individuals (such as migrant workers or Native Americans) that experiences common conditions.
- The state tool or definition must consider two or more of the following indicators when identifying communities that should be classified as disadvantaged for the purposes of directing federal investments under Justice40:
 - Low income, high and/or persistent poverty
 - High unemployment and underemployment
 - Racial and ethnic residential segregation, particularly where the segregation stems from discrimination by government entities
 - Linguistic isolation
 - High housing cost burden and substandard housing
 - Distressed neighborhoods
 - High transportation cost burden and/or low transportation access
 - Disproportionate environmental stressor burden and high cumulative impacts
 - Limited water and sanitation access and affordability
 - Disproportionate impacts from climate change
 - High energy cost burden and low energy access
 - Jobs lost through the energy transition
 - Access to healthcare

⁵ See pages 8-9 of <https://www.energy.gov/sites/default/files/2022-07/Final%20DOE%20Justice40%20General%20Guidance%20072522.pdf> for more details.

- The communities of concern identified by the state tool or definition must be currently mapped in software or must be easily overlaid in geographic information systems (GIS) so that communities can be easily identified by stakeholders.

[EXAMPLE 1:] The state will use the DOE-provided definition of disadvantaged communities and use the federally-issued CEJST to identify disadvantaged communities (available here: [Explore the map - Climate & Economic Justice Screening Tool \(geoplatform.gov\)](#))

OR

[EXAMPLE 2:]

(a) The state will issue a state-specific map of disadvantaged communities that will meet the requirements described in the [Program Requirements & Application Instructions](#). Specifically, the state will:

- (1) Apply the definition of a disadvantaged community as being a group of individuals living in geographic proximity to one another that experiences common conditions; and/or a geographically dispersed set of individuals (such as migrant workers or Native Americans) that experiences common conditions.
- (2) Consider the following indicators when identifying disadvantaged communities: [CHOOSE AT LEAST TWO OF THE FOLLOWING]
 - Low income, high and/or persistent poverty
 - High unemployment and underemployment
 - Racial and ethnic residential segregation, particularly where the segregation stems from discrimination by government entities
 - Linguistic isolation
 - High housing cost burden and substandard housing
 - Distressed neighborhoods
 - High transportation cost burden and/or low transportation access
 - Disproportionate environmental stressor burden and high cumulative impacts
 - Limited water and sanitation access and affordability
 - Disproportionate impacts from climate change
 - High energy cost burden and low energy access
 - Jobs lost through the energy transition
 - Access to healthcare
- (3) Provide a map of the state-issued disadvantaged communities to DOE/PNNL in the required format to ensure that this information is used when designating which homes are eligible for contractor incentives.

17. Identify the tool(s) the state will provide for eligible entity representatives to identify households that qualify for the installer incentive available for work in disadvantaged communities.

☐ Defer response to State Implementation Blueprint.

[ENTER STATE NAME] will provide contractors location-specific data to determine if an address qualifies for the disadvantaged community incentive.

[IF USING THE DOE REBATE TRACKING SYSTEM]:

The state will be using the DOE Rebate Tracking System and will [CHOOSE ONE OF THE FOLLOWING OPTIONS OR ADJUST FOR YOUR STATE]:

[OPTION 1:] use the *Climate and Economic Justice Screening Tool* to identify disadvantaged communities (available here: [Explore the map - Climate & Economic Justice Screening Tool \(geoplatform.gov\)](#))

OR

[OPTION 2:] Provide a state-issued map of disadvantaged communities so that the DOE Rebate Tracking System can associate a home's location with its "disadvantaged community" status.

When a rebate is reserved and a coupon is issued via the DOE system, that unique coupon will state whether the contractor is eligible for the incentive based on the location of the home. At same time that the state issues the rebate coupon to be applied to the energy upgrade project, the state will reserve an additional \$200 to be paid to the contractor or aggregator when they submit the required information about the completed project. The state will also provide educational materials and do outreach to contractors so that they are aware of this potential incentive.

[IF NOT USING THE DOE REBATE TRACKING SYSTEM]: The state will establish a payment system:

- 1) Partner with the state's finance department to set up a secure, efficient process for issuing payments to contractors, such as direct deposit
- 2) Create a rebate reserve system to hold funding for projects and process applications for said rebates with CEJST or other mapping support to verify if homes qualify
- 3) Incorporate the list of eligible contractors and provide them with training to interact with the [INSERT TOOL NAME] system
- 4) Use the [INSERT TOOL NAME] system to pay contractors
- 5) Execute payment to recipient contractors when required project completion data has been provided to the state

18. Confirm that the state's intake system for users to provide income information will compare household income to 80% and 150% AMI values associated with that household's county and household size to determine rebate levels prior to signing statements regarding their income.

The state plans to use the DOE provided API to compare an applicant's household income, occupancy number, and address to the appropriate AMI level (80% or 150% AMI) to determine income eligibility and rebate levels prior to signing statements regarding their income.

19. If the state does NOT intend to use a federally provided web-based tool to determine whether a home is in a disadvantaged community, confirm that the state will provide the ZIP codes or a preferred more granular geography (e.g., census tract) with all disadvantaged communities as defined by the state to the DOE system.

- ☐ Yes, the state confirms the above statement.
☒ N/A. The state will use a federally provided web-based tool to determine whether a home is in a disadvantaged community.

Section 4.1.4 Community Benefits Plan

20. Confirm that the state will develop and submit a Community Benefits Plan prior to program launch.

- ☒ Yes, the state confirms the above statement.

Section 4.1.5 Processing and Delivering Rebate Funds to Eligible Rebate Recipients

21. Describe what types of systems will be put into place to allow for effective processing of rebates, including ensuring the ability to apply rebates at point of sale and/or as part of an invoice. And confirm that the system will link to federally provided systems via API.

- ☒ Yes, the system will link to federally provided systems via API OR information will be sent as part of DOE-provided spreadsheet.

- ☐ Defer response to State Implementation Blueprint.

The state will use the DOE Rebate Tracking System to ensure effective issuance of rebates. The state's implementation contractor or a separate rebate processing firm will be charged with establishing an electronic rebate processing system and required to process reimbursements for used rebate coupons (applied at point of sale or installation) within 30 days of receipt of a rebate reimbursement request.

After receiving DOE's approval of the approach/application, the state will issue a request for proposal (RFP) and select an implementation contractor. In the RFP, the state will ask for qualifications regarding rebate processing but not make this a functional requirement. The state will issue a separate RFP for rebate processing in the event that the selected implementation contractor does not meet the needs for carrying out this function.

The unique rebate reservation codes displayed on rebate coupons will allow qualifying consumers or eligible entity representatives to have the rebate amount deducted at point of purchase of equipment through retailers. For those that work directly with a contractor, the contractor will apply the rebate to the invoice provided to the household. In both types of transactions, the rebate will be applied at point of sale. The coupon will designate the type of qualifying product as well as the maximum rebate amount and percentage (whichever is lower) that can be

applied to the purchase. Retailers, vendors, and contractors will be able to submit reimbursement requests via electronic systems (either via an API for those retailers that wish to connect that way OR via a web portal where the contractor, vendor, or retailer may submit all of the required information directly to the rebate processing system).

22. Describe how the state will ensure processing of rebates within 4 weeks of receipt (e.g., through a processing company, through program implementers, or other entities or methods). Include information on corrective actions that the state will implement in the event of lengthier processing times.

☐ Defer response to State Implementation Blueprint.

[RESPONSE SHOULD DESCRIBE:]

- HOW STATE WILL ENSURE PROCESSING TIME WITHIN REQUIRED DURATIONS. (E.G., CONTRACT REQUIREMENTS, KEY PERFORMANCE INDICATORS SUCH AS SYSTEM RELIABILITY, FUND UTILIZATION, CONTRACTOR/AGGREGATOR PAYMENT TIME, ESCALATION RESOLUTION TIME, AND CUSTOMER SATISFACTION)
- CORRECTIVE ACTION IN EVENT OF LENGTHIER TIMES (E.G., FINANCIAL PENALTIES)
- HOW THE NEED FOR CORRECTIVE ACTION WILL BE DETERMINED (E.G., IF A CERTAIN NUMBER OF REBATES ARE PROCESSED LATE]

The state will use a [ENTER ONE OF THE FOLLOWING OR OTHER TYPE OF ENTITY: IMPLEMENTATION CONTRACTOR OR REBATE PROCESSING COMPANY] to carry out rebate processing.

The state will require rebate processing to occur within [ENTER LENGTH OF TIME NO GREATER THAN 4 WEEKS] of receipt of required and acceptable information. This timeframe will include time associated with delivery of all applicable modes of rebate payment (i.e., a check in the mail or direct deposit).

The state will require the rebate processing entity to develop a method for obtaining updates on processing times [ENTER TIMEFRAME FOR EXAMPLE "IN REAL TIME"].

To ensure accuracy of reporting, the rebate processing entity will be required to:

- Electronically stamp (date and time) applications upon submission
- Display submission dates in all work queue views
- Automate prompts when applications are at risk of falling behind the planned processing timeline
- Define key indicators to confirm the process is working

Should the processing times exceed those stipulated above, the state will require the processor to provide an explanation, develop a resolution plan, and if necessary, implement new methods or systems to speed up processing within 30 days of notification. If the processor fails to meet the milestones outlined in the resolution plan, the state will reserve the right to terminate the scope of work and engage another implementation company.

