



# ADMINISTRATIVE AND LEGAL REQUIREMENTS DOCUMENT (ALRD)

U.S. Department of Energy  
State and Community Energy Program  
Golden Field Office

## State and Community Energy Programs (SCEP) Inflation Reduction Act of 2022 Home Energy Rebates: Home Efficiency Rebates & Home Electrification and Appliance Rebates

CFDA Number: 81.041

### VERSION 1.1

Modifications to this document are as follows and will be highlighted in the text in **yellow**:

Version No.	Item No.	Description of Modification	Location
1.1	1	Updates to the applicability of National Environmental Policy Act	p.6
	2	“Part X” has been re-labeled to “Part IX” and a website link is provided for reference documents	p.15

**Issue Date: 7/27/2023**

Applications will be reviewed on a rolling basis and remain open until January 31, 2025. To ensure timely processing of awards, Grantees must submit complete Applications by the above deadline.

**VERSION 1.1 Issue Date: 10/13/2023**



## Registration/Submission Requirements

**Registration Requirements: Allow at least 21 days to complete registrations.**

If you have not already registered, there are several one-time actions you must complete to receive an award:

1. Obtain a Unique Entity Identifier (UEI) number from the [System for Award Management \(SAM.gov\)](#) website. Subawardees at all tiers must obtain UEI numbers and provide the UEI to the prime awardee before the subaward can be issued. For questions, consult additional training resources [here](#) (prepared by the Weatherization Assistance Program).
2. Register in the System for Award Management (SAM) at <https://sam.gov>. Applicants who are not registered with SAM should allow several weeks to complete this requirement. It is suggested that the process be started as soon as possible. **Prime awardees must update their SAM registration annually.** Please note, there are new requirements for registering in SAM. Entities registering in SAM must submit a notarized letter appointing their authorized Entity Administrator. Please see SAM website for updates, alerts, and FAQs. For questions, call 866- 606-8220 or 334-206-7828.

**NOTE: Due to the high demand of UEI requests and SAM registrations, entity legal business name and address validations are taking longer than expected to process. Entities should start the UEI and SAM registration process as soon as possible. If entities have technical difficulties with the UEI validation or SAM registration process, they should utilize the HELP feature on SAM.gov. SAM.gov will work entity service tickets in the order in which they are received and asks that entities not create multiple service tickets for the same request or technical issue. Additional entity validation resources can be found here: [GSAFSD Tier 0 Knowledge Base - Validating your Entity](#).**

3. Register in FedConnect to receive and acknowledge your award at <https://www.fedconnect.net/>. See the Quick Start Guide at [https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect Ready Set Go.pdf](https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf) For additional questions, email [support@fedconnect.net](mailto:support@fedconnect.net) or call 1-800-899-6665.
4. Have a Login for the Performance and Accountability for Grants in Energy (PAGE) System at <https://www.page.energy.gov/> to submit your application. State Energy Office designated points of contact will receive follow-up information regarding the application process from DOE via email.

States should contact their respective DOE Project Officer on state-specific questions. A list of Project Officers with contact information will be made available at <https://www.energy.gov/scep/home-energy-rebate-programs-guidance>.

**Electronic Signatures:** Acknowledgement of award documents by the Grantee's authorized representative through electronic systems used by the Department of Energy, including

FedConnect, constitutes the Grantee's acceptance of the terms and conditions of the award. Acknowledgement via FedConnect by the Grantee's authorized representative constitutes the Grantee's electronic signature.

**IMPORTANT:** The electronically signed Assistance Agreement with attached award documents distributed via FedConnect is the formal authorization and approval from the Contracting Officer. Grantees may not rely on PAGE as the formal authorization and approval. Award documents in the initial award and any modifications to the award must be reviewed and acknowledged by the Grantee in FedConnect.

## Contents

Registration/Submission Requirements.....	2
Contents.....	3
Part I Authority.....	3
Part II Award Information.....	4
Part III Eligibility Information.....	5
Part IV Application and Submission Information.....	6
Part V Award Administration Information .....	6
Part VI Questions/Agency Contacts.....	7
Part VII Other Information .....	8
Part VIII Submitting an Application.....	11
Part <b>IX</b> Reference Material.....	15

## Part I Authority

Sections 50121 and 50122 of the Inflation Reduction Act (IRA) authorize the Department of Energy to administer the Home Energy Rebates. Sections 50121 and 50122 provide that a portion of the federal financial assistance made available to a state under the Home Energy Rebates may be used for planning, administration, or technical assistance related to the state's home energy rebate programs. Sections 50121(c)(4) and 50122(c)(9) of the IRA provide that the grantee may not use more than 20% of the grant amount for planning, administration, or technical assistance.<sup>1</sup> The remainder of the funds must be used for rebates, statutorily required incentives, and costs directly attributable to delivery of the rebate to eligible recipients. All Grant awards made under the Home Energy Rebates must comply with DOE and other federal regulations and procedures governing financial awards as outlined in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200 as amended by 2 CFR Part 910 and other procedures applicable to this

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<sup>1</sup> 42 U.S.C. 18795(c)(4); 42 U.S.C. 18795a(c)(9).

regulation as DOE may, from time-to-time, prescribe for the administration of financial assistance.

## Part II Award Information

### A. TYPE OF AWARD INSTRUMENT

DOE will award formula grants for this funding.

### B. ESTIMATED FUNDING

**Funding Level:** A state may request up to 100% of total allocated funding from each section, less any funds received under the Early Administration Funds ALRD. If a state received funds under the Early Administration Funds ALRD, additional funds granted under this ALRD will be added to the existing grant.

A state may apply for funds for Home Efficiency Rebates (Section 50121), Home Electrification and Appliance Rebates (Section 50122), or both. A separate application is required for each section. Funds for Home Efficiency Rebates (Section 50121) must be tracked and managed separately from funds for Home Electrification and Appliance Rebates (Section 50122).

A state may apply for a portion of funds (for either program or both) to develop a “Quick Start” program. All requirements continue to apply. DOE will prioritize processing of applications identified for a “Quick Start” where the state plan indicates an intent to achieve a program launch in 2023. A state may request additional funding for its approved program prior to January 31, 2025, or may submit an application to administer a program operating under a different plan. As such, states may use a “Quick Start” application to pilot a rebate program.

The Grantee shall administer DOE funds received under these grants in accordance with Federal rules and regulations and state policies and procedures. The Grantee is to manage Federal Funds in a prudent, effective, and efficient manner to accomplish program objectives. Grantees shall take the necessary steps to ensure that funds are expended within the grant project period.

Pre-award costs will not be allowed.

### C. PERIOD OF PERFORMANCE

DOE anticipates making awards that will run a maximum of 8 years in length, comprised of one budget period ending not later than September 30, 2031. DOE will evaluate project performance, project schedule adherence, the extent milestone objectives are met, compliance with reporting requirements, and overall contribution to the program goals and objectives. Allocated funding will be released, pending DOE review and approval, at the following project milestones.

Tranche #	Portion of awarded grant funds released	Required Deliverable(s) or Milestone(s)	LI Target*	LI Minimum†	LI MF Target*	LI MF Minimum†
1	25% funds	Negotiated and approved state grant application				
2	30% funds (55% total)	Approved Program Launch Approved State Implementation Blueprint	10-15%	5%		
3	25% funds (80% total)	Approved Market Transformation Plan	50-60%	35%	25%	5%
4	20% funds (100% total)	Approved independent privacy and security review Approved review of QA Plan Completed review of incentive implementation	80%	60%	70%	25%

\* Targets indicate DOE’s expected performance towards expending low-income (LI) and low-income multifamily (LI MF) allocations. Applicants should strive to achieve targets.

† Minimums must be met to receive next tranche of funds.

The awardee is required to submit a continuation application to DOE 90 days prior to achieving these deliverables and/or milestones for review and approval. An awardee not meeting the targets must provide an improvement plan in its continuation application for how it will improve program performance to meet the next tranche’s targets. DOE approval is required in order to move to the next tranche and for funds to be released. As a result of this evaluation, DOE may, at its discretion, authorize the following actions:

- (1) continue to fund the project, contingent upon the availability of funds appropriated by Congress for the purpose of this program;
- (2) place a hold on federal funding for the project, pending further supporting data or funding; or
- (3) discontinue funding the project because of insufficient progress, change in strategic direction, or lack of funding.

**If routine data reviews demonstrate Grantee is not meeting Plan terms, DOE reserves the right to put a hold on the funds the Grantee can draw down under the Automated Standard Application for Payments (ASAP) System.**

### Part III Eligibility Information

#### A. ELIGIBLE APPLICANTS

In accordance with the IRA Section 50121, funding is only available to States, U.S. Territories, and the District of Columbia (referred to throughout this ALRD as “states”). No other entity types may be considered for this funding.



In accordance with the IRA Section 50122(1)(A), certain funding is only available to States, U.S. Territories, and the District of Columbia. No other entity types may be considered for this funding. Note that DOE will be issuing a separate solicitation for Tribes pursuant to the IRA Section 50122(1)(B) after completing Tribal Consultations.

## **B. COST MATCHING**

Cost match is not required for these awards.

## **Part IV Application and Submission Information**

### **A. CONTENT AND FORM OF APPLICATION**

The application must be submitted via the PAGE online system at <https://www.page.energy.gov/default.aspx>. It is the responsibility of the Grantee to verify successful transmission. DOE reserves the right to request additional or clarifying information for any reason deemed necessary. Applications will be reviewed for consistency with the SCEP program objectives. Please note that State Plans shall be submitted as PDF attachments to the SF-424 Application. See Part VIII for application requirements.

### **B. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) COMPLIANCE**

DOE's decision whether and how to distribute Federal funds is subject to the National Environmental Policy Act (42 U.S.C. 4321, et seq.). NEPA requires Federal agencies to integrate environmental values into their decision-making processes by considering the potential environmental impacts of their proposed actions.

## **Part V Award Administration Information**

### **A. AWARD DOCUMENTS**

An Assistance Agreement issued by the Contracting Officer is the authorizing award document. The Assistance Agreement normally includes, either as an attachment or by reference: (1) Special Terms and Conditions; (2) Application package as approved by DOE (Budget Information, Planned Activities, etc.); (3) DOE assistance regulations at **2 CFR Part 200** as amended by **2 CFR Part 910**; (4) National Policy Assurances To Be Incorporated As Award Terms; (5) Intellectual Property Provisions; and (6) Federal Assistance Reporting Checklist, which identifies the Reporting Requirements; and. These documents are sent to the Recipient via FedConnect.

### **B. FUNDING RESTRICTIONS**

Costs must be allowable, allocable, and reasonable in accordance with the applicable Federal cost principles referenced in 2 CFR 200. The cost principles for commercial organizations are in Federal Acquisition Regulation (FAR) Part 31. (Under **2 CFR Part 200** as amended by **2 CFR Part 910** regulations, the cost principles are contained in Subpart E–Cost Principles within **2 CFR Part 200**.)

Rebates issued under these awards are not federal public benefits.

### **C. MONITORING AND REPORTING**

States must comply with DOE and other federal regulations and procedures governing financial awards as outlined in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200 as amended by 2 CFR Part 910. Federal regulations require DOE to monitor each grant recipient and grantees for each project, program, sub-recipient, function, or initiative supported by federal funds to ensure compliance with all federal regulations.

The goal of grant monitoring is to maximize the effectiveness of awards, to confirm compliance with applicable federal and state regulations and to ensure awards are on schedule and on budget. Monitoring also provides an opportunity for DOE to communicate with states and states with sub-recipients to provide assistance to help achieve our mutual energy goals. DOE will issue grant monitoring procedures in the near future.

Reporting requirements are identified on the Federal Assistance Reporting Checklist (FARC), attached to the award agreement.

## **D. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

### **1. Administrative Requirements**

- The administrative requirements for DOE grant awards are contained in:
  - [2 CFR Part 200](#) as amended by [2 CFR Part 910](#)
  - [2 CFR Part 25](#) – Universal Identifier and Central Contractor Registration
  - [2 CFR Part 170](#) – Reporting Subaward and Executive Compensation Information to comply with the Federal Funding and Transparency Act of 2006 (FFATA). Additional information regarding FFATA is found at <https://www.fsr.gov>.
- The Electronic Code of Federal Regulations is found at [www.ecfr.gov](http://www.ecfr.gov).

### **2. National Policy Requirements**

The National Policy Assurances to be incorporated as Award Terms are located at <https://www.energy.gov/management/financial-assistance-forms-and-information-applicants-and-recipients>.

Intellectual Property Provisions. The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at <http://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>.

## **Part VI Questions/Agency Contacts**

## A. QUESTIONS

Questions and comments concerning this document shall be submitted not later than 10 calendar days prior to the application due date. Questions submitted after that date may not allow sufficient time to respond. All questions regarding this announcement must be submitted either to 1) the IRA Home Rebates Programs [website](#), or 2) the Home Rebates email [irahomerebates@hq.doe.gov](mailto:irahomerebates@hq.doe.gov). Submitting questions through the Home Rebates website is preferred. All questions will be responded to in a timely manner, and will be publicly posted on the IRA Home Rebates [website](#). Any responses received from sources other than what is publicly posted by DOE are not binding.

For questions regarding DOE Project Officer Assignments, please contact Mary Hubbard at the email address below.

## B. AGENCY CONTACT

Name: Mary Hubbard, DOE Monitoring and Delivery Supervisor

E-Mail: [mary.hubbard@hq.doe.gov](mailto:mary.hubbard@hq.doe.gov)

## Part VII Other Information

### A. INTERGOVERNMENTAL REVIEW

#### Program Subject to Executive Order 12372

This program is subject to [Executive Order 12372](#) (Intergovernmental Review of Federal Programs) and the regulations at [10 CFR Part 1005](#).

One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by state and local governments for coordination and review of proposed Federal financial assistance.

Applicants should contact the appropriate State Single Point of Contact (SPOC) to find out about, and to comply with, the state's process under [Executive Order 12372](#). The names and addresses of the SPOCs are listed on the Web site of the Office of Management and Budget at Intergovernmental Review (SPOC List) ([whitehouse.gov](http://whitehouse.gov)) [Intergovernmental Review \(SPOC List\) \(whitehouse.gov\)](#).

### B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE

DOE reserves the right, without qualification, to reject any or all applications received in response to this ALRD and to select any application, in whole or in part, as a basis for negotiation and/or award.

### C. COMMITMENT OF PUBLIC FUNDS

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

### D. LOBBYING RESTRICTIONS

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

#### **E. EXPENDITURE RESTRICTIONS**

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to support or oppose union organizing.

#### **F. MODIFICATIONS**

Modifications to this Administrative and Legal Requirements Document will be processed and disseminated via email and posting on <https://www.energy.gov/scep/home-energy-rebate-programs-guidance>.

#### **G. PROPRIETARY APPLICATION INFORMATION**

DOE will use data and other information contained in applications strictly for evaluation purposes. Applicants should not include confidential, proprietary, or privileged information in their applications unless such information is necessary to convey an understanding of the proposed project.