23. Describe how the proposed processing system will be integrated with a system for processing rebates under Section 50121. Note if the state plans to use separate systems.

- ☐ Defer response to State Implementation Blueprint.
- ☐ N/A State is not planning to run 50121

[CHOOSE ONE OF THE FOLLOWING:]

[OPTION 1:] The state will apply the DOE/PNNL provided workflows and use the [DOE Rebate Tracking System](#) to provide a seamless and integrated approach to both types of rebates.

OR

[OPTION 2:] The state will use a separate processing system because [FILL IN APPROPRIATELY (E.G., THE STATE HAS AN EXISTING SYSTEM APPLICABLE ONLY TO HOME EFFICIENCY OR HOME ELECTRIFICATION & APPLIANCE REBATES. DESCRIBE THIS SYSTEM IN 3-5 SENTENCES INCLUDING HOW THE SYSTEM WILL FLAG FOR DUPLICATE ADDRESSES, HOW IT WILL ENSURE THE SAME MEASURE IS NOT BEING FUNDED FROM SEPARATE PROGRAMS, AND WHAT WILL HAPPEN IF THE SYSTEM FLAGS A DOUBLE REBATE.)]

Section 4.1.6 Verify Income Eligibility

Note: Low-income households are defined as households with less than 80% Area Median Income (AMI). HUD calculates median family income levels for areas across the U.S. HUD has a website available [here](#) where users can view these calculations. Information about HUD's methods for calculating AMI statistics is available [here](#). HUD typically updates these values in March or April of each year. (see the [Program Requirements & Application Instructions document](#) Section 2.1)

24. Describe how the state will define household income for verification purposes.

For households that provide income information, the state will request a sum of the income of all adult occupants over the past 12 months. Information from prior tax year earnings will also be acceptable. As long as the income requirements of identified federal programs fall below 80% AMI and/or 150% AMI, applicants enrolled in a program that qualifies them as categorically eligible do not need to provide this income information.

25. For single-family households, how will claimants be able to establish their household income for income qualification? States may select from the following options:

[CHECK ALL THAT APPLY:]

- ☒ Documentation of household income (for example, 1040)
- ☒ Documentation of enrollment in a pre-qualifying program
- ☒ Self-attestation of income level
- ☒ Self-attestation of enrollment in a pre-qualifying program

The state will recognize any of the following documentation for income to establish that a household is eligible: 1040 from prior year, W2 forms, and wage statements/payroll. [LIST ANY OTHER RELEVANT FORMS OF DOCUMENTATION THAT THE STATE WILL ACCEPT.]

The state also plans to offer categorical eligibility for the following programs listed in Tables A-3 and A-4 in the Appendix provided by DOE: [INCLUDE ONLY THOSE PROGRAMS THAT THE STATE PLANS TO RECOGNIZE FROM THE FOLLOWING LIST. IF THE STATE IS INTENDING TO ALLOW WEATHERIZATION ASSISTANCE PROGRAM (WAP), LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP), OR SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN (WIC) TO QUALIFY HOUSEHOLDS FOR HIGHER REBATES, PROVIDE ADDITIONAL INFORMATION TO DEMONSTRATE STATE MEETS THRESHOLDS NOTED BELOW.]

- ☐ Low Income Home Energy Assistance Program (LIHEAP)
- ☐ Medicaid
- ☐ Supplemental Nutrition Assistance Program (SNAP)
- ☐ Head Start
- ☐ Lifeline Support for Affordable Communications (Lifeline)
- ☐ Food Distribution Program on Indian Reservations (FDPIR)
- ☐ National School Lunch Program - Free (NSLP)
- ☐ Housing Improvement Program (HIP)
- ☐ Housing Opportunities for Persons with AIDS
- ☐ Supplemental Security Income (SSI)
- ☐ Weatherization Assistance Program (WAP) [DEMONSTRATE 80% AMI < 200% FEDERAL POVERTY LEVEL (FPL) IF USING TO QUALIFY FOR HIGHER REBATES]
- ☐ Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) [DEMONSTRATE 80% AMI < 185% FPL IF USING TO QUALIFY FOR HIGHER REBATES.]
- ☐ Verified government or non-profit program serving Asset Limited Income Constrained Employed (ALICE) persons or households
- ☐ Public Housing (housing owned and operated by Public Housing Authorities)

Subject to DOE approval, for single-family households, the state also proposes to recognize the following additional programs with equivalent income requirements. [LIST ANY ADDITIONAL PROGRAMS THAT THE STATE PROPOSES TO RECOGNIZE ALONG WITH THE SPECIFIC INCOME REQUIREMENTS OF EACH PROGRAM.])

- ☐
- ☐
- ☐

The state will allow applicants to also attest to either meeting the income requirements or enrollment in one of the recognized programs. They will be

required to either enter in their household income or specify which program(s) they are already enrolled in. The state's process for verifying the validity of self-attestations is described in question #31.

26. For multifamily buildings, describe what combination of methods will be used to verify that at least 50% of dwelling units consist of households with incomes less than 80% AMI.

To qualify for low-income rebate amounts, multifamily building owners will be required to demonstrate that at least 50% of dwelling units consist of households with incomes less than 80% AMI through either of the following methods:

[EXAMPLE 1:] Provide documentation (as described in the response to question #25) demonstrating that at least 50% of households either have incomes below 80% AMI or are enrolled in any of the following programs: [INCLUDE ONLY THOSE PROGRAMS THAT THE STATE PLANS TO RECOGNIZE FROM THE FOLLOWING LIST. IF THE STATE IS INTENDING TO ALLOW WAP OR SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN (WIC) TO QUALIFY HOUSEHOLDS FOR HIGHER REBATES, PROVIDE ADDITIONAL INFORMATION TO DEMONSTRATE STATE MEETS THRESHOLDS NOTED BELOW.]

- ☐ Low Income Home Energy Assistance Program (LIHEAP)
- ☐ Medicaid
- ☐ Supplemental Nutrition Assistance Program (SNAP)
- ☐ Head Start
- ☐ Lifeline Support for Affordable Communications (Lifeline)
- ☐ Food Distribution Program on Indian Reservations (FDPIR)
- ☐ National School Lunch Program - Free (NSLP)
- ☐ Housing Improvement Program (HIP)
- ☐ Housing Opportunities for Persons with AIDS
- ☐ Supplemental Security Income (SSI)
- ☐ Weatherization Assistance Program (WAP) [DEMONSTRATE 80% AMI <200% FPL IF USING TO QUALIFY FOR HIGHER REBATES]
- ☐ Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) [DEMONSTRATE 80% AMI <185% FPL IF USING TO QUALIFY FOR HIGHER REBATES.]

Verified government or non-profit program serving Asset Limited Income Constrained Employed (ALICE) persons or households

OR

[EXAMPLE 2:] Provide documentation that demonstrates that one of the following categories applies to 50% of the units in the multifamily building:

- ☐ Public Housing (housing owned and operated by Public Housing Authorities)

- ☐ Privately owned multifamily buildings receiving project-based assistance (Section 8, Section 202, Section 811)
- ☐ Privately-owned multifamily buildings that house residents receiving tenant-based assistance
- ☐ Section 42 Low Income Housing Tax Credit (LIHTC)

Subject to DOE approval, for the purposes of multifamily buildings, the state also proposes to recognize the following additional rental subsidy programs with equivalent income requirements. [LIST ANY PROGRAMS THAT THE STATE PROPOSES TO RECOGNIZE ALONG WITH THE SPECIFIC INCOME AND/OR AFFORDABILITY REQUIREMENTS OF EACH PROGRAM.]

- a. For multifamily buildings, describe what combination of methods will be used to verify that at least 50% of dwelling units consist of households with incomes less than 150% AMI (but not less than 80% AMI).

Multifamily building owners will be required demonstrate that at least 50% of dwelling units consists of households with incomes less than 150% AMI through either of the following methods:

[EXAMPLE 1:] Provide documentation (as described in the response to question #25) demonstrating that at least 50% of households either have incomes below 150% AMI or are enrolled in any of the following programs: [INCLUDE ONLY THOSE PROGRAMS THAT THE STATE PLANS TO RECOGNIZE FROM THE FOLLOWING LIST]

- ☐ Low Income Home Energy Assistance Program (LIHEAP)
- ☐ Medicaid
- ☐ Supplemental Nutrition Assistance Program (SNAP)
- ☐ Head Start
- ☐ Lifeline Support for Affordable Communications (Lifeline)
- ☐ Food Distribution Program on Indian Reservations (FDPIR)
- ☐ National School Lunch Program - Free (NSLP)
- ☐ Housing Improvement Program (HIP)
- ☐ Housing Opportunities for Persons with AIDS
- ☐ Supplemental Security Income (SSI)
- ☐ Weatherization Assistance Program (WAP)
- ☐ Special Supplemental Nutrition Program for Women, Infants, and Children (WIC)
- ☐ Verified government or non-profit program serving Asset Limited Income Constrained Employed (ALICE) persons or households

OR

[EXAMPLE 2:] Provide documentation that demonstrates that one of the following categories applies to the multifamily building:

- ☐ Public Housing (housing owned and operated by Public Housing Authorities)
- ☐ Privately owned multifamily buildings receiving project-based assistance (Section 8, Section 202, Section 811)
- ☐ Privately-owned multifamily buildings that house residents receiving tenant-based assistance
- ☐ Low Income Housing Tax Credit (LIHTC)

Subject to DOE approval, for the purposes of multifamily buildings, the state also proposes to recognize the following additional programs with equivalent income requirements. [LIST ANY PROGRAMS THAT THE STATE PROPOSES TO RECOGNIZE ALONG WITH THE SPECIFIC INCOME REQUIREMENTS OF EACH PROGRAM.]