Applications containing confidential, proprietary, or privileged information must be marked as described below. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under the Freedom of Information Act or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose.

The cover sheet of the application must be marked as follows and identify the specific pages containing confidential, proprietary, or privileged information:

Notice of Restriction on Disclosure and Use of Data: Pages [list applicable pages] of this document may contain trade secrets or commercial or financial information that is privileged or confidential, and is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan agreement between the submitter and the Government. The Government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source. [End of Notice]

The header and footer of every page that contains trade secrets or commercial or financial information that is privileged must be marked as follows: “May contain trade secrets or commercial or financial information that is privileged or confidential and exempt from public disclosure.”

In addition, each line or paragraph containing trade secrets or commercial or financial information that is privileged or confidential must be enclosed in brackets.

The above markings enable DOE to follow the provisions of [10 CFR 1004.11\(d\)](#) in the event a Freedom of Information Act (FOIA) request is received for information submitted with an application. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under a FOIA request or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose.

Please be aware that all information provided to DOE (including confidential proprietary or confidential commercial information) is subject to public release under the Freedom of Information Act (FOIA). (5 U.S.C. § 552(a) (3) (A) (2006), amended by OPEN Government Act of 2007, Pub. L. No. 110175, 121 Stat. 2524). When a FOIA request covers information submitted to DOE by an applicant, and the cognizant DOE FOIA Officer cannot make an independent determination regarding the public releasability of this information, the cognizant DOE FOIA Officer will contact the submitter and ask for comment regarding the redaction of information under one or more of the nine FOIA exemptions. However, the cognizant DOE FOIA Officer will make the final decision regarding FOIA redactions. Submitters are given a minimum of 7 days to provide redaction comments and if DOE disagrees with the submitter's comment, DOE will notify the submitter of the intended public release no less than seven (7) days prior to the public disclosure of the information in question." ([10 CFR § 1004.11](#)).

## **H. PROTECTED PERSONALLY IDENTIFIABLE INFORMATION**

In responding to this ALRD, Applicants must ensure that Protected Personally Identifiable Information (PII) is not included in the application documents. PII is defined by the Office of Management and Budget (OMB) and DOE as:

Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual.

This definition of PII can be further defined as: (1) Public PII and (2) Protected PII.

Public PII: PII found in public sources such as telephone books, public websites, business cards, university listing, etc. Public PII includes first and last name, address, work telephone number, email address, home telephone number, and general education credentials.

Protected PII: PII that requires enhanced protection. This information includes data that if compromised could cause harm to an individual such as identity theft.

Listed below are examples of Protected PII that Applicants must not include in their application.

- Social Security Numbers in any form
- Place of Birth associated with an individual
- Date of Birth associated with an individual

- Mother’s maiden name associated with an individual
- Biometric record associated with an individual
- Fingerprint
- Iris scan
- DNA
- Medical history information associated with an individual
- Medical conditions, including history of disease
- Metric information, e.g., weight, height, blood pressure
- Criminal history associated with an individual
- Employment history and other employment information associated with an individual
- Ratings
- Disciplinary actions
- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual’s performance appraisal
- Financial information associated with an individual
- Credit card numbers
- Bank account numbers
- Security clearance history or related information (not including actual clearances held)

## Part VIII Submitting an Application

### A. ALRD RESPONSE

States interested in applying for the state allocation of Section 50121 and/or Section 50122 funds are required to submit an application in PAGE as described in Part IV of this document. For any issues with the PAGE system at the time of submission, please contact the assigned Project Offer for further instruction.

### B. APPLICATION OVERVIEW

Each application package will consist of:

- Completed SF424
- Completed SF424A
- Completed Planned Activities

- Completed narrative document (template available) addressing the application requirements found in the Program Requirements and Application Instructions document,
- Completed budget justification workbook (template available) detailing how requested funds will be spent
- Completed application checklist
- Completed pre-award information sheet
- Any additional required documents as stated in ALRD or Program Requirements

**States are allowed to request up to the total funding from each formula allocation of Sections 50121 and 50122 under this ALRD.**

### **C. STANDARD FORM 424**

A completed and signed Standard Form 424 (SF424) containing current information must be submitted. Please ensure all sections have been updated to reflect any changes, including changes to the person to be contacted on matters involving the application and the authorized representative.

- Section 2 of this Form asks for states to select the type of application. All states should mark “New”.
- Section 18 of this form should reflect only the new funds being requested.
- Please verify compliance with [Intergovernmental Review \(SPOC List\) \(whitehouse.gov\)](#).

The list of certifications and assurances referenced in Field 21 may be found [here](#).

Once **the SF424 is completed**, add an attachment to the document with the name, title, phone number and email address for both the Principal Investigator and the Business Officer. **These must be re-validated every year.**

### **D. STANDARD FORM 424A**

Standard Form 424A should match the Budget Justification Workbook. Each of these forms should be completed following the guidelines set out below.

- D.1. Standard Form 424A: Applications must include a budget for the federal funds requested. It should be completed as follows:
- Section A: Budget Summary Lines 1-4, Columns (a) through (g). On line 1, enter the amount of DOE funds requested. Only columns a, b, e, and g should have data. There should be no other entries listed.
  - Section B: Budget Categories. There should only be one column for the federal funding source. The total in column g, Section A, must equal the total of all columns in Section B.

D.2. Budget Justification: The Budget Justification consists of an explanation of the object class categories listed in line 6, Section B, of Standard Form 424A. In preparing the Budget Justification, states should only address the following as requested for each budget category.

- Grantee Administrative, which is a total of:
  - Planning: Identify all activities related to the planning and preparation of the Home Energy Rebate state programs by activity title and estimated costs. Administration: Identify all positions to be supported by title and the amounts of time (e.g., % of time) to be expended on development of the Home Energy Rebate state programs, the base pay rate, and the total direct personnel compensation. Personnel must be direct costs to the project and not duplicative of personnel costs included in the indirect pool that is the basis of any indirect rate applied for this project.
  - Technical Assistance: Identify all activities related to technical assistance to develop the Home Energy Rebate state programs. Provide a brief description of the TA and the estimated cost of the activity.
  - Fringe Benefits: If fringe cost rates are approved by a federal agency, identify the agency and date of latest rate agreement, and include a copy of the rate agreement with the application. If fringe cost rates are not approved by a federal agency, explain how total fringe benefit costs were calculated. Your calculations should identify all rates used along with the base they were applied to (and how the base was derived), and a total for each (along with the grand total). If there is an established computation methodology approved for state-wide use, provide a copy with the SF424 Application.
- Subgrantee Administrative: Any sub-recipients, vendors, contractors and consultants and their estimated costs should be identified as they are expected to support planning, administration and/or technical assistance tasks. Use TBD if the entity is unknown. Provide a brief description of the work to be performed or the service to be provided and reference the individual market title the work or service falls under. Include the basis of cost for each item listed (competitive, historical, quote, catalog, etc.).
- Grantee Rebate Funds: The total rebate budget planned to be executed by the prime grantee.
- Subgrantee Rebate Funds: Any sub-recipients, vendors, contractors and consultants and their estimated costs should be identified as they are expected to execute the rebates program on behalf of the prime grantee. Use TBD if the entity is unknown. Provide a brief description of the work to be performed or the service to be provided and reference the individual market title the work or service falls under. Include the basis of cost for each item listed (competitive, historical, quote, catalog, etc.).

Funds for Home Efficiency Rebates state program (Section 50121) must be tracked and managed separately from funds for Home Electrification and Appliance Rebates state program (Section 50122). This will apply to administrative funds as well as rebate funds when funds are released.

#### **E. PLANNED ACTIVITIES**

The Planned Activities tab in PAGE must be completed as part of the application. Applicants are required to project, to the best of their ability, key metrics they plan to achieve as part of their Tranche 1 funding. As the award progresses, this section will be updated to reflect additional planned targets the grantee expects to achieve for each Tranche.

#### **F. NARRATIVE DOCUMENT**

A completed narrative document is required. A template is available with guidance on how to complete the document in order to meet all application requirements as outlined in the Requirements Document. Guidance will also be provided as to how to complete the template for Quick Start applications.

#### **G. BUDGET JUSTIFICATION WORKBOOK**

A completed budget justification workbook is required. A template is available with instructions for how to complete the document. These budgets should match the Standard Form 424A and Standard Form 424.

Applicants must complete each tab of the Budget Justification Workbook for the project, including all work to be performed by the prime recipient and its subrecipients and contractors. Applicants should include costs associated with implementing the program requirements and with required annual audits and incurred cost proposals in their proposed budget documents. Such costs may be reimbursed as a direct or indirect cost. All costs associated with the Community Benefits Plan must be clearly identified in the budget justification. The “Instructions and Summary” included with the Budget Justification Workbook will auto-populate as the applicant enters information into the Workbook. Applicants must carefully read the “Instructions and Summary” tab provided within the Budget Justification Workbook.

Applicants must also provide a separate budget justification workbook for each subgrantee that is expected to perform work estimated to be more than \$250,000 or 25% of the total work effort, whichever is less. The budget justification must include the same justification information described above including costs associated with the Community Benefits Plan. The Community Benefit Plan costs must be clearly identified in the budget justification.

#### **H. OTHER FORMS AS APPLICABLE**

Please refer to the Requirements document for any additional forms including Application Checklist, Pre-Award Information Sheet, etc. that may be required as part of the application package.

## Part IX Reference Material

The following documents are found at <https://www.energy.gov/scep/home-energy-rebate-programs-guidance>.

Home Energy Rebates Application Instructions and Program Requirements

Data and Tools Requirements

Categorical Eligibility Guide

Home Energy Rebates Funding Allocations

Home Energy Rebates Technical Information, Best Practices, and Implementation Recommendations

Best Practices Website

Utility Data Access Guidelines



# **INFLATION REDUCTION ACT HOME ENERGY REBATES**

**Home Efficiency Rebates Program (Sec. 50121)**

**Home Electrification and Appliance Rebates Program (Sec. 50122)**

## **PROGRAM REQUIREMENTS & APPLICATION INSTRUCTIONS**

**Applications Due by January 31, 2025**

## **VERSION 1.1**

**U.S. Department of Energy  
Office of State and Community Energy Programs  
1000 Independence Avenue, SW Washington, DC 20585**

**July 27, 2023 (Version 1)**

**October 13, 2023 (Version 1.1)**

**[Note: the modification table inserted on the next page beginning with the text below]**



Modifications to this document are as follows and will be highlighted in the text in **yellow**:

Version No.	Item No.	Description of Modification	Location(s)
1.1	1	Adds definition for "Open-Source."	p.8 (2.1)
	2	Clarifies that use of funds for administrative costs cannot exceed the 20% statutory cap.	p.10 (3.1.1) p.49 (4.1.1)
	3	Clarifies retroactivity is allowed for Home Efficiency Rebate Programs (50121).	p.10 (3.1.2)
	4	Clarifies that the 50122 rebates for electrical wiring and electrical panel upgrades, which are not energy-saving measures, may be obtained by a household that is seeking to access 50121 rebates using the measured savings approach.	p.12 (3.1.2)
	5	Clarifies that home energy assessment data must be consistent with the HPXML Data Dictionary v3 OR subsequent versions, and program systems must be capable of sharing the data using the HPXML Transfer Standard (BPI-2100) OR subsequent versions.	p.21 (3.1.6.1) p.59 (4.1.7.1)
	6	Clarifies the home auditing requirements for Home Efficiency Rebate so that a blower door test is not required as part of the audit.	p.32 (3.2.2)
	7	Clarifies the inspection requirements for 50121 and 50122 so that virtual inspection for post-installation is allowed and provides guidelines for using virtual inspection.	p.38 (3.2.5) p.78 (4.2.5)
	8	Clarifies that the qualified contractor list must be made publicly available.	p.39 (3.2.5) p.78 (4.2.5)
	9	Clarifies that (1) equipment and appliances purchased with 50122 rebates in rental units must remain in those units, (2) renters do not have to seek owner approval for buying an electric heat pump clothes dryer or a stove/cooktop/oven, and (3) all renters (low- and moderate-income) must obtain owner approval for the other upgrades.	p.53 (4.1.3)
	10	Clarifies that the "primary" source of heating and cooling requirement, for the first-time purchase of electric heat pump for space conditioning, applies only to existing homes.	p.70 (4.2.2)
	11	This version makes clerical fixes, including some of the figures in the table in Appendix A.	

1.0	Overview .....	1
1.1.	Introduction.....	2
1.2.	Document Contents and Structure .....	3
1.3.	Scope.....	4
1.4.	Legal Authority .....	4
1.5.	Overarching Goals .....	5
2.0	Definitions and Acronyms .....	6
2.1.	Definitions.....	6
2.2.	Acronyms .....	9
3.0	Home Efficiency Rebate Programs (50121).....	10
3.1.	Use of Funds and Rebate Eligibility .....	10
3.1.1.	Program Requirements: Use of Funds .....	10
3.1.2.	Program Requirements: Rebate Conditions and Levels.....	10
3.1.2.1.	Modeled Home Efficiency Rebates .....	12
3.1.2.2.	Measured Home Efficiency Rebates.....	13
3.1.3.	Program Requirements: Low-Income Homes .....	14
3.1.4.	Program Requirements: Community Benefits Plan.....	17
3.1.5.	Program Requirements: Processing and Delivering Rebate Funds to Eligible Rebate Recipients.....	21
3.1.6.	Program Requirements: Data Collection and Evaluation.....	21
3.1.6.1.	Data Protection and Data Standards .....	22
3.1.6.2.	Program Metrics.....	22
3.1.6.3.	Program Evaluation.....	23
3.1.7.	Application Requirements: Use of Funds and Rebate Eligibility.....	24
3.2.	Consumer Experience.....	32
3.2.1.	Program Requirements: Education and Outreach .....	32
3.2.2.	Program Requirements: Home Assessments.....	32
3.2.3.	Program Requirements: Access to Residential Utility Data .....	34
3.2.4.	Program Requirements: Project-Specific Energy Savings Calculations .....	34
3.2.4.1.	Calculating Modeled Energy Savings.....	34
3.2.4.1.1.	Addressing Missing Data for 50121 Modeled Energy Savings .....	35
3.2.4.2.	Calculating Measured Energy Savings .....	36
3.2.5.	Program Requirements: Consumer Protection through Quality Assurance .....	37
3.2.6.	Program Requirements: Post-Installation Certificate.....	41



3.2.7.	Application Requirements: Consumer Experience .....	41
3.3.	Maximizing Rebate Impact.....	44
3.3.1.	Program Requirements: Supporting the Clean Energy Economy Through Market Transformation .....	44
3.3.2.	Program Requirements: Integrating with Other Programs.....	44
3.3.3.	Program Requirements: Quick Starts.....	46
3.3.4.	Application Requirements to Maximize Rebate Impact .....	47
4.0	Home Electrification and Appliance Rebates State Programs (50122).....	49
4.1.	Use of Funds and Rebate Eligibility .....	49
4.1.1.	Program Requirements: Use of Funds .....	49
4.1.2.	Program Requirements: Rebate Conditions and Levels.....	49
4.1.2.1.	Special Considerations for Multifamily Buildings .....	51
4.1.3.	Program Requirements: Low-Income Households.....	52
4.1.4.	Program Requirements: Community Benefits Plan.....	54
4.1.5.	Program Requirements: Processing and Delivering Rebate Funds to Eligible Rebate Recipients .....	58
4.1.6.	Program Requirements: Verify Income Eligibility .....	58
4.1.7.	Program Requirements: Data Collection and Evaluation.....	59
4.1.7.1.	Data Protection and Data Standards .....	59
4.1.7.2.	Program Metrics.....	60
4.1.7.3.	Program Evaluation.....	60
4.1.8.	Application Requirements: Use of Funds and Rebate Eligibility.....	61
4.2.	Consumer Experience.....	69
4.2.1.	Program Requirements: Education and Outreach .....	69
4.2.2.	Program Requirements: Qualified Electrification Projects.....	69
4.2.2.1.	Qualified Appliances .....	70
4.2.2.1.1.	Electric heat pump water heater.....	71
4.2.2.1.2.	Electric heat pump for space heating & cooling.....	71
4.2.2.1.3.	Electric heat pump clothes dryer .....	72
4.2.2.1.4.	Electric stove, cooktop, range, or oven.....	72
4.2.2.2.	Qualified Building Materials.....	72
4.2.2.2.1.	Insulation.....	73
4.2.2.2.2.	Air sealing and materials to improve ventilation.....	73
4.2.3.	Program Requirements: Installation Incentives.....	73
4.2.4.	Program Requirements: Home Assessments.....	74



4.2.5.	Program Requirements: Consumer Protection Through Quality Assurance .....	76
4.2.6.	Application Requirements: Consumer Experience .....	80
4.3.	Maximizing Rebate Impact.....	81
4.3.1.	Program Requirements: Supporting the Clean Energy Economy Through Market Transformation .....	81
4.3.2.	Program Requirements: Integrating with Other Programs.....	82
4.3.3.	Program Requirements: Quick Starts.....	84
4.3.4.	Application Requirements to Maximize Rebate Impact .....	85
5.0	Revisions and Guidance.....	87
5.1.	Revisions .....	87
5.2.	Guidance .....	87
6.0	Application Instructions .....	88
6.1.	Overview .....	88
6.2.	Application for Federal Assistance - Standard Form 424.....	89
6.3.	Budget .....	89
6.3.1.	Standard Form 424A.....	89
6.3.2.	Budget Justification Workbook.....	89
6.3.3.	Expenditure Prohibitions, Limitations, and Allowances .....	91
6.3.4.	Rejection of Funds.....	91
6.4.	Planned Activities.....	91
6.5.	Other Forms as Applicable.....	91
7.0	Appendix A: Required Allocations .....	92
8.0	Appendix B: Consumer Satisfaction Questions.....	98



## 1.0 Overview

The Inflation Reduction Act (IRA), Pub. L. 117-169 (August 16, 2022), authorized the U.S. Department of Energy (DOE) to carry out two Home Energy Rebate programs. Specifically, IRA Section 50121 established the Home Efficiency Rebates, and IRA Section 50122 established the IRA Home Electrification and Appliance Rebates (collectively, the [Home Energy Rebates](#)). The Home Energy Rebates together authorize \$8.8 billion in funds for the benefit of U.S. households and home upgrades, to be distributed to households by State Energy Offices and Indian Tribes.<sup>1</sup>

Table 1. Home Energy Rebate Programs

IRA Provision Number	Home Energy Rebates	Authorized Funds	Authorized Recipients
<a href="#">Section 50121</a>	Home Efficiency Rebates	\$4,300,000,000.00	State Energy Offices
<a href="#">Section 50122</a>	Home Electrification and Appliance Rebates	\$4,275,000,000.00	State Energy Offices
<a href="#">Section 50122</a>	Home Electrification and Appliance Rebates	\$225,000,000.00	Indian Tribes

These funds will be made available to the authorized recipients through formula grants. DOE is responsible for providing oversight and guidance, and the States<sup>2</sup> are responsible for the administration of rebate programs at the state level.

This document provides the **program requirements, application requirements, and application instructions** for both Home Energy Rebate programs available to State Energy Offices. To participate, States must submit applications describing state plans for their proposed rebate programs. States must follow the [Administrative and Legal Requirements Document \(ALRD\)](#) for their application submission. Each application requirements section is designed to assist applicants in ensuring that their applications fully address components required to demonstrate compliance with corresponding programmatic requirements. State applications will be reviewed and approved by the DOE based on compliance with these programmatic requirements.

State and territory funding allocations can be found in Appendix A of this document. Funding allocations for Indian Tribes will be made available through a separate ALRD with program requirements and application instructions based on feedback from consultations with the Tribes.

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<sup>1</sup> DOE will issue separate application instructions to be used by eligible Indian Tribes when applying for formula grant financial assistance with appropriations provided by the IRA under Section 50122(a)(1)(B).

<sup>2</sup> In this document “States” means “States and U.S. territories” unless otherwise indicated.

A State that chooses not to apply for this program and therefore refuses its allocated formula funding under IRA Section 50121 and/or Section 50122 must sign and send a letter for declining funds to its respective Project Officer indicating this decision to the DOE by the application due date of August 16, 2024. By signing this document, the State Energy Office signifies its understanding that its allocation will be redistributed to other State Energy Offices that applied for allocated funds. If the State does not sign the document or convey to the DOE project officer that it plans to submit an application by August 16, 2024,<sup>3</sup> the State's funding will be reallocated to other States.

## 1.1. Introduction

The DOE is establishing grant application instructions and management information for the Home Energy Rebates, including (1) [ALRD](#), (2) Formula Allocations to States and Territories<sup>4</sup>, (3) Application Checklist, (4) Home Energy Rebates Pre-Award Information Sheet, and (5) Home Energy Rebates Application Templates. Items 3, 4, and 5 can be found at the [Home Energy Rebates Guidance Home Page](#).

The Home Energy Rebates will help American households save money on energy bills, upgrade to clean energy equipment, improve energy efficiency, improve their comfort, support a stable power grid, and reduce indoor and outdoor air pollution. Additionally, these rebates provide specific opportunities to increase the installations of efficient, clean energy equipment in underserved and underrepresented communities.

DOE has identified the following overarching outcomes for the Home Energy Rebate programs:

- Well-established exemplary and innovative efficiency and electrification programs.
- Widespread access and uptake for disadvantaged communities.
- Proven value streams and roles for sustained investments to continue market transformation.
- Reduced pollution from buildings in support of the clean energy economy.

These stated outcomes describe the overall intent of the Home Energy Rebates. States may take various approaches in developing their implementation plans to emphasize these outcomes.

In the development, submission, and review of grant applications, the provisions of [Executive Order 12372](#) (Intergovernmental Review of Federal Programs) and the DOE Implementing Order ([10 CFR 1005](#)) remain unchanged.

Applications must be submitted through the **Performance and Accountability for Grants in Energy (PAGE)** online system to be considered for an award through IRA Section 50121 and Section 50122. If you have questions regarding the Application Instructions in PAGE, please refer to the Help Menu or contact the PAGE hotline at [PAGE-Hotline@ee.doe.gov](mailto:PAGE-Hotline@ee.doe.gov) or 1-866-492-4546. As allowable, States may use funds made available through the Home Energy Rebate Programs Early Administrative Funds ALRD to support application completion for this ALRD.

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<sup>3</sup> Section 50121(a)(2)(B) and Section 50122 (a)(2)(C)

<sup>4</sup> Located in Appendix A

## 1.2. Document Contents and Structure

This document provides the program requirements as determined by the DOE to meet the statutory requirements of IRA Section 50121 and Section 50122. States must develop programs that comply with the programmatic requirements presented in this document.

States must address the application requirements specified in this document. All requirements must be addressed to receive Federal funding and to launch State programs. However, DOE recognizes that the State may not be equipped to adequately respond to all requirements and plans within this document without program funds and support from program implementers and experts.

States are required to submit their responses to DOE through two documents:

1. State Application. States may submit a single package of responses for all application requirements.
2. State Implementation Blueprint. For specific requirements identified by DOE within this document, States may elect to defer submission of those responses to their State 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. In addition to specified requirements, a State Implementation Blueprint must include:

- a. Community Benefits Plan
- b. Education and Outreach Strategy
- c. Consumer Protection Plan
- d. Utility Data Access Plan
- e. Privacy and Security Risk Assessment for State Systems
- f. Market Transformation Plan<sup>5</sup>

Requirements that can be deferred to the State Implementation Blueprint are marked with an “X” within the application requirements tables.

States may rely on existing programs and infrastructure that meet these programmatic requirements and may outline how changes or modifications to existing programs will comply with these requirements. Accordingly, States may reference existing program materials in their applications to simplify their plan development. This document should be reviewed in conjunction with the [ALRD](#) for the Home Energy Rebates Funds and the [Data & Tools Requirements Guide](#). The Data and Tools Requirements Guide provides detailed information regarding data collection and reporting requirements and the tools DOE will make available to States to facilitate various aspects of the Home Energy Rebate programs.

Section 1 of this document provides a brief overview of the appropriations and legal authorities. Section 2 provides definitions and acronyms that will be used throughout the document. Section 3 provides the requirements specific to a Home Efficiency Rebates State program (Section 50121). Section 4 provides the requirements specific to the Home Electrification and Appliance Rebate

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<sup>5</sup> Market Transformation Plan can be submitted up to 1 year after award date.

State program (Section 50122). **Each state rebate program will require a separate application.** If a State cannot comply with a requirement because of a conflict with State law, contact the State's Project Officer who will work with the cognizant contracting officer and the DOE legal team to address the issue.

The design and implementation of these rebate programs will be complex. To support States, DOE will provide the following resources and support:

- Technical assistance to States in designing programs that fulfill these requirements.
- Templates that States can tailor to effectively describe their approach to each of the requirements.
- For rebate processing and tracking, a centralized system that States can use to facilitate these processes as well as reporting.
- Sample frameworks that States can provide to program implementers who can then tailor the information to reflect individual State programs and priorities.

Technical information, best practices, and implementation recommendations will be made available at <https://www.energy.gov/scep/recommendations-program-administrators>.

### 1.3. Scope

The application instructions are to be used by all States and Territories when applying for formula grant financial assistance under DOE's IRA Home Energy Rebates with appropriations provided by the IRA under Section 50121 and Section 50122. For the purposes of the Home Efficiency Rebates and the Home Electrification and Appliance Rebates, there are 56 entities eligible for State formula grants. These are the 50 States, the District of Columbia, and the following five U.S. Territories: The Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands. As stated, the funding for Indian Tribes will be made available through a separate ALRD with programmatic and application requirements designed based on feedback from consultations with the Tribes.

### 1.4. Legal Authority

The Home Efficiency Rebates are authorized under Section 50121 of the IRA, as signed into Public Law (PL 117-169) on August 16, 2022.<sup>6</sup> The Home Electrification and Appliance Rebates are authorized under Section 50122 of the IRA.<sup>7</sup> Together, both provisions provide home energy savings across a variety of households and income levels, and specifically enable energy improvements within underserved and underrepresented communities.

Grantees must comply with all applicable laws and regulations including, but not limited to, the DOE financial assistance regulations at 2 CFR Part 200 as amended by 2 CFR Part 910, and other regulations and procedures applicable to these funds, as DOE may, from time to time, prescribe for the administration of financial assistance. Any potential discrepancies between information contained in this document and DOE regulations shall be resolved in favor of DOE regulations.

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<sup>6</sup> 42 U.S.C. 18795.

<sup>7</sup> 42 U.S.C. 18795a.

## 1.5. Overarching Goals

The IRA Home Energy Rebates provide a once-in-a-generation opportunity to deliver innovative efficiency and electrification programs to households across the United States. The overarching goal of the Home Energy Rebate programs is to accelerate the transition to more affordable, efficient, resilient, and low carbon homes through the following long-term outcomes:

- **Well-established exemplary and innovative efficiency and electrification programs.** The program will achieve this through increased awareness and effective marketing to homeowners, adoption of innovative tools that streamline program experience, an expanded and sustained workforce that meets consumer demand, and effective integration of existing programs.
- **Lower energy burden for low-income households and disadvantaged communities.** State programs will evolve and expand to meet the needs of all homes across the United States, with significant use of rebates by low-income households and disadvantaged communities.
- **Proven value streams and roles for sustained investments to continue market transformation.** A successful program will prove the business case and catalyze a sustained increase in supplier participation and consumer demand for energy efficient and efficient electrification upgrades, including ongoing access to upgrades for low-income households and disadvantaged communities, while showcasing how a combination of Federal, utility, private, and public funds provide value to households and local communities during the transition to a clean energy economy.
- **Reduced pollution from buildings and support for the clean energy economy.** The program will reduce pollution from building energy use, including harmful indoor air pollution, and support the clean energy economy through energy efficiency.

States are encouraged to develop their own additional goals, outcomes, and objectives for their programs based on each State's priorities, climate zone, utility costs, etc.

## 2.0 Definitions and Acronyms

### 2.1. Definitions

- **80% and 150% Area Median Income (AMI).** Values calculated by household size of the median income of the area in which the individual or family resides, as reported by the Department of Housing and Urban Development.<sup>8</sup>
- **Administrative costs.** Costs related to planning, administration, and technical assistance of Home Energy Rebate programs. Allowable costs include the following types of activities:
  - Program planning and design
  - State program staff
  - Development of tools and systems, including websites, applications, rebate processing, and reporting
  - Program evaluation and consumer satisfaction surveys
  - Program monitoring and audits
  - Consumer protection functions including resolution procedures, data review, contractor management, installation standards, continuous improvement
  - Marketing, education, and outreach, including the funding of local governments and place-based organizations to assist with these activities
  - Implementation contract costs not including rebates and costs for activities directly related to delivery of rebates
  - Contractor training
  - 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
  - Technical assistance
- **Aggregator.** An entity that engages with multiple single-family homes and/or multifamily buildings for the purpose of combining or streamlining projects as allowed by the State.
- **Baseline energy consumption.** The whole-home energy usage in a kWh or kWh equivalent prior to the upgrade.
- **BPI-2400.** BPI-2400-S-2015 (or a subsequent version approved by DOE for use in 50121) is the standard of Building Performance Institute (BPI) that specifies the requirements and process for the calculation of standardized predicted energy savings for a building.<sup>9</sup>
- **Building.** The structure where the rebated improvements will be made including single and multifamily buildings. For multifamily buildings, building refers to the entire building and not an individual dwelling unit within that building.
- **Categorical eligibility.** The determination that a household meets income requirements by verifying household participation in another state or Federal program that (1) includes income qualification thresholds at least as stringent as the relevant Home Energy

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<sup>8</sup> HUD publishes income limit information annually at [https://www.huduser.gov/portal/datasets/il.html#2023\\_faq](https://www.huduser.gov/portal/datasets/il.html#2023_faq). DOE intends to make the data table available electronically for state reference via an application programming interface (API).