27. Confirm the following:

- Claimant will be required to note the number of individuals who occupy the dwelling unit.
 - Claimant will be required to sign an affidavit attesting to the validity of all information provided (e.g., enrollment documents, household income, number of full-time occupants) irrespective of the method of income qualification (e.g., categorical eligibility, self-attestation).
- ☒ Yes, the state confirms the above statements.

28. Describe how the 80% AMI and 150% AMI levels for each location will be kept up-to-date and linked to DOE systems. Provide additional information if proposing NOT to use a federally provided link or API.

☐ Defer response to State Implementation Blueprint.

Confirm that these levels will correspond to:

- The address of the dwelling unit at which rebates will be applied
- The applicable number of household occupants

☒ Yes, the state confirms the above statements.

The state plans to use the DOE provided API to compare an applicant's household income, occupancy number, and address to the appropriate 80% or 150% AMI level to determine income eligibility and level of rebate.

29. Confirm that the state will do the following:

- Review information provided to support income eligibility for all applicants applying for rebates;
- ☒ Yes, the state confirms the above statement.
- Take steps to verify income eligibility for 100% of those applicants that use self-attestation to support income eligibility (e.g., confirm enrollment in at least one

program that the applicant asserted enrollment in; confirm household income via Income Verification Express Service; calls to employers);

☒ Yes, the state confirms the above statement.

- After 6 months and not longer than 1 year after program launch, report to DOE the percentage and number of applicants that received rebates but were subsequently found to not meet eligibility requirements; and

☒ Yes, the state confirms the above statement.

- Work with the state's DOE project officer to institute additional safeguards or determine if a lesser level of review for applicants using self-attestation is justified depending on the percentage/number of rebates issued without meeting eligibility requirements.

☒ Yes, the state confirms all the statement.

If applicable, propose the types of information that the state will provide to DOE to warrant reducing these requirements (e.g., allowing implementers to verify income of a subset of claimants through random sampling).

☒ N/A. The State will not reduce this requirement.

☐ Defer response to State Implementation Blueprint.

[A RESPONSE IS NOT REQUIRED IF CHECKING N/A FOR THE STATEMENT ABOVE.]

The state plans to allow implementers to audit income eligibility in low-income census tracts through random sampling and determine if applicants from these locations have a lower rate of falsified information. The state will provide data to DOE demonstrating the percentage of applicants with falsified income information and other relevant data points. The state will provide data regarding all types of applicants: those that use categorical eligibility, those that provide income data, those that use self-attestation, those applying for consideration at the below 80% AMI level, and those applying for consideration of rebates available to those with household income between 80% and 150% AMI. Based on the rate of erroneous eligibility claims of [ENTER NUMBER: X%] or less, the state will work with DOE to determine whether the state can move to reducing the review process. The state plans to analyze this data collected to determine how rates of income eligibility compliance compare between applicants in low-income census tracts and other applicants. The state plans to use "fact-based proxy" methods to filter out a larger percentage of applications from households in low-income census tracts, and therefore believe that the process will be more rigorous given that a larger proportion of the reviews will be of applicants located in areas that are NOT characterized as low income.

30. Provide additional information as needed to demonstrate that the proposed approaches for income verification will address all types of households; not create undue burden for claimants; and include safeguards to minimize error and abuse in the process of verifying income.

☐ Defer response to State Implementation Blueprint.

[RESPONSE SHOULD CONFIRM THAT ALL TYPES OF HOUSEHOLDS IN THE PROGRAM WILL BE ADDRESSED WITH INCOME VERIFICATION. DESCRIBE HOW IT WILL NOT CREATE UNDUE BURDEN (E.G., ACCESSIBILITY AND EASE OF USE, EQUITY AND INCLUSION, CBO ENGAGEMENT, CONTINUOUS MONITORING AND IMPROVEMENT) AND DESCRIBE SAFEGUARDS TO MINIMIZE ERROR AND ABUSE (E.G., CLAIMANT CANNOT CHANGE CALCULATIONS, ROBUST DATA VALIDATION, CLEAR GUIDELINES AND TRAINING FOR PROGRAM STAFF, A FAIR AND ACCESSIBLE APPEALS PROCESS, PENALTIES FOR MISREPRESENTATION OR FRAUD)]

By offering a variety of methods to demonstrate eligibility, including a wide range of programs recognized as providing categorical eligibility, the state believes that those in the lowest income brackets will have a range of options to demonstrate their eligibility. By offering the option of self-attestation (of either income OR enrollment in qualifying programs), the state is allowing applicants to move forward with the rebate application process even before the information is verified, reducing burden for claimants.

As a safeguard to discourage applicants from falsifying income information, all applicants, when submitting income verification information, will be required to sign an affidavit as well as confirm that they understand the following:

If the information provided is invalid and warrants you ineligible for this rebate, the rebate reservation, if not yet processed, will be canceled. If the rebate has already been applied to a purchase or service, the homeowner or building owner will be responsible for repaying the state for the rebated amount in addition to a fine not to exceed [ENTER NUMBER: \$X]. The state reserves the right to engage a bill collection agency should repayment not be made within a stated period.

31. Describe how the state will verify (confirm legitimacy) income information for all claimants (e.g., verification within X days through IRS, cross-check with enrollment databases of approved programs, calls to employers). If applicable, a state may propose the types of information that it will provide to DOE to warrant reducing this requirement (e.g., allowing implementers to verify income of a subset of claimants through random sampling).

☐ Defer response to State Implementation Blueprint.

The state will use a third-party income verification vendor to collect income data and verify it through IRS, enrollment databases of approved programs, calls to employers as rebate claims come in, or other income verification services.

[DETERMINE IF THE STATE WILL ALLOW SELF-ATTESTATION IN ALL CASES OR FOR SELECT CIRCUMSTANCES (I.E., EMERGENCY REPLACEMENTS).]

For those applicants that apply with self-attestation (i.e., do not provide documentation), the vendor will verify attested information (through an income verification service and/or inquiries to the program(s) that the applicant stated enrollment in) for 100% of applicants that use self-attestation prior to approving the rebate application.

For all other applicants (those that provide documentation of income or enrollment in a qualifying program), the state will have the vendor review that documentation and track any errors [ENTER ONE OF THE FOLLOWING OPTIONS:]

[OPTION 1:] before approving rebate application.

OR

[OPTION 2:] after approving rebate application.

OR

[OPTION 3:] after approving rebate application under [Enter relevant conditions (e.g., FOR APPLICANTS LIVING IN LOW-INCOME CENSUS TRACTS, FOR EMERGENCY REPLACEMENTS)].

IF APPLICABLE: The state also [CHOOSE ONE: HAS IN PLACE/IS PUTTING IN PLACE] agreements with several agencies [NAME THEM HERE] to allow automated sharing of enrollment lists in qualifying programs. The state will ask the implementer to incorporate this capability via API into the rebate application process. When the state hires a third-party income verification vendor to oversee the income eligibility process, the state will work with them to ease concerns around the collection of personal identifiable information. The state plans to ask them to incorporate an option to use the IVES system to verify income through the IRS should IVES become accessible pending current IRS policy review. The state will also notify applicants that they can use IVES for free to download their prior year tax returns if they have not kept a copy. Given that this process can be cumbersome, the state will ask the vendor to provide instructions on how to applicants can access prior tax year returns or other acceptable documentation. The state will also ask the vendor to provide a program support phone line/email and follow-up with inquiries to other systems to verify information submitted by applicants that use self-attestation or submit only partial information.

32. Identify how the state will resolve instances when rebates are provided to those who have falsified their incomes.

☐ Defer response to State Implementation Blueprint.

As soon as the information is determined to be incorrect (with review time projected as [ENTER NUMBER: X] days), the implementation contractor's system will automatically do the following:

- (1) Cancel the coupon reservation.
- (2) Inform the homeowner or building owner (and contractor/eligible entity representative where applicable) via one of any contact information provided (emails, home address) that the coupon has been cancelled and can no longer be applied.
- (3) Inform the homeowner or building owner that (a) their income eligibility information has been found to be insufficient or invalid, and they are no longer eligible for the requested rebate; or (b) in cases where additional information may establish their eligibility, they can reapply for consideration but will only be issued a new rebate coupon after that information is confirmed or (c) should the homeowner or building owner believe that the

state's review is incorrect, they can petition a re-review within 30 days via a provided address, email, or call-in number.