<sup>9</sup> BPI 2400 Standard: [Standard Practice for Standardized Qualification of Whole-House Energy Savings Predictions by Calibration to Energy Use History](#).

Rebates threshold and (2) updates participant lists through income verification at least every two years.

- **Claimant.** The entity requesting a Home Energy Rebate for a home upgrade.
- **Contractor.** An entity hired to perform assessments and install upgrades as allowed by the State.
- **Disadvantaged community.** A group of households characterized by the State. By default, the definition of a disadvantaged community for the Home Energy Rebates is a low-income household located within an area identified by the Climate and Economic Justice Screening Tool (CEJST).<sup>10</sup>
- **Dwelling unit.** A building structure wherein a single household resides. Examples of a dwelling unit may include a single-family home, an apartment, or condominium unit in a multifamily building.
- **Eligible entity.** For 50122, a low-income household (less than 80% AMI), a moderate-income household (80%-150% AMI), or an individual or entity that owns a multifamily building not less than 50% of the residents of which are low- or moderate-income (LMI).
- **Eligible entity representative.** A governmental, commercial, or nonprofit entity carrying out a qualified electrification project on behalf of an eligible entity for 50122.
- Eligible rebate recipient.
  1. **50121:** Homeowner, aggregator, or multifamily building owner.
  2. **50122:** For each dwelling unit or multifamily building, either an eligible entity or an eligible entity representative.
- **Energy savings.** Post-retrofit energy consumption subtracted from the baseline energy consumption.
- **Generation technologies.** Onsite solar photovoltaic, combined heat and power, or other renewable energy system.
- **Household.** The occupant(s) living in a dwelling unit.
- **Implementer.** A state-selected entity that works on behalf of the State to provide efficiency and/or electrification programs.
- **KWh equivalent.** A metric that reflects the energy savings of all fuels in the project using the energy conversion of non-electric fuels to kWh on a BTU-equivalent basis as defined in section 4.3.2 of BPI 2400-2015.
- **Low-income household.** A household below 80% AMI.<sup>11</sup>
- **Moderate-income household.** A household between 80% and 150% AMI.
- **Low-income multifamily building.** A building with at least 50% of households with incomes less than 80% AMI (<80%).
- **Major upgrade.** Energy usage, equipment, technologies, and services related to heating and cooling, envelope, and water heating end uses.
- **Moderate-income multifamily building.** A building with at least 50% of households with incomes less than 150% AMI (<150%).

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<sup>10</sup> Available at <https://screeningtool.geoplatform.gov/en/#3/33.47/-97.5>.

<sup>11</sup> Section 50121 of the IRA defines “low- or moderate-income household” to mean an individual or family the total annual income of which is less than 80% of the AMI. 42 U.S.C. 18795(d)(3). Section 50122 of the IRA defines “low- or moderate-income household” to mean an individual or family the total annual income of which is less than 150% of the AMI. 42 U.S.C. 18795a(d)(4). For clarity and consistency, DOE is using the terminology and definitions provided in section 2.1 throughout the document.

- **Multifamily building.** A single building containing at least two dwelling units used for residential purposes. Commercial uses that are not eligible include but are not limited to hotels/motels, dormitories, assisted living facilities that include hospital amenities, and correctional facilities. For mixed-use buildings, a State may elect to treat the residential portion of the building as a multifamily building.
- **Open-Source.** A source code that is made freely available for possible modification and redistribution, for use by the community at large.
- **Payment rate.** For the Section 50121 measured path, the method for calculating the amount of rebate as described in section 3.1.2.
- **Point of sale.** The provision of a Section 50122 rebate as an instant discount when the recipient of the rebate pays (or authorizes an entity to access a rebate on their behalf) for the qualified upgrade, improvement, and/or service (e.g., when purchasing in-store, through a distributor, at wholesale onsite, or online, or when invoiced by a contractor for services rendered).
- **Post-retrofit energy consumption.** The whole-home energy usage in a kWh or kWh equivalent after the upgrade is complete.
- **Portfolio of Homes.** A group of two or more homes considered collectively for purposes of the 50121 measured program path.
- **Program participants.** Aggregators, claimants, contractors, eligible rebate recipients, and implementers.
- **Qualified electrification project.** A project funded by an IRA Section 50122 rebate that meets the requirements of section 4.2.2 of this document.
- **Rebate funds.** Federal dollars used for:
  1. Reimbursement or providing a cost discount for eligible upgrades based on a) energy savings, b) pre-determined qualified upgrade amounts, or c) total project costs.
  2. Activities directly related to delivery of rebates to eligible rebate recipients including:
    - Equipment, tools, models, and procedures used to assess a home and estimate energy savings
    - Equipment, tools, models, and procedures used to verify installations and perform quality control (QC) including inspections and reporting
    - Customer service support
    - Consumer protection functions including consumer feedback, project verification and inspections
    - Income eligibility
    - Disadvantage community delivery, including targeted marketing and outreach
    - Disadvantaged community incentives (see sections 3.1.4 and 4.1.4)
    - Integration with existing programs, home energy assessments, and project scoping.
- **Rebate program launch.** The point at which the State begins accepting rebate claims.
- **Single-family home.** A detached one-family dwelling or multiple single-family dwellings (townhouses) that have independent mechanical systems (e.g., heating, cooling, water heating, and ventilation) for each dwelling unit. Buildings with two or more units are considered multifamily. States may request DOE approval to apply different designations if the State's jurisdiction has a significant number of buildings with unique characteristics.

- **State.** For the purposes of this document, means, collectively or individually, the 50 states, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.
- **Tenant.** Individual or household residing in a rental unit.
- **Third-party.** An organization conducting work on behalf of a State’s Home Energy Rebates program that has no financial or professional conflict of interest.
- **Total grant funding.** The total amount of funds allocated to a State over the duration of the program.
- **Total project cost.** The total cost of all upgrades within a completed project invoice inclusive of any rebated amount.
- **Upgrade.** A single energy improvement to a dwelling unit or multifamily building that is a distinct and separable part of the overall scope of work of a home efficiency or electrification project.

## 2.2. Acronyms

- **ALRD.** Administrative and Legal Requirements Document
- **AMI.** Area Median Income
- **CFR.** Code of Federal Regulations
- **CEJST.** Climate and Economic Justice Screening Tool
- **DOE.** U.S. Department of Energy
- **FARC.** Financial Assistance Reporting Checklist
- **FERC.** Federal Energy Regulatory Commission
- **FPL.** Federal Poverty Level
- **GHG.** Greenhouse Gas
- **HUD.** U.S. Department of Housing and Urban Development
- **IRA.** Inflation Reduction Act
- **IRS.** U.S. Internal Revenue Service
- **LIHEAP.** Low Income Home Energy Assistance Program
- **LIHTC.** Low-Income Housing Tax Credit
- **LMI.** Low- or Moderate-Income
- **M&V.** Measurement and Verification
- **OMB.** U.S. Office of Management and Budget
- **PAGE.** Performance and Accountability for Grants in Energy
- **QA.** Quality Assurance
- **QC.** Quality Control
- **QEP.** Qualified Electrification Project
- **QPL.** Qualified Products List
- **RFI.** Request for Information
- **SMI.** State Median Income
- **SNAP.** Supplemental Nutrition Assistance Program

## 3.0 Home Efficiency Rebate Programs (50121)

This section of the document provides program requirements for the Home Efficiency Rebates (IRA Section 50121).

### 3.1. Use of Funds and Rebate Eligibility

#### 3.1.1. Program Requirements: Use of Funds

Administrative funds<sup>12</sup> as defined in Section 2.0 must not exceed 20% of the total grant funding over the total duration of the program, which will end when all funds are expended by the State or September 30, 2031, whichever occurs sooner.<sup>13</sup>

Administering and implementing whole-home efficiency projects is complex, high-touch, and often involves overhead costs greater than 20% of a program budget. These are costs directly related to a project that are 1) not generally recognized as administrative and 2) also not included in the rebate to recipients. For example, these could include costs for home assessments and energy audits, modeling, verifying income eligibility, project quality assurance (QA) and project-related reporting conducted by the contractor.<sup>14</sup>

States may request to use a portion of rebate funds for these project-related costs; however, additional funds for project-related costs should only be requested after all other opportunities to reduce costs or apply alternative funding sources have been applied; DOE cannot approve use of funds for administrative costs above the 20% statutory cap. For example, utilities, third-party organizations, or agencies may provide funding for home energy audits. DOE will provide assistance to states specifically in support of identifying program implementation cost reductions.

States must provide an additional detailed description and justification for these costs within the budget justification workbook, including how states have worked to minimize this amount. This will be evaluated by DOE and a determination of allowability will be given as part of the award.

States must budget for, track, and report quarterly to DOE on expenditures across administrative and rebate funds as part of award monitoring. See [ALRD](#), Part V.

#### 3.1.2. Program Requirements: Rebate Conditions and Levels

In general, Home Efficiency Rebates State programs must:

- Provide rebates only for projects that:
  - are initiated on or after August 16, 2022<sup>15</sup>,
  - meet all DOE requirements within this document, and
  - meet any additional requirements determined by the state for their program.

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<sup>12</sup> Includes awarded administrative funds through Home Energy Rebate Programs Early Administrative Funds ALRD, as applicable.

<sup>13</sup> Section 50121 states that a “State energy office that receives a grant pursuant to this section may use not more than 20 percent of the grant amount for planning, administration, or technical assistance” related to the Home Efficiency Rebates. 42 U.S.C. 18795(c)(4).

<sup>14</sup> See definition of Rebate Funds in Section 2.0.

<sup>15</sup> As stated in IRA section 50121(c)(1), “[a] HOMES rebate program carried out by a State energy office receiving a grant pursuant to this section shall provide rebates to homeowners and aggregators for whole-house energy saving retrofits begun on or after the date of enactment of this Act and completed by not later than September 30, 2031.”

- Provide rebates only for completed projects.<sup>16</sup>
- Provide rebates for heating, cooling, and water heating products only if they are certified as meeting the ENERGY STAR product criteria in effect on the date of installation.
- Make increased rebate levels available to low-income households at less than 80% AMI.<sup>17</sup>
- Provide and enforce use of an acceptable method to verify that (a) a participating single-family household’s income is less than 80% AMI,<sup>18</sup> and (b) a participating multifamily building has at least 50% of households with incomes less than 80% AMI.<sup>19</sup>
- 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). If the building is a low-income building, a State may calculate the “per dwelling unit” value at the less than 80% AMI amount for all units. Alternatively, a State may calculate the “per dwelling unit” value at the less than 80% AMI amount in proportion to the ratio of LMI to non-LMI units.
- Allow categorical eligibility determinations based on other Federal programs that meet the income thresholds, as listed in the supplemental document [Federal Programs Approved for Categorical Eligibility](#).
- Maintain a list of state or other programs that meet the income thresholds and provide reliable income verification that the State uses for categorical eligibility.
- Retain a copy of the invoice for work performed at the eligible address. The invoice must show the specific work performed, the address where the work was performed, the name and contact information for the contractor(s) performing the work, the dates on which the work was performed, the total project cost prior to the rebate, and the rebate amount. Additional requirements apply if the work is being funded by rebates from more than one source. See section 3.3.2.
- Ensure the rebate does not exceed the total project cost when combined with other permissible/eligible program rebates accepted by the eligible rebate recipient (i.e., total rebate funding must not exceed the total project cost).
- Ensure that rebates are not applied to specific energy efficiency upgrades funded with other Federal grants or rebates.
- Ensure that upgrades benefit only the residential portion of a mixed-use building where the State has defined the residential portion of the building as a multifamily building. Upgrades that benefit any portion of the commercial space are not eligible for rebate.
- Ensure that a single address cannot receive both a measured and a modeled rebate under 50121.

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<sup>16</sup> Point of sale rebates is not a requirement of 50121; however, DOE is providing and recommending workflows that would apply rebates that result in a purchase price reduction. Additionally, programs can be structured so that an aggregator, implementer, or contractor may carry the rebate until savings are modeled or measured and the State is able to provide a rebate on the completed project amount.

<sup>17</sup> 42 U.S.C. 18795(c)(2)(C) and (d)(3).

<sup>18</sup> HUD calculates median family income levels for areas across the United States. 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; however, due to impacts of the COVID-19 pandemic on data collection, HUD released its 2023 income limits in May 2023.

<sup>19</sup> If requested, DOE will work closely with States to develop methods. Additional information can be found in the [Technical Information, Best Practices, and Implementation Recommendations](#).

- Ensure that a single address cannot receive a rebate from both HOMES (50121) and Electrification (50122) for the same measure. To implement this, the DOE database will not allow the following:
  - No electrification rebates will be made for addresses that are in the process of receiving a rebate for measured savings (and vice versa), with the exception of rebates for electric load service centers or electric wiring.
  - No electrification rebates will be made for addresses where a modeled rebate has already been given for that upgrade.

3.1.2.1. Modeled Home Efficiency Rebates

Modeled Home Efficiency Rebates is a program path within Section 50121, using calibrated home energy models consistent with the BPI-2400 standard to estimate energy savings prior to the upgrades, providing rebates for homes predicted to achieve a minimum of 20% energy savings. When a State allows rebates using a modeled savings approach, the State must calculate rebate amounts consistent with Table 2 and based on (1) estimated energy savings calculated reflecting only completed energy improvements, (2) household income level, (3) total project cost reflected in final invoice, and (4) home type consistent with the definitions in section 2.1.

Table 22. Modeled Savings Rebate Levels

Single Family		
Modeled Energy Savings	Income Level	Rebate Amount
20%-34%	Less than 80% AMI*	Lesser of \$4,000 or 80% of project cost
	80% AMI and greater	Lesser of \$2,000 or 50% of project cost
35% or greater	Less than 80% AMI*	Lesser of \$8,000 or 80% of project cost
	80% AMI and greater	Lesser of \$4,000 or 50% of project cost

Multifamily		
Modeled Energy Savings	Income Level	Rebate Amount
20%-34%	A building with at least 50% of households with incomes less than 80% AMI*	Lesser of \$4,000 per dwelling unit or 80% of project cost
	A building with at least 50% of households with incomes 80% AMI and greater	\$2,000 per dwelling unit up to \$200,000 per building
35% or greater	A building with at least 50% of households with incomes less than 80% AMI *	Lesser of \$8,000 per dwelling unit or 80% of project cost
	A building with at least 50% of households with incomes 80% AMI and greater	\$4,000 per dwelling unit up to \$400,000 per building

\*States may increase the maximum amount available for low-income households upon approval from DOE.<sup>20</sup> See section 3.1.3 for details.

### 3.1.2.2. Measured Home Efficiency Rebates

Measured Home Efficiency Rebates is a program path within Section 50121, using a DOE-approved open-source measurement and verification (M&V) methodology to measure home energy savings post-installation of the upgrades, providing rebates for homes or a portfolio of homes that achieve measured energy savings of at least 15%. When a State allows rebates using a measured savings approach, the State must calculate rebates consistent with Table 3 and based on (1) the reported energy savings measured through a DOE-approved open-source advanced M&V software, (2) household income level, (3) total project cost reflected in the final invoice or a payment rate as defined in Table 3, and (4) home type consistent with the definitions in section 2.1.

<sup>20</sup> 42 U.S.C. 18795(c)(3).

Table 3. Measured Savings Rebate Levels

Single Family		
Measured Energy Savings	Income Level	Rebate Amount
15% or greater	Less than 80% AMI	kWh, or kWh equivalent, payment rate equal to \$4,000 for a 20% reduction of energy use for the average home in the State or 80% of project cost <sup>*t</sup>
	80% AMI and greater	kWh, or kWh equivalent, payment rate equal to \$2,000 for a 20% reduction of energy use for the average home in the State or 50% of project cost <sup>*</sup>
Multifamily		
Measured Energy Savings	Income Level	Rebate Amount
15% or greater	A building with at least 50% of households with incomes less than 80% AMI	kWh, or kWh equivalent, payment rate equal to \$4,000 for a 20% reduction of energy use per dwelling for the average multifamily building in the State or 80% of project cost <sup>*t</sup>
	A building with at least 50% of households with incomes 80% AMI and greater	kWh, or kWh equivalent, payment rate equal to \$2,000 for a 20% reduction of energy use per dwelling for the average multifamily building in the State or 50% of project cost

\* Per statute, the measured energy saving of the home or portfolio of homes must achieve 15% savings, but the calculation of the rebate is based on a 20% reduction of average home energy use of an in the state.

<sup>t</sup> States may increase the maximum amount available for low-income households upon approval from DOE.<sup>21</sup> See section 3.1.3 for details.

### 3.1.3. Program Requirements: Low-Income Homes

Low-income households are important populations for the Home Efficiency Rebates. IRA Section 50121 provides larger rebates for single-family homes occupied by low-income households

<sup>21</sup> 42 U.S.C. 18795(c)(3).

(below 80% AMI)<sup>22</sup> and allows States to request authority to provide even larger rebates – up to 100% of project costs – to allow meaningful retrofits of low-income homes.<sup>23</sup> In addition, Section 50121 provides incentives to encourage contractors and aggregators to serve disadvantaged communities.<sup>24</sup> The inclusion of these statutory components demonstrates the importance of ensuring low-income households and communities have access to rebates as an integral part of a Section 50121 program’s design.

Nonetheless, structural barriers can – and do – prevent low-income households from benefitting from rebate programs. Previous evaluations have shown that existing energy efficiency programs have not served low-income households equitably without reserved funding, with only 13% of residential energy efficiency program funds going to low-income households, well below the presence of low-income households in the markets for these programs.<sup>25</sup>

Similarly, multifamily buildings provide housing for over 19 million low-income households nationally, or over 15% of all U.S. households.<sup>26</sup> In addition to low-income single-family homes receiving distinct treatment in the statute, Section 50121 identifies low-income multifamily buildings for specific rebate thresholds.<sup>27</sup> Delivering upgrades for low-income multifamily buildings alongside critical periods of recapitalization or refinance requires a significantly longer planning, design, and construction process than energy upgrades for single-family homes.<sup>28</sup> Building owners may also be less incentivized to make whole-building modifications where the cost savings accrues to the tenants with little monetary benefit to the owner (the “split incentive” problem).<sup>29</sup> Historically, the multifamily sector has been significantly underrepresented in energy efficiency program accomplishments.<sup>30</sup>

To ensure low-income single-family and multifamily homes – two building categories specifically called out in the statute – are successfully served through the Home Efficiency Rebates, States must reserve a portion of their rebate funding to serve these households. Specifically, **at a minimum**, each State must:

- Allocate a percentage of its rebate funding for each of the rebate programs in line with its percentage of low-income households. Nationally, approximately 40.3% of U.S. households are eligible for rebates as low-income households. Appendix A contains information on the percentage of low-income households for each State and the

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<sup>22</sup> Compare 42 U.S.C. 18795(c)(2)(C) with 42 U.S.C. 18795(c)(2)(A).

<sup>23</sup> 42 U.S.C. 18795(c)(3).

<sup>24</sup> 42 U.S.C. 18795(b)(5).

<sup>25</sup> “Meeting the Challenge: A review of Energy Efficiency Program Offerings for Low-Income Households” by the American Council for an Energy-Efficient Economy. Available at <https://www.aceee.org/research-report/u2205>.

<sup>26</sup> Analysis of ACS 2020 data from the LEAD tool. Data available at <https://www.energy.gov/scep/slsc/lead-tool>.

<sup>27</sup> Compare 42 U.S.C. 18795(c)(2)(C) with 42 U.S.C. 18795(c)(2)(B).

<sup>28</sup> “Capturing the Value of Energy Upgrades in Affordable Multifamily Homes: How Policy Makers Can Pave the Way to Efficiency” by the Natural Resources Defense Council. Available at <https://www.nrdc.org/sites/default/files/energy-upgrades-affordable-multifamily-homes-policymakers.pdf>.

<sup>29</sup> “Building Decarbonization Solutions for the Affordable Housing Sector” by the American Council for an Energy-Efficient Economy. Available at <https://www.aceee.org/sites/default/files/pdfs/u2204.pdf>.

<sup>30</sup> “More Savings for More Residents: Progress in Multifamily Housing Energy Efficiency” by the American Council for an Energy Efficient Economy. Available at <https://www.aceee.org/sites/default/files/publications/researchreports/u1702.pdf>.

associated minimum dollar amount that must be allocated to serve low-income households in each State.<sup>31</sup>

- Allocate at least 10% of its rebate funding to serve low-income multifamily buildings. This allocation must be additional to and separate from the allocation for low-income households. The table in Appendix A contains the dollar amount of the 10% minimum allocation of rebate funding that must be reserved to serve low-income multifamily buildings in each State.
- Design each rebate program to be capable of delivering the rebate allocations to low-income single-family and multifamily households. States must ensure that their program implementers make a focused effort to deliver the volume of projects to low-income households needed to spend this rebate allocation.
- If a State has failed to disburse the rebate funds allocated to low-income households within 5 years of receipt of its total formula funding allocation, it may request that DOE authorize the State to reallocate those funds to households at other income levels. DOE will reallocate the funds upon a demonstration of the State’s good faith efforts at distributing its low-income rebate allocation.
- Not prior to 2029, if a State has failed to disburse the rebate funds allocated to low-income households and has less than 10% of unallocated rebate funds remaining, it may request that DOE authorize the State to reallocate those funds. DOE will reallocate the funds upon a demonstration of the State’s good faith efforts at distributing its low-income multifamily rebate allocation.
- Ensure a homeowner or building owner is eligible for low-income rebate levels.
- Verify that (1) a participating single-family household’s income is less than 80% AMI,<sup>32</sup> and (2) a participating multifamily building has at least 50% of households with incomes less than 80% AMI. Income must be verified at the household level (e.g., income cannot be “estimated” based on demographic information).
- Allow categorical co-enrollment based on other Federal programs that meet the income thresholds, as listed in the supplemental document [Federal Programs Approved for Categorical Eligibility](#).

As authorized by statute, a State may propose an increase in the maximum rebate amount available for each low-income household.<sup>33</sup> The proposed increase can be up to 100% of the project costs of efficiency upgrades. This proposed increase in the rebate amount must be approved by DOE. See section 3.1.7 for details on what is needed within a State’s application to increase efficiency rebate amounts.

For the purposes of single-family and multifamily rental homes, low-income status is based on the household income of the tenant(s). The income of the building owner is not considered in

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<sup>31</sup> This minimum allocation of rebates will facilitate direct benefits to low-income households in relative proportion to their representation in the State. States are encouraged to go above and beyond this minimum allocation to target rebate recipients more selectively or to increase the amount of rebates reserved for low-income households and disadvantage communities.

<sup>32</sup> HUD calculates median family income levels for areas across the United States. 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; however, due to impacts of the COVID-19 pandemic on data collection, HUD released its 2023 income limits in May 2023. States must apply (and make available to claimants) up-to-date AMI data listed by DOE through an API or hotlink.

<sup>33</sup> 42 U.S.C. 18795(c)(3).

determining the eligibility of low-income rental households. Building owners of single-family and multifamily rental dwellings may seek access to Home Efficiency Rebates and verify income eligibility of their tenants.

For low-income dwelling units occupied by renters, procedures for rental units shall ensure that:

- If rebates are directly requested by renters, written permission from the building owner (or another entity authorized to act on behalf of the building owner) for the home efficiency project must be obtained before commencing work.

For at least two years following the receipt of the rebates:

- The owner agrees to rent the dwelling unit to a low-income tenant. This is a minimum requirement and affordability requirements should be commensurate with total rebate amount awarded.
- 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 two years of receipt of the rebates, the aforementioned conditions apply to the new owner and must be part of the purchase agreement.
- In the event the owner does not comply, the owner must refund the rebate.
- A specific and verifiable mechanism (e.g., addendum to the lease) is in place for providing tenants with written notice of their rights and their building owner's obligations.
- Enforcement and penalties are clear and sufficient to act as a deterrent for owner violations and provide for damages and attorney's fees recoverable by tenants.

Income verification is a critical element of program implementation. DOE, in collaboration with the National Association of State Energy Officials (NASEO), will work with the States to assist in developing effective methods for carrying out this requirement and provide examples of acceptable methods. As part of this assistance, DOE will provide sample frameworks to help States work through the various steps of income verification and other processes involved in implementing rebate programs.

As noted in the section on income verification, States are encouraged to allow applicants to establish their eligibility through a variety of means, including categorical eligibility (enrollment in recognized low-income programs), documentation of income, and self-attestation.

#### *3.1.4. Program Requirements: Community Benefits Plan*

To support Program goals, the Home Efficiency Rebates are expected to (1) support meaningful community and labor engagement; (2) engage and support a skilled and qualified workforce; (3) advance diversity, equity, inclusion, and accessibility (DEIA); and (4) contribute to the Justice40

Initiative with the goal that 40% of the overall benefits of certain Federal investments flow to disadvantaged communities.<sup>34</sup>

To ensure these goals are met, States must:

- Create a Community Benefits Plan that describes how their home efficiency rebates program will incorporate the four objectives stated above.
- Include at least one Specific, Measurable, Attainable, Realistic, and Timely (SMART) milestone per calendar year to measure progress on the proposed actions.
- Make the plan, the milestones, and progress toward them accessible on a public website.
- Ensure the Community Benefits Plan is implemented when carrying out projects.

The Community Benefits Plan must address the following:

**1. Engage Community and Labor:** The Community Benefits Plan must describe the grantee's actions to date and plans to engage with community partners, such as local and/or Tribal governments, labor unions, and community-based organizations that support or work with underserved communities, including disadvantaged communities as defined by CEJST. By facilitating community input, social buy-in, and accountability, such engagement can improve and accelerate participation and positive project outcomes.

Community and labor engagement can lay the groundwork for formal partnerships with community and workforce partners to support administration and implementation of the rebate programs. A State must:

- Hold at least one public input session to solicit community input on its proposed deployment plans. Ideally, these meetings will take place after this Home Efficiency Rebates requirements document and ALRD is released by DOE; however, a State may request waiver of this provision upon a demonstration that the public input sessions elicited meaningful input for the State program design.
- Use the input from these engagement sessions to inform the design of its rebate program, and it must describe how this input was used in its program design.
- Explain how it will solicit and respond to community feedback throughout the duration of its rebate program.
- Describe what community engagement and outreach strategies it will utilize to reach contractor and workforce organizations, disadvantaged communities, low-income households, and other marginalized groups.

States are strongly encouraged to establish partnerships with and provide funding to community-based organizations, labor unions, contractor organizations, utilities, existing program implementers, and other organizations that represent or work with underserved households to reach and engage with these communities effectively over the life of the program. Administrative funds allocated to the State may be used to support these actions. Grantees should also provide Community and Labor Partnership Documentation from representative organizations reflecting substantive engagement and feedback on the grantee's approach to community benefits,

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<sup>34</sup> The Justice40 initiative, established by E.O. 14008, sets a goal that 40% of the overall benefits of certain Federal investments flow to disadvantaged communities. The Justice40 Interim Guidance provides a broad definition of disadvantaged communities (page 2): <https://www.whitehouse.gov/wp-content/uploads/2021/07/M-21-28.pdf>.

including engaging and supporting a skilled and qualified workforce; diversity, equity, inclusion, and accessibility; and the Justice40 Initiative detailed below.

**2. Engage and Support a Skilled and Qualified Workforce:** A qualified, skilled, trained, and stable workforce is necessary to meet Home Efficiency Rebates program goals. High-quality jobs are critical to attracting and retaining the qualified workforce required to implement high-quality home upgrades.

The Community Benefits Plan must describe the State’s approach to working with responsible contractors who invest in ongoing workforce education and training, and ensuring jobs are of sufficient quality to attract and retain skilled workers in the home energy upgrade industry. If a State is not also applying for a grant from the [IRA Section 50123 Contractor Training Grants ALRD](#), the State must describe how it is supporting education and training of both new and incumbent workers to meet the needs of the Home Efficiency Rebates.

As the 1935 National Labor Relations Act states, employees’ ability to organize, bargain collectively, and participate, through labor organizations of their choosing, in decisions that affect them contributes to the effective conduct of business and facilitates amicable settlements of any potential disputes between employees and employers, providing assurances of project efficiency and continuity and multiple public benefits. A State should provide a description of how it plans to affirmatively support workers organizing and collective bargaining. This might include screening eligible contractors based on commitments from home energy upgrade contractors to remain neutral during any union organizing campaigns; investing in workforce and education through joint labor-management training programs; supporting the development of a resilient, skilled, and stable workforce including by utilizing registered apprentices on projects and paying at or above the local prevailing wages; and including other commitments or pledges.

**3. Incorporate Diversity, Equity, Inclusion and Accessibility (DEIA):** The Community Benefits Plan must include a section describing how DEIA objectives will be incorporated into the program. The section should detail how the State will partner with underrepresented businesses and training organizations that serve workers who face barriers to accessing quality jobs and/or other project partners to help address DEIA.

The following is a list of potential DEIA actions that could be included in a plan. This list is offered to provide guidance to States and is not intended to be comprehensive:

- Commit to partnering with Minority Business Enterprises, minority-owned businesses, women-owned businesses, and veteran-owned businesses for delivering home energy upgrades funded by rebates or for home energy upgrade contractor support needs.
- Fill open positions for home energy efficiency jobs utilizing home efficiency rebates, partner with workforce training organizations serving underrepresented communities and those facing systemic barriers to quality employment, such as those with disabilities, women, returning citizens, opportunity youth, and veterans.
- Partner with organizations that can provide workers with comprehensive support services, such as childcare, mentoring, and transportation, to increase representation and access in home energy efficiency and construction jobs.