- (4) If applicable, inform the homeowner or building owner (and contractor/eligible entity representative where applicable) that the household is eligible for the lesser rebate percentage cap (50%) and a new coupon can be requested.
- (5) Inform the homeowner or building owner that IF the rebate has already been applied at point of sale (by retailer, vendor, contractor/eligible entity representative), the homeowner or building owner must reimburse the state (via a provided address or through a provided call-in number via credit card) within 30 days for any rebate amount incorrectly applied with any additional requirement information. If the homeowner or building owner does NOT provide this reimbursement to the state within the allowable period, the state will file the claim to a collection agency and the homeowner or building owner will be subject to additional penalties per that process.
- (6) Inform the contractor/eligible entity representative that if they have already performed the work and applied the rebate to the invoice, it is the homeowner or building owner's responsibility to pay back the state for the applied rebate. The state will reimburse the contractor for the rebate applied at point of purchase provided the contractor/EER provides all information per the program's standard requirements.
- (7) In any instances where a rebate is provided to a homeowner or building owner that is found to not meet income eligibility requirements, the state will bill the homeowner or building owner for the rebated amount. The state may impose an additional fine and will enlist a bill collection agency if repayment is not received within [ENTER NUMBER: X] days.

33. If proposing to allow self-attestation as a means for initial income qualification, provide a detailed description of how and when this approach will be used. Include statements, language, and detailed information regarding follow-up steps that will be used for this process. Additional topics to address include:

- Describe how those applying for rebates will be warned of potential liability associated with falsifying information.
 - Explain how signed statements of self-attestation will be securely stored.
 - Identify what level of falsified attestations will signal that the system needs to shut down either permanently or be restarted only after sufficient improvements.
- ☐ Defer response to State Implementation Blueprint.
- ☐ N/A. The state has chosen not to allow self-attestation.

[IF NOT N/A, STATES SHOULD PROVIDE INFORMATION ON:

- DESCRIPTION OF HOW AND WHEN SELF-ATTESTATION WILL BE USED (E.G., WHICH PATHWAYS, CUSTOMER TYPES, PROJECTS, IN COMBINATION WITH OTHER OPTIONS)

- STATEMENTS, LANGUAGE, AND DETAILED INFORMATION REGARDING FOLLOW-UP STEPS THAT WILL BE USED FOR THIS PROCESS
 - HOW CLAIMANT WILL BE WARNED OF LIABILITY ASSOCIATED WITH FALSIFYING INFORMATION (E.G., SIGNED PARTICIPATION AGREEMENT THAT INCLUDES INFORMATION ON FALSIFICATION RECOURSE)
 - HOW SIGNED STATEMENTS OF SELF-ATTESTATION WILL BE SECURELY STORED]
- a) As stated previously, the state will require review of 100% of applications that use self-attestation prior to approving a rebate reservation request (i.e., issuing a rebate coupon).
 - b) All applicants will be asked to confirm that they acknowledge the following:
If the information provided is invalid and warrants the homeowner, building owner, or tenant ineligible for this rebate, the rebate reservation will not be approved.
 - c) The state will also require all applicants to affirm that the information they are providing is true and correct and that they understand that falsified information is subject to penalty.
 - d) The state will require the implementer to retain the signed statements in accordance with data security standards until the applicant's eligibility has been verified.

34. Describe how the state program will verify, where applicable, that at least one member of a household has been enrolled in a program within the [Federal Programs Approved for Categorical Eligibility](#) document, or other state-proposed program approved by DOE, within the prior 12 months.

☐ Defer response to State Implementation Blueprint.

The third-party vendor the state selects to oversee the income eligibility process will be required to review all of an applicant's documentation whether to substantiate income or verify enrollment in a qualifying program. They will be required to visually review all submitted information. If the documentation is insufficient or unclear, they will be required to consider the application as a case of self-attestation and then follow the review process associated with those applications. In addition to visual review of documentation, the state plans to integrate automation into the process where possible (e.g., use of screening technology to review standard information like 1040 forms, enrollment cards for specific programs) to confirm whether the information provided in the documentation meets requirements. Where needed, the implementer will call agencies that administer programs approved for categorical eligibility to confirm a household member's enrollment.

35. Identify the federal or other programs by which the state plans to allow categorical eligibility. (See the full list of [Federal Programs Approved for Categorical Eligibility](#) document)

☐ Defer response to State Implementation Blueprint.

The state also plans to offer categorical eligibility for the following programs listed in Tables A-3 and A-4 in the Appendix provided by DOE: [INCLUDE ONLY THOSE PROGRAMS THAT THE STATE PLANS TO RECOGNIZE FROM THE FOLLOWING LIST. IF THE STATE IS INTENDING TO ALLOW WAP OR SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN (WIC) TO QUALIFY HOUSEHOLDS FOR HIGHER REBATES, PROVIDE ADDITIONAL INFORMATION TO DEMONSTRATE STATE MEETS THRESHOLDS NOTED BELOW.]

- ☐ Low Income Home Energy Assistance Program (LIHEAP)
 - ☐ Medicaid
 - ☐ Supplemental Nutrition Assistance Program (SNAP)
 - ☐ Head Start
 - ☐ Lifeline Support for Affordable Communications (Lifeline)
 - ☐ Food Distribution Program on Indian Reservations (FDPIR)
 - ☐ National School Lunch Program - Free (NSLP)
 - ☐ Housing Improvement Program (HIP)
 - ☐ Housing Opportunities for Persons with AIDS
 - ☐ Supplemental Security Income (SSI)
 - ☐ Weatherization Assistance Program (WAP)
 - ☐ Special Supplemental Nutrition Program for Women, Infants, and Children (WIC)
 - ☐ Verified government or non-profit program serving Asset Limited Income Constrained Employed (ALICE) persons or households
- For multifamily buildings:
- ☐ Public Housing (housing owned and operated by Public Housing Authorities)
 - ☐ Privately owned multifamily buildings receiving project-based assistance (Section 8, Section 202, Section 811)
 - ☐ Privately-owned multifamily buildings that house residents receiving tenant-based assistance
 - ☐ Section 42 Low Income Housing Tax Credit (LIHTC)

36. If applicable, propose any additional federal and other programs to be considered for categorical eligibility. For any programs not already approved, describe how the program's eligibility aligns with the Section 50122 income requirements (Section 4.1.6).

☐ Defer response to State Implementation Blueprint.

☐ N/A. The State will not propose additional federal or other programs to be considered for categorical eligibility.

Subject to DOE approval, the state also proposes to recognize the following additional programs with equivalent income requirements. [LIST ANY PROGRAMS THAT THE STATE PROPOSES TO RECOGNIZE ALONG WITH THE SPECIFIC INCOME REQUIREMENTS OF EACH PROGRAM.]

37. Identify whether the State requests authorization to allow use of categorical eligibility determinations based on program participation outside of a one-year period (e.g., proof of enrollment within the past 12 months). If so, explain the State's proposal and describe the rationale.

☒ Yes, the State requests authorization to allow use of categorical eligibility determinations based on program participation outside of a one-year period. (Explain the State's proposal and describe the rationale.)

☐ No, the state will follow the categorical eligibility and proof of enrollment timeline requirements followed in our DOE approved WAP.

☐ Defer response to State Implementation Blueprint.

[RESPOND ONLY IF THE STATE PROPOSES A DIFFERENT TIME PERIOD:]

The state proposes that applicants provide proof of enrollment in a qualifying program within [ENTER LENGTH OF TIME (E.G., 2 YEARS)] of the date of their rebate application. Many low-income programs do not update their enrollment information annually; and some households (given relocations or other factors) may not have up-to-date enrollment documentation. Therefore, the state proposes to accept documentation that demonstrates a household's enrollment within this longer period of time.

38. Identify whether the State requests authorization to allow categorical eligibility for a program in a way that is not consistent with the "level of categorical eligibility" listed in the document [Federal Programs Approved for Categorical Eligibility](#). For each deviation requested, propose, and provide documentation to justify the requested change. Documentation must demonstrate that the State imposes income requirements equivalent to or less than 80% AMI.

☐ Defer response to State Implementation Blueprint.

☐ N/A. The state will not allow categorical eligibility for a program in a way that is not consistent with the "level of categorical eligibility" listed in the document [Federal Programs Approved for Categorical Eligibility](#).

[RESPOND ONLY IF THE STATE PROPOSES DIFFERENT LEVELS OF ELIGIBILITY FOR CERTAIN RECOGNIZED PROGRAMS:]

The state proposes the following changes in terms of establishing an applicant's eligibility as meeting the below 80% AMI requirement. While the following programs serve higher income households (i.e., up to 150% AMI) based on federal requirements, the state imposes additional income restrictions consistent with the

below 80% AMI requirement. [LIST EITHER OR BOTH OF THE FOLLOWING PROGRAMS AND PROVIDE SUBSTANTIATING INFORMATION REGARDING THE STATE'S INCOME REQUIREMENTS].

- ☐ Special Supplemental Nutrition Program for Women, Infants, and Children (WIC)
- ☐ Verified government or non-profit program serving Asset Limited Income Constrained Employed (ALICE) persons or households

Section 4.1.7 Data Collection and Evaluation

39. Explain how data will be protected, specifically addressing security measures and privacy measures.

☐ Defer response to State Implementation Blueprint.

[IN THIS RESPONSE, CONSIDER THE FOLLOWING:

- WHICH DATA SECURITY MEASURES WILL BE APPLIED AND ENFORCED
- HOW DATA WILL BE SECURELY COLLECTED AND TRANSFERRED (INCLUDE SYSTEM OR SOFTWARE NAME IF KNOWN)
- HOW DATA WILL BE SECURELY STORED
- HOW PII AND CONSUMER PRIVACY WILL BE PROTECTED
- ADDITIONAL STATE RULES OR REGULATIONS THAT WILL BE FOLLOWED]

The state will apply all data security measures and privacy measures as required by [ENTER NAME OF RELEVANT STATE POLICY, LAW, PRACTICE, OR REGULATION]. Per program requirements, the state will not sell any collected data and will retain data/records for at least 3 years after the state submits the final expenditure report to DOE. All of these requirements will extend to the program implementers and/or evaluators.