**4. Address Justice40 Initiative:** A State must provide an overview of benefits to disadvantaged communities that the home efficiency rebates can deliver, supported by measurable milestones. The Justice40 Initiative section of the Community Benefits Plan must include:

**A. A State’s definition of disadvantaged communities.** In accordance with the U.S. Office of Management and Budget (OMB) guidance M-23-09,<sup>35</sup> a disadvantaged community is a disadvantaged area identified by CEJST.<sup>36</sup> With DOE approval, a State may adopt an alternative definition for a disadvantaged community. To receive DOE approval of an alternative disadvantaged community definition, (1) the state definition must incorporate two or more enumerated indicators (see section 3.1.7) in identifying disadvantaged communities, (2) the state definition must conform to the definition of communities established in [OMB Memorandum M-21-28](#), and (3) the communities meeting the state definition must be mapped or the State must develop its own GIS layer that can identify households that qualify as fitting under its disadvantaged community definition. DOE may request that a State conduct comparative analysis to show how its proposed definition compares with areas identified by CEJST. A State may develop its own web-based tool or work with DOE to integrate this GIS layer into the tools provided by DOE; developing this new tool is an allowable administrative cost.

If a State uses the DOE default definition for a disadvantaged community, contractors and other interested parties can use the CEJST mapping tool or another federally approved web-based tool to determine whether a home is located in a disadvantaged community. If a State uses a state-specific definition for a disadvantaged community, either the DOE tool or a state-provided tool will provide contractors and other interested parties the ability to determine whether a home is located in a disadvantaged community. Note that DOE plans to provide a rebate coupon reservation system that will note whether the address qualifies for an incentive when the reservation is created.

**B. A State’s method of encouraging delivery of home efficiency rebates to disadvantaged communities.** Each State must include system(s) to track contractor or aggregator engagement with households in disadvantaged communities and ensure appropriate incentive payments are delivered.<sup>37</sup> Specifically, the State program must:

- Provide either a contractor or aggregator \$200 for each dwelling unit located in a disadvantaged community upon completion and verification of the installation.
- Use the identified disadvantaged community definition (either the DOE default or the DOE-approved state definition) to apply the \$200 disadvantaged community incentive.

**C. A description of how States will ensure that applicable benefits flow to disadvantaged communities.** A State must specifically identify how its Home Efficiency Rebates program will deliver direct benefits for low-income households in CEJST-identified areas (or its DOE-approved alternative definition of a disadvantaged community), such as how upgrades will reduce utility bills and improve indoor air quality. A State should also discuss how its Home Efficiency Rebates program will create high-quality jobs for members of disadvantaged communities.

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<sup>35</sup> “Addendum to the Interim Implementation Guidance for the Justice40 Initiative, M-21-28, on using the Climate and Economic Justice Screening Tool (CEJST).” Available at M-23-09 (whitehouse.gov).

<sup>36</sup> The Climate and Environmental Justice Screening Tool (CEJST) is available at <https://screeningtool.geoplatform.gov/en/#3/33.47/-97.5>.

<sup>37</sup> 42 U.S.C. 18795(b)(5).

At a minimum, this plan must describe actions a State will take to ensure that disadvantaged communities receive the following benefits of the rebate programs:

- Direct benefits, including the energy upgrade projects completed via rebate investments and the associated energy savings, cost savings, pollution reduction, and other health and safety benefits.
- Economic benefits, including the jobs and quality of jobs supported by rebate investments and the contracts and economic activity enabled by rebates.

In describing the flow of benefits, a State may reference the use of minimum allocations, such as the low-income minimum allocations required within section 3.1.3. However, a State should be aware that not all low-income households fit the geographic definition of a disadvantaged community.

### *3.1.5. Program Requirements: Processing and Delivering Rebate Funds to Eligible Rebate Recipients*

To help ensure appropriate use and processing of Home Efficiency Rebates, States must:

- Create systems and materials to facilitate carrying out the program requirements in section 3 and the [Data & Tools Requirements Guide](#).
- Use APIs and/or DOE-provided spreadsheets to link relevant State systems to federally provided infrastructure as described in the [Data & Tools Requirements Guide](#).
- Inform all potential State program participants of the process for accessing rebates, including how to access national system(s) as required by DOE.
- Adhere to all requirements included in the [Data & Tools Requirements Guide](#).
- Provide rebates to the eligible rebate recipient for measured programs within 60 days of submitting invoice to the State.
- Provide rebates to eligible rebate recipient within four (4) weeks of receipt of an eligible rebate application for modeled programs.
- Provide an acceptable method for low-income households to not be required to use personal funds at the point of sale to pay for rebate-covered work<sup>38</sup>.

### *3.1.6. Program Requirements: Data Collection and Evaluation*

This section covers a variety of data requirements. Section 3.1.6.1 addresses requirements associated with data protection and standards, including data transmission, security, privacy, retention, and sharing. Section 3.1.6.2 provides general information regarding the types of metrics for which DOE plans to require reporting. Reporting requirements will be identified on the Financial Assistance Reporting Checklist (FARC) attached to the award agreement. Section 3.1.6.3 addresses data collection requirements related to program evaluation. DOE also expects State programs to collect information needed to administer their rebate programs and to assist with program monitoring. Finally, DOE recognizes that States will need to collect additional information for program implementation. DOE will collect most data with mandatory APIs; however, States will be required to provide some compiled information by reporting through PAGE and may be required to provide additional information that they have retained but not reported to DOE. All data collection and reporting requirements, including application programming interface (API) requirements, will be delineated in the [Data & Tools Requirements](#)

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<sup>38</sup> See Data and Tools Requirements for workflows to support states developing acceptable methods.

[Guide](#). Requirements and recommendations pertaining to data access and sharing of utility energy consumption information is provided in the [Utility Data Access Guidelines](#).

#### 3.1.6.1. Data Protection and Data Standards

The following program requirements apply to documents, data, and other information collected by States using Federal funds to implement and administer the Home Energy Rebates, regardless of when or how that information may be shared with DOE.

To facilitate program data sharing, program audits, and program evaluations, State programs must collect household information as required in the [Data & Tools Requirements Guide](#). For home energy assessment data required to be submitted to DOE, data for all applicable building types (single-family and small multifamily) must be consistent with the [HPXML Data Dictionary v3 or subsequent versions](#), and program systems must be capable of sharing the data using the [HPXML Transfer Standard \(BPI-2100\) or subsequent versions](#). Home energy assessment data for large multifamily buildings must be consistent with [BuildingSync](#). All other data must be collected in the format appropriate to be shared with the DOE central database. Data that States must collect but that is not required to be submitted to DOE must be retained and accessible upon request by DOE for purposes of compliance monitoring and evaluation.

Data collection and data sharing must be secure to protect consumer privacy. Each State must comply with its own State legal obligations regarding security and privacy. To ensure States are addressing data security and privacy, at a minimum, implementers must implement risk-based security controls, which must include documentation of a privacy and security risk assessment, rationale for categorizing the system, method for determining the risk impacts, and risks associated with data sharing. A copy of the privacy and risk assessment of State systems must be provided to DOE at least 60 days prior to planned rebate program launch. DOE will review and approve the deliverable prior to providing the State approval for rebate program launch.

Security and privacy controls must be reviewed by an independent third party at least once every 3 years. Implementers must have documented processes in place to monitor and address issues in a timely fashion. DOE may request copies of risk assessments, documentation from independent reviews, and/or documentation of risk or threat mitigation measures at any time.

Data collected by States in administering their programs may not be sold. Data collected by States in administering their programs may be shared with program implementers and/or evaluators with whom the State has a contractual relationship, provided that prohibitions against data selling and data sharing are included in the contracts with those entities. For all other entities, collected data may not be shared with others except with the explicit written permission of DOE.

Consistent with 2 CFR 200.334 through 200.338, the State recipient is required to retain records relating to this award for a period of 3 years from the date of submission of the final expenditure report.

#### 3.1.6.2. Program Metrics

States must include plans for how required data<sup>39</sup> will be collected throughout the award period so that these metrics may be aggregated and evaluated across programs. DOE understands that different States will optimize program design for different metrics. The plan must include how

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<sup>39</sup> As described in the [Data & Tools Requirements Guide](#).

States will value savings based on time, location, or greenhouse gas emissions. Valuing savings as part of this plan does not replace or count towards the requirements to demonstrate a minimum percentage energy savings for the household on a modeled or measured basis.

DOE requires States to report to DOE certain program-related progress metrics. To reduce burden, DOE will allow some flexibility in how the data are reported and at what level of granularity. See the [Data & Tools Requirements Guide](#) for all data requirements, including a list of metrics that States will be required to submit at least annually to DOE.

States must report metrics to DOE as described in the [Data & Tools Requirements Guide](#) and as required on the Federal Assistance Reporting Checklist (FARC).

### 3.1.6.3. Program Evaluation

DOE plans to conduct process, impact, and market transformation evaluation activities as part of an independent evaluation process. The goals of these evaluations will be consistent with the goals described in Section 1.5 of this document with the objective to understand how effective the programs are at meeting their intended outcomes and how programs can be improved. See the [Data & Tools Requirements Guide](#) for specific data collection, retention, and reporting requirements.

States must participate in DOE-led impact and process evaluations **or** conduct their own process and impact evaluations consistent with requirements of this section.

Regardless of whether States conduct their own impact and process evaluation and/or cooperate with DOE-led evaluations, all State programs must:

- Agree to participate in interviews (as the program administrator) and require their implementers and other program partners to participate in interviews.
- Include as part of rebate terms and conditions that homeowners agree to release billing data from their metered fuel utilities to the State for evaluation purposes and homeowners agree to be willing to participate in monitoring and evaluation activities such as surveys and interviews if selected.
- Securely provide any retained data to DOE on an ad hoc, as-requested basis.
- Coordinate with utilities to collect billing data for evaluation purposes.

States that choose to conduct at least one of their own process or impact evaluations will not be required to participate in a DOE-led process or impact evaluation if the State:

- Applies the DOE evaluation recommendations as described in the [Technical Information, Best Practices, and Implementation Recommendations](#) and collects DOE-requested information to allow for consistent comparison of results.
- Submits the evaluation plan within three months of rebate program launch for DOE approval.
- Provides final evaluation results to DOE within 18 months of evaluation approval, or the agreed-upon timeline in the evaluation plan.

If a State conducts timely impact or process evaluation of its programs, meeting the above requirements, then DOE will exclude the State from relevant evaluation activities. DOE reserves the right to determine consistency with requirements and the evaluation plan.

Due to the nature of broad-based market transformation goals, DOE will conduct a national market transformation evaluation. States are welcome to conduct their own assessment of market effects and market change as well.

### 3.1.7. Application Requirements: Use of Funds and Rebate Eligibility

A State must address the following in its application and corresponding budget, except that a State may defer responses to its State Implementation Blueprint where marked with an “X” (deferral not permitted for Quick Starts). All other requirements are mandatory within the State Application.

Table 4. Application Requirements

Program Requirements Section No.	Application Requirement	Implementation Blueprint Option
3.1.1	Identify the specific types of allowable costs the State proposes within 1) administrative funds and 2) rebate funds.  Provide an estimate of the total amount of administrative funds to be expended annually and the estimated annual project-related costs as a portion of the total rebate funds.	
3.1.1	If States are requesting additional funds for project-related activities, describe and justify each activity and associated budget in the budget justification worksheet DOE will review and determine if allowable.	
3.1.1	Describe how the State will manage and ensure that rebate minimums and administrative maximums are adhered to over the duration of the program.	
3.1.2	Identify the maximum rebate amounts that will be offered within the allowances of the Home Efficiency Rebates requirements.	
3.1.2	Identify the allowable project costs for determining rebate levels when based on project cost.	X
3.1.2	List the documentation requirements related to project costs from homeowners, contractors, and/or aggregators.	X
3.1.2	Describe how homeowners and multifamily building owners will be informed of additional program funding available from non-Federal funds and grants.	X

Program Requirements Section No.	Application Requirement	Implementation Blueprint Option
3.1.2	Identify the date after which upgrade projects must be completed for the purposes of being eligible for a rebate under the State program.	X
3.1.2	Identify whether, for low-income multifamily buildings, the State will calculate the “per dwelling unit” rebate amount (a) at the less than 80% AMI amount for all units or (b) based on the ratio of LMI to non-LMI units.	
3.1.2	<p>Describe how the State plans to value energy savings based on time, location, or greenhouse gas emissions. The application must demonstrate a strategy for either prioritizing, or requiring in program rules:</p> <ul style="list-style-type: none"> <li>• Retrofits that will have a disproportionate benefit based on the time or location of energy savings; or</li> <li>• A targeted approach to prioritize reduction in greenhouse gas emissions.</li> </ul> <p>Valuing savings as part of this plan does not replace or count towards the requirements to demonstrate a minimum percentage energy savings for the household on a modeled or measured basis.</p>	X
3.1.2	Describe how the State plans to ensure and verify ENERGY STAR certification at the time of installation for heating, cooling, and water heating products.	X
3.1.2	<p>Indicate whether the State requests authorization to offer higher rebates amounts than those listed in Tables 2 and 3 for low-income households. If requested:</p> <ul style="list-style-type: none"> <li>• Describe the State approach for balancing higher rebate amounts (serving fewer households) with the required allocation to serve low-income households.</li> <li>• Propose the maximum rebate amount that would be available to low-income households both in terms of percentage of project cost and dollar amount for low-income households that: <ul style="list-style-type: none"> <li>○ Receive an energy upgrade that is modeled to save at least 20% of energy.</li> <li>○ Receive an energy upgrade that is modeled to save at least 35% of energy.</li> </ul> </li> </ul>	



Program Requirements Section No.	Application Requirement	Implementation Blueprint Option
3.1.2	Provide details on what portion(s) of the total rebate will be provided to the homeowner/building owner compared with the contractor/aggregator. Describe what caps the state will place on contractor/aggregators in terms of savings exceeding the amount associated with the rebate provided to the homeowner (e.g., allowable percentage above the rebate provided to homeowner).	X
3.1.2	Describe what systems will be put into place to reserve funds for each measured project, given the need to remit payment to the contractor/aggregator after 9-12 months of usage data post-energy upgrade is available.	X
3.1.2	For the measured program path, describe how the State will calculate rebate levels based on average home energy usage in the State <sup>40</sup> .	X
3.1.2	For the measured program path, describe the timeframe within which the State will provide rebates to eligible rebate recipients.	X
3.1.3	Identify the portion of the rebate funds the State will reserve for low-income households and multifamily households.	
3.1.3	Describe how the State will define household income for verification purposes. (e.g., using prior year income).	
3.1.3	For single-family households, how will claimants be able to establish their household income for income qualifications? States may select from the following options: (1) Documentation of household income (for example, 1040) (2) Documentation of enrollment in a pre-qualifying program (3) Self-attestation of either income level or enrollment in a pre-qualifying program	
3.1.3	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.	X

<sup>40</sup> Per statute, the measured energy saving of the home or portfolio of homes must achieve 15% savings, but the calculation of the rebate is based on a 20% reduction of average energy use of a home in the state.