40. Include documentation of the processes to monitor, identify, and address security and privacy threats.

☐ Defer response to State Implementation Blueprint.

[IN THIS RESPONSE, CONSIDER THE FOLLOWING:

- PROCESSES AND PROCEDURES FOR MONITORING DATA SECURITY AND IDENTIFYING BREACHES. INCLUDE DETAILS OF TIMING AND BREADTH OF MONITORING.
- HOW CONTRACTORS AND OTHER ENTITIES THAT HANDLE PERSONAL IDENTIFIABLE INFORMATION AND OTHER DATA WILL BE TRAINED IN DATA PRIVACY AND SECURITY
- HOW THE STATE WILL ADDRESS PRIVACY OR DATA BREACHES
- INCLUDE ANY ADDITIONAL STANDARD OPERATING PROCEDURES OR STATE REQUIRED PROCEDURES THAT WILL BE FOLLOWED.
- NOTE THAT THE STATE MUST INCLUDE AN INDEPENDENT REVIEW OF PROGRAM'S PROCESSES AT LEAST EVERY THREE YEARS]

[EXAMPLE 1:] Please refer to our Privacy and Security Plan for detailed documentation of the processes to monitor, identify, and address security and privacy threats.

OR

[EXAMPLE 2:] The state has the following processes to monitor, identify, and address security and privacy threats. [INSERT LINK]

41. Certify that the State will submit a Privacy and Security Risk Assessment in the State Implementation Blueprint.

- ☒ Yes, the State confirms the above statement and will include it with this narrative document.
- ☐ Yes, the State confirms the above statement but defers a response to State Implementation Blueprint.

42. Confirm that the State will collect required data and cooperate in program evaluation processes as listed in section 4.1.7.2 of the [Program Requirements & Application Instructions](#).

- ☒ Yes, the State confirms the above statement.

43. Confirm that the State will gain access to billing data when requested by DOE for program requirements and program evaluation.

- ☒ Yes, the State confirms the above statement.

Describe how the state will gain access to billing data when requested by DOE for program evaluation.

[RESPONSE SHOULD INCLUDE:]

- IF THE STATE HAS EXISTING SYSTEMS THAT ACCESS HOUSEHOLD UTILITY BILLS (E.G., GREEN BUTTON)
- IF AND HOW THE STATE MAY PARTNER WITH UTILITIES TO REQUEST AND RECEIVE DATA (I.E., THE STATE WILL SUBMIT A LIST OF ADDRESSES TO THE UTILITY)
- IF AND HOW THE STATE WILL ENGAGE WITH HOUSEHOLDS TO COLLECT THE DATA DIRECTLY (I.E., IF REQUESTED, THE STATE WILL PROVIDE A LINK TO UPLOAD THEIR DATA BILLING DATA, OR WILL PROVIDE INFORMATION ON HOW TO CONTACT THEIR UTILITY TO REQUEST THEIR UTILITY BILLS)

The state will partner and work with their utilities [ENTER NAMES OF UTILITIES] to ensure DOE will have access to billing/usage data when requested for evaluation purposes. [ENTER NAMES OF UTILITIES] will sign an agreement confirming their participation and this will be submitted to DOE.

For all projects that apply for a 50122 Home Electrification & Appliance Rebate, the state will request that the homeowner or building owner sign a statement that:

- 1) Gives the state permission to collect 12 months of all energy utility billing data prior to the upgrade as well as 12 months of all energy utility billing data after the upgrade.

- 2) Confirms the homeowner or building owner will provide energy utility billing data directly, in the event that the state is not able to get the records directly from the utility.

44. Confirm whether the State is planning to conduct its own evaluation, and if so, what type(s) of evaluations.

- ☒ Yes, the State will conduct its own evaluation. (Describe below).
☐ No, the state will participate in the DOE-led impact and evaluation process.

If yes, what type(s) of evaluations. If no, leave blank.

[ONLY RESPOND IF THE STATE PLANS TO CONDUCT ITS OWN EVALUATION.]

We are planning to conduct a [INCLUDE ONE OR MORE OF THE OPTIONS BELOW AND/OR OTHER TYPES OF PLANNED EVALUATIONS]:

- Process evaluation to evaluate the program experience for program participants (e.g., consumers, contractors, distributors, retailers).
- Process evaluations to understand success and recommendations for improvements towards program priority areas e.g., disadvantaged communities, multi-family, regionally focused programs)
- Impact evaluation to measure program impacts (e.g., consumer bills, fuel types, energy savings)
- Market effects evaluation to measure the influence the Home Rebates program is making within the state
- Randomized controlled studies of rebate impacts on savings, homeowner satisfaction and/or other metrics

[LIST ANY ADDITIONAL EVALUATIONS THE STATE IS PLANNING TO CONDUCT.]

If the State plans to conduct evaluations on its programs, confirm that the State will:

- Cooperate with DOE to meet the requirements listed in Section 4.1.7.2 of the [Program Requirements & Application Instructions](#).
☒ Yes, the State agrees to meet the evaluation requirements.
- Submit an evaluation plan for DOE review within three months of program launch.
☒ Yes, the State will submit an evaluation plan within three months of program launch.
- Provide results to DOE.
☒ Yes, the State will provide results to DOE.

45. If the State plans to conduct evaluations on its programs, describe the evaluation objectives, high level work plan, and timing of the evaluations and whether the State would request to be excluded from DOE-led evaluations.

- ☒ Yes, the State agrees to meet the evaluation requirements.
☐ N/A. The State will not conduct its own evaluation.

[ONLY RESPOND IF THE STATE PLANS TO CONDUCT ITS OWN EVALUATION.]

IF YES, RESPONSE INCLUDES A DESCRIPTION OF ALL OF THE FOLLOWING:

- EVALUATION OBJECTIVES. E.G.,
 - THE PROCESS EVALUATION GOALS ARE TO ASSESS AND UNDERSTAND THE PROGRAM EXPERIENCES FOR PARTICIPANTS (E.G., CONSUMERS, CONTRACTORS, DISTRIBUTORS, AND RETAILERS; IDENTIFY BARRIERS, COMPLEXITIES, INEFFICIENCIES; PROVIDE RECOMMENDATIONS TO IMPROVE THE PROGRAM EXPERIENCE, RECOMMENDATIONS FOR IMPROVEMENTS TOWARDS PROGRAM PRIORITY AREAS (E.G., DISADVANTAGED COMMUNITIES, MULTIFAMILY, REGIONALLY FOCUSED PROGRAMS)
 - THE IMPACT EVALUATION GOALS ARE TO ASSESS IF THE PROGRAM IS DELIVERING THE RESULTS EXPECTED BY CONSUMERS AND STATES (E.G., CAPACITY, CUSTOMER BILL SAVINGS, AND GREENHOUSE GAS SAVINGS, NON-ENERGY BENEFITS); REVIEW TOOLS, MODELS AND METHODOLOGIES; AND PROVIDE RECOMMENDATIONS FOR PROGRAM IMPROVEMENTS.
 - THE MARKET EFFECTS EVALUATION GOALS ARE TO MEASURE THE LASTING CHANGES IN THE BEHAVIOR AND DECISION-MAKING OF CONSUMERS AND SUPPLIERS THAT RESULT FROM MARKET INTERVENTION.)
- HIGH LEVEL WORK PLAN. STATES MAY PROVIDE INFORMATION ON THEIR WORK PLAN OR DEFER THIS TO THEIR EVALUATION PLAN.
 - ANTICIPATED RESEARCH STRATEGIES (E.G., EVALUATION METHODS LIKE STATISTICAL OR ENGINEERING ANALYSES, ANTICIPATED SAMPLING APPROACHES, DOCUMENTATION REVIEW, INTERVIEW, SURVEYS)
 - SIZE AND TIMING OF EVALUATIONS (E.G., FEWER, LARGER EVALUATION OR SMALLER EVALUATIONS INTENDED FOR FASTER FEEDBACK)
- TIMING (E.G., WITHIN ONE YEAR OF PROGRAM LAUNCH AND EVERY TWO (2) YEARS THEREAFTER)
- WHETHER THE STATE WOULD REQUEST TO BE EXCLUDED FROM THE DOE-LED EVALUATIONS

FOR ADDITIONAL INFORMATION ON THE EVALUATION STRATEGIES AND WORKPLANS, SEE DOE PROGRAM RECOMMENDATIONS.]

The state will establish our final evaluation objectives as part of developing our evaluation plan and will be reported to DOE in the evaluation plan template. Expected objectives include but are not limited to (a) understanding program experience of different stakeholders to improve process; (b) quantifying impacts of energy savings, bill savings, GHG, and/or non-energy benefits and developing recommendations for increasing beneficial outcomes of each; and (c) measuring lasting changes in behavior and decision-making of consumers and suppliers.

As a first step, the state will identify what types of impacts/outcomes the state wants to measure.