Program Requirements Section No.	Application Requirement	Implementation Blueprint Option
3.1.3	<p>Confirm:</p> <ul style="list-style-type: none"> <li>• Claimant will be required to note the number of individuals who occupy the dwelling unit.</li> <li>• 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).</li> <li>• State’s intake system for users to provide income information will compare household income to 80% AMI values associated with that household’s county and household size to determine rebate levels prior to signing statements regarding their income.</li> </ul>	
3.1.3	<p>Describe how the 80% AMI levels for each location will be kept up to date (use DOE-provided API, other) and linked to DOE systems. Confirm that these levels will correspond to (a) the address of the home at which rebates will be applied and (b) the applicable number of household occupants.</p>	X
3.1.3	<p>Confirm that the State will:</p> <ol style="list-style-type: none"> <li>(1) review information provided to support income eligibility for all applicants applying for higher income-based rebate levels;</li> <li>(2) take steps to verify income eligibility for at least 50% of those applications 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 IVES or other methods as applicable; calls to employers);</li> <li>(3) 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</li> <li>(4) 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.</li> </ol> <p>A state may propose in its application the types of information that it will provide to DOE to warrant reducing this requirement</p>	

Program Requirements Section No.	Application Requirement	Implementation Blueprint Option
	(e.g., allowing implementers to verify income of a subset of claimants through random sampling).	
3.1.3	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.	
3.1.3	Describe how the State will verify (confirm legitimacy) of income information for all claimants (e.g., verification within 2 days through IRS, cross-check with enrollment databases of approved programs, calls to employers). A State may propose in its application 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).	X
3.1.3	Identify how the State will resolve instances when rebates are provided to those who have falsified their incomes.	X
3.1.3	<p>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:</p> <ul style="list-style-type: none"> <li>• Describe how those applying for rebates will be warned of potential liability associated with falsifying information.</li> <li>• Explain how signed statements of self-attestation will be securely stored.</li> <li>• Identify what level of falsified attestations will signal that the system needs to shut down either permanently or be restarted only after sufficient improvements are made.</li> </ul>	X
3.1.3	Describe how the State program will verify applicant information provided to substantiate income eligibility, including systems that will be used to verify, where applicable, that at least one member of a household has been enrolled in a program included within the <a href="#">Federal Programs Approved for Categorical Eligibility</a> document or other state-proposed approved by DOE within the prior 12 months.	X
3.1.3	Identify the Federal or other programs by which the State plans to allow categorical eligibility.	

Program Requirements Section No.	Application Requirement	Implementation Blueprint Option
3.1.3	If applicable, propose any additional Federal or other programs to be considered for categorical eligibility. For any programs not already approved, describe how the program’s eligibility aligns with the Section 50121 income requirements.	X
3.1.3	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.	X
3.1.3	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 <a href="#">Federal Programs Approved for Categorical Eligibility</a> . 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.	X
3.1.3	Provide a brief description of the procedures and penalties the State will provide to ensure that renters are not subject to unjustified rent increases.	
3.1.3	Explain how the State will identify eligible contractors or aggregators and what tools will be used to pay the \$200 disadvantaged community incentive.	X
3.1.4	<p>Describe how the State program will define a disadvantaged community.</p> <p>If not using the default disadvantaged community definition (low-income households located in a disadvantaged community identified by the CEJST), a State must explain how the proposed definition will meet the following three criteria as described in DOE Justice40 implementation guidance<sup>41</sup>:</p> <ul style="list-style-type: none"> <li>• The communities of concern identified by the State tool or definition must conform to the definition of communities established in OMB guidance: <ul style="list-style-type: none"> <li>• a group of individuals living in geographic proximity to one another that experiences common conditions.</li> </ul> </li> </ul>	

<sup>41</sup> See pages 8-9 of <https://www.energy.gov/sites/default/files/2022-07/Final%20DOE%20Justice40%20General%20Guidance%20072522.pdf> for more details.



Program Requirements Section No.	Application Requirement	Implementation Blueprint Option
	<ul style="list-style-type: none"> <li>• a geographically dispersed set of individuals (such as migrant workers or Native Americans) that experiences common conditions.</li> <li>• 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:               <ul style="list-style-type: none"> <li>• Low income, high and/or persistent poverty</li> <li>• High unemployment and underemployment</li> <li>• Racial and ethnic residential segregation, particularly where the segregation stems from discrimination by government entities</li> <li>• Linguistic isolation</li> <li>• High housing cost burden and substandard housing</li> <li>• Distressed neighborhoods</li> <li>• High transportation cost burden and/or low transportation access</li> <li>• Disproportionate environmental stressor burden and high cumulative impacts</li> <li>• Limited water and sanitation access and affordability</li> <li>• Disproportionate impacts from climate change</li> <li>• High energy cost burden and low energy access</li> <li>• Jobs lost through the energy transition</li> <li>• Access to healthcare</li> </ul> </li> <li>• The communities of concern identified by the State tool or definition must be currently mapped in software or must be easily overlaid in GIS so that communities can be easily identified.</li> </ul>	
3.1.5	Describe what types of systems will be put into place to allow effective processing of rebates.	X
3.1.5	Describe how the State will ensure processing of rebates within required timeframes (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.	X
3.1.5	Describe how the proposed processing system will be integrated with a system for processing rebates under Section 50122. Note if the State plans to use separate systems.	X
3.1.5	If the State does NOT intend to use a federally provided web-based tool to determine whether a home is in a disadvantaged	

Program Requirements Section No.	Application Requirement	Implementation Blueprint Option
	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.	
3.1.5	Confirm that the system will link to federally provided systems via API.	
3.1.6	Certify that the State will submit a Privacy and Security Risk Assessment in the State Implementation Blueprint.	
3.1.6	Explain how data will be protected, specifically addressing security measures and privacy measures.	X
3.1.6	Include documentation of the processes to monitor, identify, and address security and privacy threats.	X
3.1.6	Confirm that the State will require billing data release and describe how the State will gain access to billing data for program requirements and program evaluation.	X
3.1.6	Confirm that the State will collect required data and cooperate in program evaluation processes as listed in section 3.1.6.3.	
3.1.6	<p>Confirm if the State is planning to conduct its own evaluation, and if so, what type(s) of evaluations. If the State plans to conduct evaluations on its programs, confirm that the State will:</p> <ul style="list-style-type: none"> <li>• Cooperate with DOE to meet all the requirements listed in section 3.1.6.3.</li> <li>• Submit an evaluation plan for DOE review within three months of program launch.</li> <li>• Provide results to DOE.</li> </ul>	
3.1.6	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.	X

## 3.2. Consumer Experience

### 3.2.1. Program Requirements: Education and Outreach

A positive consumer experience begins with successful outreach and education about the benefits of the Home Energy Rebate programs. States must decide which types of households to target for outreach, what methods will be most effective in reaching them, and what educational materials will best inform those households of the benefits of upgrading their homes. States must also decide how they will engage contractors that will deliver the projects paid for by rebates. Many States will be able to leverage and repurpose outreach and education materials from existing programs.

A State must briefly describe its intended outreach and education strategy it will use to inform eligible households about the rebate programs. This outreach and education strategy must include a timeline and programmatic elements, potentially including but not limited to targeted advertising, outreach via local governments, and/or partnerships with community-based organizations. States may allocate a portion of their administrative budgets to conduct these activities.

At minimum, a State's outreach and education strategy must include:

- A brief description of planned activities for household outreach, such as:
  - Outreach partnerships (utilities, local governments, community-based organizations, labor unions, churches, etc.)
  - Outreach channels (Digital ads, neighbor to neighbor outreach, direct mailings, etc.)
  - Educational materials (website, fact sheets, etc.)
- A brief description of planned activities for contractor outreach, such as:
  - Outreach partnerships (trade organizations, labor organizations, etc.)
  - Outreach channels (website, ads in trade organization publications, etc.)
  - Educational materials (website, fact sheets, trainings, etc.)
- High-level timeline for executing these programmatic activities.
- Estimated budget devoted to outreach and education, which can be covered through Home Efficiency Rebates administrative funding or through other state/utility/local sources.

### 3.2.2. Program Requirements: Home Assessments

Home assessments are an important component of consumer protection to better understand the potential risks and benefits to a household pursuing an energy upgrade project. Through observation and documentation of a home's pre-condition, consumers can make informed decisions to avoid upgrades that may not produce utility bill savings or may require additional upgrades to be safe and effective. Assessments also protect taxpayer funds from being spent on unallowable expenditures.

An assessment is required for every single-family home and multifamily building receiving Home Efficiency Rebates. State programs are required to establish basic requirements that ensure each home assessment:

- Complies with the steps and procedures for home energy auditing in accordance with ANSI/BPI 1100-T-2023 and ANSI/BPI 1200-S-2017, except that (1) a blower door test is not

required as part of the audit and (2) the Cost Benefit Analysis is not required. If a Cost Benefit Analysis is performed, it shall be for consumer information only, must project total household energy consumption, and must, at a minimum, be presented in terms of reduced energy costs.

- Collects required information. Data requirements may differ depending on whether the project is deemed eligible through the modeled or measured energy savings program paths.
- At a minimum, the home assessor must collect and/or produce the following data points:
  - Unique home identifier (e.g., address).
  - Dwelling type.
  - Performance/efficiency of the home and its components, materials (such as insulation), and systems (potentially including but not limited to equipment type, age, fuel source, efficiency level, R-value, air leakage rate, etc.).
  - Identification of existing equipment/materials/systems to be replaced.
  - Identification of new equipment/systems/materials being proposed for installation.
  - Estimated total project cost as defined in section 2.1.
  - Identification of the tool/software used to produce the energy cost estimate.
  - Written acknowledgement from the consumer of the proposed project's estimated impact on household energy costs and consumption including estimate of the energy savings in dollars in year one based on current utility rates at the home.
  - Written acknowledgement from the consumer of the amount they will owe not covered by the rebates.
  - Estimated Post-Retrofit Energy Consumption of the proposed project, in a manner consistent with section 3.2.3.1.
  - Estimated energy savings attributable to the proposed project, calculated in a manner consistent with section 3.2.3.1.
  - Datapoints as required per the State's requirements to retain data in section 3.2.4.
  - All other datapoints listed as required in the [Data & Tools Requirements Guide](#).

For each home energy upgrade receiving Home Efficiency Rebates, the State is required to retain the following documentation:

- List of the major upgrades (as defined in Section 2.1) and additional upgrades included in the energy savings prediction
- Gross project cost estimate
- Project estimated energy savings (kWh or kWh equivalent)
- Estimated household energy costs post-installation
- Estimated amount of eligible rebate
- Certification from the assessor that all the above information was provided to the homeowner and resident (if different)

Note that completing home assessments for multifamily buildings will require a different process than for single-family homes. A State must establish processes for home energy assessments for multifamily buildings, including for energy used by common areas.

### 3.2.3. Program Requirements: Access to Residential Utility Data

IRA Section 50121 states “the Secretary shall develop and publish guidelines for States relating to residential electric and natural gas energy data sharing.”<sup>42</sup>

The data access guidelines are included in the [Utility Data Access Guidelines](#) and include best practices for data access and sharing and recommendations for developing a comprehensive Data Access Plan.

States must develop and submit a Utility Data Access Plan that, at a minimum, includes the following:

- Ensure that any data are transferred and maintained safely and securely, using established standards.
- Ensure that any parties participating in a program that requires energy consumption data have secure data protection and protocols that demonstrate the capability for a safe transfer of consumer data, including data for individual dwelling units and whole-building aggregate data for multifamily buildings.
- Determine which consumer consent processes the State will implement.
- Define energy consumption as primary or secondary purpose.

DOE strongly encourages States to develop a comprehensive Utility Data Access Plan that also addresses the other recommendations of the [Utility Data Access Guidelines](#) as States will likely have to address those topics with relevant parties and stakeholders to implement a Home Efficiency Rebates State program. A State may utilize existing data access plans if those plans fulfill the DOE requirements.

### 3.2.4. Program Requirements: Project-Specific Energy Savings Calculations

States may choose to implement the modeled path, measured path, or both. States must inform DOE which path(s) they will implement. States must adhere to the energy savings requirements pertaining to either the modeled or measured path as described below. If implementing both paths, the State must provide required information separately for each program path.

#### 3.2.4.1. Calculating Modeled Energy Savings

Modeled energy savings must be calculated and reported in a manner that:

- Estimates energy savings based on the data and information collected in the final home assessment.
- Includes at a minimum at least one major upgrade as defined in Section 2.1.
- Is conducted consistent with BPI-2400 or subsequent version as approved by DOE (see exceptions in paragraph below).
- Applies a DOE-approved modeling software.
- Defines, calculates, and reports energy savings for the purposes of the rebate threshold as kWh or kWh equivalent as defined in Section 2.1.
- Includes only upgrades that were completed and installed as part of the project as described and annotated on the required invoice.
- Does not include onsite generation technologies.

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<sup>42</sup> 42 U.S.C. 18795(c)(5).

- Collects and reports the data and information required in the [Data & Tools Requirements Guide](#).

States may:

- Use an alternative factor (including a factor of 1) in calculating kWh equivalent savings. States are required to identify and provide a justification for the factor applied in kWh equivalent. States may propose to use more than one factor for different baseline conditions. States may work with DOE to determine factors that are most appropriate for each state.
- Require envelope upgrades prior to the installation of mechanical or appliance upgrades. See Program Recommendations for industry best-practices.
- Work with an aggregator to oversee modeled program implementation; however, all required project information including energy savings and rebates must be calculated and reported at the individual home level and may not be summed across a portfolio of homes.

In addition, States must:

- Monitor the energy savings reliability of models and tools.
- Take corrective action if actual savings results are less than 70% of estimated savings.
- Inform DOE if it will or will not require installation of envelope upgrades prior to mechanical systems or appliances, including a brief explanation of its rationale for either decision.

#### *3.2.4.1.1. Addressing Missing Data for 50121 Modeled Energy Savings*

Not every home will have conditions that allow for modeled savings consistent with the BPI-2400 calibration methodology. States may use alternative approaches in the following:

- Multifamily homes.
- A home with delivered fuels where the available delivered fuel consumption data do not meet the minimum criteria stated in section 3.3.1 of BPI-2400.
- Instances where addition of cooling load cannot be accurately accounted for in BPI-2400.
- A home with energy usage data of existing occupants less than 1 year.

In these limited circumstances, States may use any of the following approaches for calculating modeled energy savings:

- Ex ante estimates with a realization rate factor applied to align results with BPI-2400 at the portfolio level.
- A DOE-approved simplified modeling approach that:
  - Uses representative climate zone, weather, home characteristics, and actual average energy usage data, and
  - Applies a realization rate factor to align results with BPI-2400 at the portfolio level.

States may identify additional alternative approaches that provide savings estimates consistent with the estimates calculated through the BPI-2400 standard. In these cases, States may submit a request to DOE for an alternative method, if the State can show that the method produces savings estimates for program-eligible projects at the portfolio level within 10% of BPI-2400 modeled methods. Any requested methods must be approved by DOE.