Evaluations will be designed to help us assess progress toward meeting our program's goals and to help us make process and other improvements over the course of the rebate program. Evaluations will be designed to complement national

reviews as well as other components of our program design and implementation (e.g., quality assurance). The state will identify what data needs to be collected as part of our implementation processes (e.g., data on improvements, costs) and what data will be collected as part of evaluations (e.g., focus group responses). The state will ensure that relevant data collection is integrated into our implementation processes.

The state will develop a work plan that describes anticipated research strategies, evaluation methods, as well as the size and timing of our evaluations.

The state plans to begin the first evaluation 6 months after program launch and complete it within one year. It plans to begin evaluations every two years and complete each within one year.

The state does not request exclusion from DOE sponsored evaluations, but requests that DOE ensure that any participant in state-sponsored surveys, interviews or field visits is excluded from the DOE evaluation sample to ensure that our program's participants do not have a high response burden.

Consumer Experience

Section 4.2.1: Education and Outreach Strategy

46. Confirm that the State will develop and submit an outreach and education strategy consistent with Section 4.2.1.

- ☒ Yes, the State confirms the above statement.
☐ Defer response to State Implementation Blueprint.

Section 4.2.2 Qualified Electrification Projects

47. Describe how the State will verify that rebates are provided only for qualified electrification projects, including that each of the following conditions are met for each project:

- Project includes the purchase and installation of a qualifying product, as described in Section 4.2.2 of the [Program Requirements & Application Instructions](#)
- The qualifying product is installed as part of new construction; or to replace a non-electric appliance; or as a first-time purchase with respect to that appliance
- The installation occurs at a single-family home or eligible multifamily building

The state will use the [DOE Rebate Tracking System](#) which will only generate coupons for qualified product types. For those retailers that use the API, they will be responsible for coding those sales items that meet 50122 requirements and only accepting coupons when applied to those products. All others that accept rebate coupons will be informed that the rebate only applies to qualifying products and that they will not be reimbursed should the installed or purchased equipment not be a qualifying product.

Any entity that applies the rebate at point of sale or installation is required to submit a proof of sale/invoice with detailed product information (model numbers, etc.). For

contractors that install equipment, they are also required to take and submit geo-coded pictures of installed equipment, including nameplate information.

Homeowners or building owners that apply for rebate coupons to be used when purchasing equipment or materials will be notified of product requirements on the coupon and receive a warning noting that they are required to pay back the state in addition to a fine should it be found that they installed non-qualifying equipment or installed the equipment at another address.

At the time of applying for a rebate, the applicant will be asked a series of questions intended to assess whether the home's current conditions meet rebate requirements. For example, if they answer "electric" to the question of what type of stove they are REPLACING, their application will be rejected with a note informing them the rebate can only be used to replace a gas stove. Or, if the applicant responds "yes" to the question of whether they have at least one of the types of equipment installed at that address, then the application will be rejected with a note informing them that the rebate can only be used for first time purchases of the equipment.

They will need to sign an affidavit attesting that they are providing accurate information, that they understand the consequences of falsifying information, etc. They will also be required to attest to the type of equipment that they will be replacing in their home (if relevant). The state will also inform them that by accepting the rebate, they agree to participating in randomly selected reviews that would require them to provide geo-coded photos (when not already provided by an installer) or by allowing an inspector to come to their home to verify that qualifying equipment has been installed at the given address.

48. Describe how the State will collect and retain documentation to demonstrate how each criterion in section 4.2.2 of the [Program Requirements & Application Instructions](#) was met for each installation.

☐ Defer response to State Implementation Blueprint.

The state will use the [DOE Rebate Tracking System](#) to collect and report required information. This system will allow easy retention as well as analysis of all rebates processed. Given that those applying to be reimbursed for rebates taken off at the point of sale or installation (e.g., retailers, vendors, contractors) must provide documentation [and geotagged photos](#) prior to being reimbursed, the state will have information on each of these projects.

For all qualified appliances (including heat pumps), the state will collect a geolocated photo(s) of the existing equipment that will be replaced to verify that the installation is allowable. The state will also collect post-installation geotagged photo(s) of all rebated appliances to verify installation.

In instances where all of the rebate is applied at the point of purchasing equipment (i.e., via a retailer or distributor), the state will comply with this requirement by collecting and retaining (1) photo(s) of delivery arranged by the retailer or distributor, as available, and (2) an agreement by the household receiving the rebated equipment to provide photos upon request. The state will also randomly

select a portion of these rebate projects for quality assurance to ensure that the purchased equipment is installed at the appropriate address. The state plans to randomly select and conduct quality assurance on [ENTER NUMBER: X%] of all claims submitted for the first year. Through this quality assurance process done remotely or in person, the state will verify what equipment was installed, where it was installed, and also request documentation of any equipment that was replaced. If more than [ENTER NUMBER: X%] of the randomly selected claims prove to be accurate, then the state may choose to decrease the percentage of randomly selected claims downward over time.

49. If applicable, identify any additional types of "materials to improve ventilation" that the State plans to make eligible for rebates.

- ☐ Defer response to State Implementation Blueprint.
- ☐ N/A. The State will not include any additional types of "materials to improve ventilation" in the rebates.

For homes that also receive air sealing services or otherwise achieve low air leakage rates, eligible ventilation materials include ENERGY STAR-certified range hoods and in-line (single and multi-port), bathroom, and utility room fans. Products must be installed in the configuration certified by ENERGY STAR. A range hood that is installed such that the exhaust air is recirculated into the dwelling unit is not rebate eligible.

Section 4.2.3 Installation Incentives

50. Describe how eligible entity representatives (EERs) will be determined to be eligible for installation incentives, and how and when incentives will be paid.

- ☐ Defer response to State Implementation Blueprint.

The state will be using the [DOE Rebate Tracking System](#) to issue and track rebate coupons. Based on the product type, the coupon will note the relevant incentive available to the contractor/EER per the table included in response to question #8.

At that same time that the program issues the rebate coupon to be applied to the electrification and appliance rebates project, the program will reserve all incentive amounts for the EERs related to that project. Incentives will be paid to the contractor/EER when they submit the required information about the completed project. The state will also provide educational materials and do outreach to contractors/EER so that they are aware of this potential incentive.

51. Confirm that the State program will provide a clear incentive schedule commensurate with the scale of the upgrades installed not to exceed the maximum allowable values.

- ☒ Yes, the State confirms the above statement.

52. Describe what tool(s) the State will provide for eligible entity representatives to identify households that qualify for an installer incentive for substantial installation located within a disadvantaged community.

☐ Defer response to State Implementation Blueprint.

The state will be using the DOE Rebate Tracking System and will [ENTER ONE OF THE FOLLOWING:]

[OPTION 1:] use the CEJST maps to identify disadvantaged communities

OR

[OPTION 2:] be providing a map of disadvantaged communities so that the DOE Rebate Tracking System can associate a home's location with its "disadvantaged community" status.

When a rebate coupon is issued via the DOE Rebate Tracking System, that unique coupon will state whether the home is located in a disadvantaged community. If it is located in a disadvantaged community and household income is below 80% AMI, the contractor/EER will be notified that they may be eligible for the \$200 incentive if they complete a substantial installation within that home (which does not include projects with only an electric stove or heat pump dryer). Installer incentives for one household, however, cannot exceed \$500.

As with the product incentives, the program will reserve up to \$200 for any project to be completed in a low-income (below 80% AMI) household in a disadvantaged community. The reserved amount will be limited by the \$500 cap on installer incentives per household. This incentive will be paid to the contractor/EER when they submit the required information about the completed project.

The program will also provide educational materials and do outreach to contractors/EER so that they are aware of this potential incentive for substantial installations in disadvantaged communities.

53. Confirm that the State program will automatically provide the incentive to eligible entity representatives in an amount not to exceed \$500 per dwelling unit or multifamily building in a 12-month period.

☒ Yes, the State confirms the above statement.

Section 4.2.4 Home Assessments

54. Determine and describe a pre-defined set of home pre-condition(s) and/or scope of work scenario(s) that will constitute unacceptable risk of raising utility bills.

☐ Defer response to State Implementation Blueprint.

[RESPONSE SHOULD INCLUDE A LIST OF CRITERIA THAT WILL BE USED TO ASSESS POTENTIAL UTILITY BILL IMPACTS PRIOR TO THE INSTALLATION OF NEW EQUIPMENT AND/OR A DESCRIPTION OF A PRE-DEFINED SCOPE OF WORK THAT WILL CONSTITUTE AN UNACCEPTABLE LEVEL OF RISK OF INCREASED UTILITY BILLS. CONSIDER INCLUDING A DESCRIPTION OF ANY TOOLS THAT WILL BE USED TO CALCULATE POTENTIAL UTILITY BILL IMPACTS, AS WELL AS PLANNED NOTIFICATIONS TO HOMEOWNERS, BUILDING OWNERS, AND QUALIFIED CONTRACTORS.]

The state will work with an implementer to develop or select a tool that will assess utility bill impact risk based on the following criteria:

- The building age, size, climate, level of insulation, and level of air sealing/duct sealing
- The existing fuel type and if the home is switching from gas to electric
- The cost of the existing fuel and the cost of the fuel used after replacement
- The average annual energy use of the home and the anticipated energy use after installation

This tool will be used as a part of the limited home assessments completed prior to the installation of heat pumps for space heating and cooling. If the calculation suggests that utility energy bills will increase as a result of the proposed replacement, contractors will be required to inform the resident in writing. Customers that decide to proceed with an installation despite the risk of increased utility costs will be required to sign a waiver acknowledging the potential for bill increases.

The state will also work with experts (e.g., National Renewable Energy Laboratory (NREL) using ResStock, highly experienced contractors) to establish guidelines and ensure that all contractors are aware that they should consider the guidelines before installing heat pumps (without other envelope improvements). These guidelines may include a baseline insulation qualification (e.g., all homes with an R-value of 22 or more in exterior walls and attic) for homes to be categorically eligible for heat pump rebates.

The state will also inform contractors that they will be removed from the qualified contractor list if there are two instances of them not following guidelines (based on data submitted from assessments or collected through quality assurance reviews).

[ENTER ONE OF THE FOLLOWING:]

[OPTION 1:] The project implementer will review all proposed improvements where assessments are required prior to approving the rebate request (upon initiation).

OR

[OPTION 2:] The project implementer will review [ENTER NUMBER: X%] of assessments and compare with implemented improvements.

55. Identify if the State will allow remote or virtual assessments in place of field-based assessments in cases of limited home assessments and if so, describe process.

☒ Yes, the State will allow remote or virtual assessments (describe below).

The state will allow virtual limited home assessments prior to installation of any applicable 50122 projects.

Virtual assessments will be accepted if the following conditions are met:

- Access to a tablet, smart phone, or other device capable of live streaming video using the state's recommended virtual assessment platform is confirmed.
- Willingness and ability to utilize a video streaming device while walking through the home to view relevant systems is confirmed.

- Diagnostic testing is not required based on an initial review of the home's reported systems and components.

Confirmation that these conditions have been met will take place prior to scheduling a virtual assessment. Once eligibility for a virtual assessment is confirmed and an assessment has been scheduled, the state's implementer will issue a link to the homeowner or building owner to connect to the virtual assessment platform. A virtual assessment guide will be issued to help the participant (e.g., tenant, homeowner, building owner) prepare for the virtual assessment.

During the virtual assessment, the state's implementer will provide guidance on the process of sharing live video of relevant components in the home. The participant will have full control of their audio and visual settings (i.e., can pause at any time).

Virtual limited home assessments will require the collection of the same data and information as the on-site limited home assessments described in the Data & Tools Requirements Guide. This includes but is not limited to address, dwelling type, existing envelope conditions, and existing systems to be replaced.

The state will regularly assess opportunities to refine virtual assessment technology and protocol and will review assessment protocols used by utility programs to inform the final requirements for both on-site and virtual assessments, including information privacy. The state may confer with experts (e.g., national labs, implementers, efficiency organizations) to optimize the efficiency and effectiveness of virtual assessments.

The state will provide additional detail in the State Implementation Blueprint via the Consumer Protection Plan.

- ☐ No, the State will not allow remote or virtual assessments.
- ☐ Defer response to State Implementation Blueprint.

56. Describe what processes will be put in place for home energy assessments for multifamily buildings, including for energy used by common areas.

- ☐ Defer response to State Implementation Blueprint.

[FOR MULTIFAMILY HOMES, RESPONSE SHOULD DESCRIBE PROCEDURES AND PROCESSES FOR CONDUCTING HOME ASSESSMENTS FOR MULTIFAMILY BUILDINGS INCLUDING COMMON SPACES]

As with single family buildings, prior to launching the program, the state will develop requirements for what must be included at a minimum in all multifamily assessments for 50122 Home Electrification & Appliance Rebates, including for equipment serving common areas such as corridors and laundry facilities. These requirements will be consistent with DOE's requirements for home assessments and reporting of home assessment data. The state will also review assessment protocols used by utility programs to inform the final requirements. The state will publish the multifamily building assessment requirements and provide these to all contractors on the qualified contractor list.

Section 4.2.5 Consumer Protection Through Quality Assurance

57. Confirm that the State will prepare and implement a Consumer Protection Plan in accordance with these requirements in section 4.2.5 of the [Program Requirements & Application Instructions](#).

☒ Yes, the State confirms the above statement.

Requirements to Maximize Rebate Impact

Section 4.3.1 Supporting the Clean Energy Economy Through Market Transformation

58. Certify that the State will prepare and implement a Market Transformation Plan within the first year after receiving the financial assistance award.

☒ Yes, the State confirms the above statement.

Section 4.3.2 Integrating with Other Programs

59. Identify whether the State plans to take proactive steps to encourage integration with other programs. If so, identify with which programs the State will actively seek to integrate. The State may include letters of support or other indicators of commitment from existing program partners. If the State does not plan to integrate the rebates into any existing programs, note this as "not applicable" within the application. Applications should identify whether programs will be integrated in any or the following areas:

- Integration into existing program administration, website, materials.
- Adoption of existing program standards, quality assurance (QA), workforce standards, or other practices.
- Braiding or co-funding of upgrades within individual households.
- Other integration elements, as applicable.

☐ N/A. The State does not plan to integrate the rebates into any existing programs.

[ONLY RESPOND IF NOT CHECKING N/A ABOVE. FOR THIS RESPONSE, PLEASE CONSIDER INCLUDING THE FOLLOWING:

- SPECIFIC PROGRAMS THAT WILL BE INTEGRATED WITH THE HOME ELECTRIFICATION AND APPLIANCE REBATES.
- HOW REBATES WILL BE MANAGED ACROSS THE PROGRAMS
- HOW THE STATE ADDRESSING QUALIFICATIONS AND REQUIREMENTS THAT DO NOT EXACTLY ALIGN WITH THE HOME REBATES PROGRAM?
- WHAT INFORMATION IS BEING PROVIDED TO CONTRACTORS THAT WILL BE NAVIGATING BOTH PROGRAMS. WHAT TRAININGS MAY BE PROVIDED?
- WHAT TOOLS, SYSTEMS, DOCUMENTS, MARKETING MATERIALS, OUTREACH, VERIFICATION, QA, AND/OR REBATE PROCESSING ARE BEING COORDINATED OR INTEGRATED WITH EXISTING PROGRAMS?]

The state plans to integrate the 50122 Home Electrification & Appliance Rebates with the following program(s):

[INCLUDE ONE OR MORE OF THE FOLLOWING OR DESCRIBE OTHER RELEVANT PROGRAMS]

- To the extent feasible given restrictions in combining federal grants and rebates, as one portion of the rebates, the state plans to leverage the federally funded weatherization programs and use the Home Electrification & Appliance Rebates to ensure that low-income households served by weatherization can also benefit from equipment improvements that are typically beyond the scope of weatherization.
- As one method for delivering these rebates, the state plans to leverage the existing utility programs. These non-federally funded programs already have consumer education and marketing materials, a qualified contractor network, and contractor training resources for delivering whole home retrofits and are therefore well suited to deliver the Home Electrification & Appliance Rebates as well. The state will engage with utilities to explore co-marketing opportunities, align workforce standards and qualifications for contractor enrollment, and when higher than ENERGY STAR, align equipment standards and minimum efficiency levels.

By integrating the 50122 Home Electrification & Appliance Rebates with [ENTER PROGRAM NAME(S)], the state will build on existing consumer education materials, quality assurance activities, and workforce qualifications. [ENTER PROGRAM NAME(S)] has well established quality assurance efforts which can be carried out in concert with the QA needed for ensuring effective use of the 50122 Home Electrification & Appliance Rebates.

Regardless of whether the state is able to fully integrate Home Electrification & Appliance Rebates into existing programs, the state will ensure that any program co-funding or braiding complies with the Program Requirements.

60. Describe how the State program will support households, contractors, and other stakeholders in understanding how the State program may leverage other program resources.

☐ Defer response to State Implementation Blueprint.

[CONSIDER IDENTIFYING WHICH OTHER PROGRAMS STAKEHOLDERS MAY LEVERAGE IN THE STATE. DESCRIBE WHAT MARKETING AND TRAINING THE PROGRAM WILL DO FOR EACH STAKEHOLDER GROUP TO ENSURE AWARENESS OF OTHER PROGRAMS' RESOURCES.]

Prior to launching this rebate program:

- The state will work with relevant state membership associations and industry groups to conduct outreach via webinars and emails to program administrators and contractors (e.g., home performance, HVAC, plumbers, insulation installers, etc.) about allowable braiding and co-funding of measures and upgrades.
- The state will work with consumer education organizations, community-based organizations, retailers, manufacturers, and others to provide reliable

information to homeowners and building owners. The state will make information available at large public forums (e.g., county fairs, festivals) as well as at retail locations.

- The state has engaged with the following utilities [ENTER NAMES OF UTILITIES] to collaborate and leverage existing communications, trainings, and marketing channels to amplify the message of the Home Energy Rebates. This includes media, mailers, emails, talking points, and follow up info for customer service call centers, leave-behind materials at trainings and trade ally network gatherings, and direct engagement with utility implementers.

61. Describe the method(s) the State will use to ensure the total combination of all immediate upfront funding sources (federal grants, federal loans, and non-federal funding) provided to a project does not exceed the total project cost.

☐ Defer response to State Implementation Blueprint.

[CONSIDER INCLUDING IN THIS RESPONSE:

- HOW THE STATE PROGRAM WILL ENSURE THAT THE CONSUMER PROVIDES THE AMOUNT OF REBATES ALREADY RECEIVED THROUGH OTHER PROGRAMS (ESPECIALLY IF NOT USING DOE'S REBATE TRACKING TOOL)
- IF/HOW THE STATE WILL COORDINATE WITH EXISTING PROGRAMS THAT OFFER REBATES FOR THE SAME PRODUCTS
- IF/HOW THE STATE WILL PROVIDE REBATE INFORMATION TO EXISTING PROGRAMS IF A STATE REBATE IS PROVIDED FIRST
- WHAT THE STATE WILL DO IF A REBATE PROVIDED EXCEEDED THE TOTAL PROJECT COST]

The state will educate contractors and consumers regarding the restriction of applying incentives that exceed total project cost. All contractors on the qualified contractor list will be given a pre-launch set of materials including information regarding the restrictions on braiding and the restriction that total upfront incentives cannot exceed the total project cost.

When a homeowner or building owner initiates the process by requesting a rebate, they will be required to confirm that they understand the following:

A homeowner or building owner is not eligible for rebate funds that in combination with other incentives exceed the total project cost. A homeowner or building owner must inform their contractor of other incentives that they are receiving toward the cost of the project. The contractor will then apply this rebate toward any remaining costs not covered by the other incentives and show that deducted amount on their invoice to be signed by the homeowner or building owner.

The contractor will also require the homeowner or building owner to sign a statement confirming that they did not receive funds in excess of the total project costs.

Finally, the state will require contractors to list all incentives that have been received on the invoice that must be sent to the state/implementer in order to receive

reimbursement for the 50122 Home Electrification & Appliance Rebate applied at point of installation/service.

62. Describe how the State program will support contractors and retailers in preparing acceptable invoices that may be kept as program records. The State must also describe how its implementer(s) will produce this documentation in a timely manner upon request in the event of an audit by DOE, the DOE's inspector general, a State's inspector general, or another entity.

☐ Defer response to State Implementation Blueprint.

[RESPONSE SHOULD DESCRIBE HOW PROGRAM WILL TRAIN PROGRAM PARTNERS ON INFORMATION SYSTEMS AND DATA REQUIREMENTS. CONSIDER DESCRIBING THE PROCESSES AND SYSTEMS THE STATE WILL USE TO GENERATE, STORE, AND RETRIEVE INVOICES WHETHER USING THE DOE REBATE TRACKING SYSTEM OR ALTERNATIVE SYSTEM. CONSIDER WHO WILL BE RESPONSIBLE FOR THESE PROCEDURES.]

All contractors will be required to complete a brief on-line training session before being placed on the qualified contractors list. Only contractors included on that list will be eligible to be reimbursed for 50122 Home Electrification & Appliance Rebates applied at point of service/installation. The training will detail all prescribed components of invoices as well as the reporting system that contractors will need to use to submit required information (including invoices). As part of the training session, the contractor will be asked to complete a "mock" request for reimbursement which will include entering all relevant invoice information, uploading a "signed" invoice, and any other requirements. Contractors will be instructed that if they submit insufficient information, they will not be reimbursed for rebates applied at point of installation.

Participating retailers will be instructed to register with DOE/PNNL to confirm access to the DOE Rebate Tracking System API and will be provided guidance on how to use that system to submit receipts electronically. Other retailers that choose to accept a coupon will be directed to a retailer user interface provided on the coupon. There, they will sign up to become a participating retailer and follow instructions on how to validate a coupon and submit all required information for reimbursements of applied rebates. If they do not submit all required information including a copy of the receipt with rebated amount, they will not receive reimbursement from the state.

Implementers will be required to review all submitted information from delivered projects prior to reimbursing contractors or retailers. The state intends to use the DOE workflows which include quality assurance and review steps as well as opportunities for contractors to submit any missing information should their documentation be initially rejected by the implementer.

In the event of an audit, the implementer or the state will be able to promptly provide all invoice documentation since it will be submitted electronically through the DOE Rebate Tracking System by retailers that use the API and submitted through a separate user interface for contractors or smaller retailers that will upload

the information manually. All records will be retained by the implementer, and the majority of this information will also be provided to DOE.

63. Describe how the State will ensure rebate recipients will be made aware of the portion of the funding received from the DOE Home Electrification and Appliance Rebates.

☐ Defer response to State Implementation Blueprint.

The state will use the [DOE Rebate Tracking System](#) and workflows which include multiple notifications to all participants including homeowners and building owners regarding the level of DOE Home Electrification & Appliance Rebates available and applied. Contractors will be required to provide a line item showing the level of rebate applied on invoices that must be signed by the homeowner or building owner. Without this documentation, contractors will not be reimbursed.

Section 4.3.3 Quick Starts

64. Identify whether the application is for a Quick Start program. For Quick Start programs, identify the timeline for program launch. **[SELECT ONE]**

- ☐ Yes, this is for a Quick Start Program **[PROVIDE TIMELINE BELOW]**.
☒ No, this is not for a Quick Start Program.

Appendix

Home Electrification & Appliance Rebates

Rebate Limitations

Table A-1. Product Service Rebates and Rebate Limitations

Product Rebates		
Upgrade Type	Qualified Product	Rebate Amount Not to Exceed
Appliance	Heat Pump Water Heater	\$1,750
	Heat Pump for Space Heating and Cooling	\$8,000
	Heat Pump Clothes Dryer	\$840
	Electric Stove, Cooktop, Range, or Oven	
Building Materials	Electric Load Service Center	\$4,000
	Insulation, Air Sealing, and Ventilation	\$1,600
	Electric Wiring	\$2,500
Maximum Rebate		\$14,000
Rebate Limitations		
Eligible Rebate Recipient	Income Level	Rebate Amount Not to Exceed
Low- or Moderate-Income (LMI) Household or Eligible entity representative representing LMI household	Less than 80% AMI	100% of qualified project cost
	81%-150% AMI	50% of qualified project cost
Owner of multifamily building or Eligible entity representative representing owner of multifamily building	At least 50% of residents with income less than 80% AMI	100% of qualified project cost
	At least 50% of residents with income of 81%-150% AMI	50% of qualified project cost

Installation Incentives

Table A-2. **Non-Binding Example of** Qualifying Activities and Incentives

Qualifying Activity	Incentive (Example)
Substantial installation located within a disadvantaged community (excludes installations of electric stoves and electric heat pump dryers) per dwelling unit	\$200
Installation of one or more electric heat pump water heaters	\$150
Installation of one or more electric heat pumps for space heating and cooling per dwelling unit - ducted	\$300
Installation of one more electric heat pumps for space heating and cooling per dwelling unit - non-ducted	\$200
Installation of one electric stove, cooktop, range, or oven	\$0
Installation of one electric heat pump clothes dryer	\$0
Installation of one or more electric load service center	\$150
Installation of insulation per dwelling unit	\$250
Installation of air sealing and materials to improve ventilation per dwelling unit	\$250
Installation of electric wiring per dwelling unit	\$250

Federal Programs Approved for Categorical Eligibility

Table A-3. Recognized Programs for Categorical Eligibility of Home Electrification and Appliance Rebates

Recognized Program	Eligible for Higher Level of Home Electrification and Appliance Rebates
Low Income Home Energy Assistance Program (LIHEAP)	X
Medicaid	X
Supplemental Nutrition Assistance Program (SNAP)	X
Head Start	X
Lifeline Support for Affordable Communications (Lifeline)	X
Food Distribution Program on Indian Reservations (FDPIR)	X
National School Lunch Program - Free (NSLP)	X
Housing Improvement Program (HIP)	X
Housing Opportunities for Persons with AIDS	X
Supplemental Security Income (SSI)	X

Recognized Program	Eligible for Higher Level of Home Electrification and Appliance Rebates
Weatherization Assistance Program (WAP)	Automatically eligible for higher rebate amount ONLY if household is located in an area where 80% AMI is greater than 200% FPL. If 80% AMI < 200% FPL, household is automatically eligible for lower rebate amount.
WIC	Automatically eligible for higher rebate amount ONLY if household is located in an area where 80% AMI is greater than 185% FPL. If 80% AMI < 185% FPL, household is automatically eligible for lower rebate amount.
Verified government or non-profit program serving Asset Limited Income Constrained Employed (ALICE) persons or households	Automatically eligible ONLY for lower rebate amount.
Other (programs approved by DOE through State application process)	States may propose other income-verified programs for categorical eligibility in their applications. DOE will approve if those income criteria meet the Home Energy Rebates income criteria set forth in the Inflation Reduction Act.

Table A-4. Recognized Housing Programs for Categorical Eligibility of Home Electrification and Appliance Rebates

Recognized Program	Level of Categorical Eligibility for Rebates for Renters Receiving Housing Assistance	Whole Building Eligibility for Rebates
Public Housing (housing owned and operated by Public Housing Authorities)	Below 80% AMI	Single- and multi-family buildings owned and operated by Public Housing Authorities are fully eligible
Privately owned multifamily buildings receiving project-based assistance (Section 8, Section 202, Section 811)	Below 80% AMI	If at least 50% of housing units are subsidized through these programs, then the multifamily building is fully eligible.
Privately-owned multifamily buildings that house residents receiving tenant-based assistance	Below 80% AMI	If at least 50% of building occupants receive tenant-based assistance, then the multifamily building is fully eligible.
Low Income Housing Tax Credit (LIHTC)	Below 80% AMI	If at least 50% of housing units are income-restricted, then the multifamily building is fully eligible.