For States applying one of these alternate approaches, a State must conduct an impact evaluation to assess and update the realization rate factor within the alternate approach on a representative sample of sites when either (whichever comes first):

1. At least 200 projects have been completed OR
2. 10% annually, or 20% cumulative, of the program-to-date modeled funds have been provided for projects using an exception.

Depending on the results, DOE may require additional program evaluations not more than once every two (2) years thereafter.

#### 3.2.4.2. Calculating Measured Energy Savings

Measured energy savings at each site must be calculated in a manner that:

- Uses open-source advanced M&V software as approved by DOE that includes capabilities for determining and documenting weather-normalized energy use of a home or portfolio of homes before and after the implementation of home energy upgrades.
- Estimates energy savings based on the data and information collected in the home assessment.
- Defines, calculates, and reports energy savings for the purposes of the rebate threshold as kWh or kWh equivalent as defined in Section 2.1.
- Identify and provide a justification for the factor applied in kWh equivalent. States may propose to use more than one factor for different baseline conditions. States may work with DOE to determine factors that are most appropriate for each state.
- Calculates actual home- or portfolio-level savings no less than 9 months after the final installation in the home or portfolio:
  - If measuring savings less than 12 months post-installation, calculation must include at least one peak energy season and both peak seasons if in a dual-peaking climate.
- Collects and reports the data and information required in the [Data & Tools Requirements Guide](#).
- Does not include generation technologies.

States may:

- Use an alternative factor (including a factor of 1) in calculating kWh equivalent savings. States are required to identify and provide a justification for the factor applied in kWh equivalent. States may propose to use more than one factor for different baseline conditions. States may work with DOE to determine factors that are most appropriate for each state.
- Require envelope upgrades prior to the installation of mechanical or appliance upgrades. See Program Recommendations for industry best-practices.

In addition, States must:

- Monitor the energy savings reliability of models and tools.
- Take corrective action if actual savings results are less than 70% of estimated savings.
- Inform DOE if will or will not require installation of envelope upgrades prior to mechanical systems or appliances, including a brief explanation of its rationale for either decision.

For measured energy savings projects, savings may be reported across a portfolio of homes to meet the minimum savings thresholds and when calculating corresponding rebates. When reporting projects for a portfolio of homes, States must:

- Meet the energy savings minimum across the portfolio.
- Report required data for each dwelling unit within the portfolio.
- Calculate the final rebate based on the payment rate (see Table 3) applied to the energy savings of each home and summed across the portfolio.

States must approve entities to serve as aggregators. The aggregator must comply with all program requirements. If aggregators are providing rebates based on estimated savings, the risk of recovering costs based on actual reported savings must be borne by the aggregator.

### *3.2.5. Program Requirements: Consumer Protection through Quality Assurance*

Consumer Protection through QA is an essential component of protecting consumers and providing the highest quality consumer experience. QA protects households by providing independent oversight of the work performed by participating contractors to ensure that it meets program standards. QA deals with systems that are designed to meet consumer expectations and ensure consumer satisfaction.

Given the central role of QA in the success of a Home Efficiency Rebates program, States must develop and implement a Consumer Protection Plan that includes QA features. The State's Consumer Protection Plan must meet the requirements listed in this section. The Consumer Protection Plan must be submitted to DOE for approval at least 60 days prior to the State's planned rebate program launch as part of the State's Implementation Blueprint. A State must implement the plan and be prepared to provide DOE with information regarding the State's monitoring, review, and revision of the plan based on program performance.

- The Consumer Protection Plan must be readily accessible (e.g., on the program's web site) to all program participants affected by it, including implementers, participating contractors, third-party inspectors, aggregators, homeowners, and building owners.
- Programs must execute agreements with participating retailers, distributors, and contractors in which the party agrees to comply with the QA plan and procedures.
- States must retain records related to their QA processes and permit access to DOE upon request.
- A State must review its Consumer Protection Plan at least every 2 years, adjust based on lessons learned, and communicate changes to contractors, aggregators, third-party inspectors, and DOE.

The State's Consumer Protection Plan must include the following elements:

#### **Consumer Feedback**

A system for collecting and responding to consumer feedback that:

- Allows households to file complaints, concerns, and issues directly to the implementer(s) (e.g., a consumer hotline and/or email).
- Contains procedures for addressing negative feedback, including how programs will communicate the feedback to affected contractors or aggregators.
- Includes a requirement that a consumer satisfaction survey be sent to the household at least 3 months and no more than 6 months after the project's completion date. At a

minimum, the survey must include the questions listed in Appendix B. States may add additional questions.

### Resolution Procedures

- A written conflict resolution procedure that documents how disputes will be resolved between homeowners and contractors, or aggregators. The procedure shall include protocols for a timely response, identification of responsible parties, documentation of corrective actions, results, and a means of identifying and addressing systemic issues.
- A remediation process to ensure that when deficiencies are detected through the inspection process these results are communicated to the responsible party and any remedial or punitive actions taken follow a pre-defined set of protocols, which must be described in the plan.
- A requirement to maintain records on QC inspections including sampling rates, findings, corrective actions taken, and verification of conformance to requirements.
- Contracts cannot contain mandatory arbitration clauses.
- Ensure inclusion of the holder-in-due course rule so consumer protections are not lost just because the contract is assigned to a 3<sup>rd</sup> party creditor.

### Data Review

- A requirement for the State to conduct data or file review of all projects that verifies at a minimum:
  - A process for confirming that auditing tools and modeling software have basic data validation controls on inputs to ensure data quality.
  - The home assessment gathered the data required listed in section 3.2.1.
  - The contracted scope of work was specified consistent with program requirements.
  - The address of the installation matches the address on the rebate coupon.
  - For low-income rebates, rebated amount aligns with verified income category.
  - The household was provided the certificate as specified in section 3.2.5.
- A requirement that program's implementers retain:
  - Post-installation photos of major upgrades for all homes.
  - Proof of combustion safety testing on fossil fuel equipment in all homes where fossil fuel systems have been impacted by the installation.
  - Proof of commissioning testing on HVAC equipment in all homes where HVAC systems are installed.
- A requirement to maintain records on QC inspections including sampling rates, findings, corrective actions taken, and verification of conformance to requirements.
- A description of the training or credentials of the personnel conducting the data/file review.

### Onsite Inspection

- A requirement to conduct independent onsite post-install inspections on a minimum of:
  - The first five projects of new contractors; and
  - Five percent of projects thereafter for each contractor (provided no issues are found)
- A description of the training, credentials, and/or qualifications that the State will require of independent inspectors, and identification of how these qualifications do/do not align with those included in a State's IRA Section 50123 Contractor Training Grants program.

- A documented onsite inspection protocol that shall include a minimum of:
  - A visual inspection of the site and work conditions.
  - Verification that the installed measures match the contracted scope of work and any change orders have been appropriately documented.
  - Verification that diagnostic test results are accurate (may be directly observed if the inspector is present at the time of testing or repeated by the inspector).
  - Ensures compliance with E-Sign or prohibits the use of electronic devices and signatures to enter into the contract if not E-Sign compliant<sup>43</sup>.

#### Virtual Inspections

States may elect to conduct virtual post-install inspections. If used, the plan must also include:

- A description of the methods used (e.g., video recording, interview with the site contact, photos taken during the virtual tour)
- A description of how installed equipment will be assessed
- A list of the additional information required, such as submitted project documentation (invoices, specification sheets, and calculation models)
- Requirements for qualifying virtual inspectors
- The tools and platforms that will be used for the virtual inspection
- A description of privacy agreements

If program participants decline virtual recording of their home, an onsite inspection must be used.

#### **Contractors and other partners**

A qualified contractor list is a required element of a State's Consumer Protection Plan. States must:

- Describe how the program will initially develop the qualified contractor list.
- Describe which qualification(s) that contractors will be held to, potentially including but not limited to home performance industry credentials, training requirements, business insurance and licensure, skills standards, and labor standards.
- Describe the process by which contractors will be added to the qualified contractor list, including how implementers will review and consider contractors trained under IRA 50123.
- Describe the conditions that would lead to a contractor being delisted and the process by which a contractor would be delisted.
- Describe how the State program will ensure energy savings are calculated using allowable methods according to the statute, including how approved tools/software will be identified, and how contractors will be alerted to these tools and trained on proper use.
- Describe how the State will educate contractors and building owners to invest in envelope improvements before investments are made in mechanical equipment.
- Make the qualified contractor list public and include a description of how consumers applying for rebates will be informed on how to use the list to access a qualified contractor.

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<sup>43</sup> A written copy (in the person's primary or secondary language) should be provided even if there is also an electronic contract.

## Installation

A State's Consumer Protection Plan must:

- Identify installation standards with which installers must comply, including at a minimum, standards designed to:
  - Ensure work complies with local and state laws, permits, codes, and industry standards.
  - Establish minimum quality installation standards for rebated technologies.
  - Promote use of standardized and sequenced procedures for developing a detailed project scope of work.
- Establish processes to enforce installation standards, including QA processes that allow the State to verify and document whether installation standards have been met.
- Ensure that sales language and contract language are the same.

If financing is involved:

- Ensure an ability to repay determination that does not include projected savings from an energy report because expected savings may not materialize due to household and market developments.
- Ensure a disclosure and cooling off period. Clear, written advance disclosures should be required, with a 7-day waiting period between the disclosure and the contract signing. This waiting period should only be removed in a personal emergency (see Truth in Lending Act rules on this), where the homeowner, in their own handwriting, describes the emergency and the need for the emergency work and their understanding that they are waiving the waiting period. In non-emergency circumstances, there should also be a 3-day right to cancel after the contract has been signed (such that the work is not done during that period).

## Continuous Improvement

A system for preventing unfair business practices and avoiding or addressing poor program function that does not optimize a consumer's experience. A State's Consumer Protection Plan must:

- Identify what proactive steps the State will take to identify fraud, waste, or abuse.
- How the State will implement automation to identify problem areas with program performance.
- Explain how the State will measure and evaluate the success of its QA systems.
- Describe how the QA systems will inform program improvements.
- Document roles and responsibilities associated with how the State will monitor the program's budget and financial performance to ensure that funds are being used efficiently and effectively.

Note that elements of the Consumer Protection Plan will require different processes for multifamily buildings than for single-family homes. States must distinguish in their plans which additional requirements will apply to multifamily buildings, including for central systems and for energy used by common areas.

### 3.2.6. Program Requirements: Post-Installation Certificate

States must provide a post-installation project certificate to the household that has been certified by a qualified third party to confirm quality monitoring and accurate valuation of the upgrade.<sup>44</sup>

States must ensure a certificate:

- Is completed and certified by a qualified third party.
- Is provided to the household.
- Details the work performed, equipment and materials installed, projected energy savings or energy generation to support accurate valuation of the upgrade.

States must establish guidelines to those issuing certificates to ensure that information provided is clear and incorporates DOE-required information in the certificate package prior to launch of its program.

### 3.2.7. Application Requirements: Consumer Experience

A State must address the following in its application and corresponding budget, except that a State may defer responses to its State Implementation Blueprint where marked with an “X” (deferral not permitted for Quick Starts.) All other requirements are mandatory within the State Application.

Table 5. Application Requirements

Program Requirements Section No.	Requirement	Implementation Blueprint Option
3.2.1	Confirm that the State will develop and submit an outreach and education strategy consistent with section 3.2.1	X
3.2.2	Describe the processes and procedures for conducting home assessments that meet program requirements.	X
3.2.2	Describe how home assessment data and results will be verified for accuracy.	X
3.2.2	Describe what processes will be put in place for home assessments for multifamily buildings, including for energy used by common areas.	X
3.2.3	Confirm that the State will develop and submit a Utility Data Access Plan consistent with the program requirements in Section 3.2.2.	X
3.2.4	Confirm if the State will implement the modeled path, measured path, or both.	

<sup>44</sup> 42 U.S.C. 18795(b)(4)(A).

Program Requirements Section No.	Requirement	Implementation Blueprint Option
3.2.4.1	Identify what factor the State will use to calculate kWh equivalent, consistent with section 3.2.4.1.	X
3.2.4.1	Describe the energy savings objectives and overall approach for estimating energy savings for the modeled program path (if applicable).	
3.2.4.1	Identify which upgrades may be included in the modeled savings estimate, including at least one major upgrade as defined in section 2.1, including a brief description of if the state will or will not require the installation of envelope prior to other upgrades (if applicable).	X
3.2.4.1	Identify which modeling tools the State proposes to authorize for its program. Identify whether any proposed tools have not yet received DOE approval (if applicable).	X
3.2.4.1	Describe how the State will monitor the energy savings reliability of models and tools for the modeled program path (if applicable).	X
3.2.4.1	<p>If the State plans to allow modeling for homes for which BPI-2400 is not applicable or that are not eligible for BPI-2400, request alternative modeled path(s) by:</p> <ul style="list-style-type: none"> <li>• Detailing for which exceptions the State plans to apply the alternative approach (e.g., multifamily, lack of delivered fuel bills, etc.)</li> <li>• Providing a detailed description of the method(s) that the State will use to estimate energy savings for each exception and how the State will ensure consistency between the alternative method and the results of BPI-2400 such as a realization rate adjustment to be used in reported savings estimates.</li> <li>• Commit to carrying out evaluations upon thresholds listed in section 3.2.3.1.</li> <li>• Describe how the State will use any evaluation results or new information to update and adjust its alternate savings modeling method.</li> </ul>	X
3.2.4.1	For multifamily, describe the methods used for modeling energy savings for multifamily buildings, including energy used in common areas (if applicable).	X

Program Requirements Section No.	Requirement	Implementation Blueprint Option
3.2.4.2	Describe the energy savings objectives and overall approach for estimating and measuring energy savings at the home and portfolio of homes (if applicable).	
3.2.4.2	Identify what factor the State will use to calculate kWh equivalent, consistent with section 3.2.4.2.	X
3.2.4.2	Identify what open-source advanced M&V software(s) the State requests to use and confirm that each meets program requirements for the measured path (if applicable).	X
3.2.4.2	Describe how the State will monitor and ensure that aggregator portfolios meet the program requirements and minimum savings thresholds for the measured program path (if applicable).	X
3.2.4.2	If measuring energy savings within a period of less than 12 months, describe how the State will define and enforce the inclusion of peak seasons.	X
3.2.4.2	Describe the State's processes for measuring savings for multifamily buildings, including for energy used by common areas (if applicable).	X
3.2.5	Certify that the State will prepare and implement a Consumer Protection Plan in accordance with these requirements and that the State rebate program will not launch until receiving DOE approval.	
3.2.6	Describe how each of the certification requirements will be met for single-family homes.	X
3.2.6	Describe how each of the certification requirements will be met for multifamily buildings.	X
3.2.6	Identify which third-party certificate(s) the State program will offer to homeowners that receive a rebated home energy upgrade.	X

### 3.3. Maximizing Rebate Impact

#### 3.3.1. Program Requirements: Supporting the Clean Energy Economy Through Market Transformation

The Home Efficiency Rebates provide a tremendous opportunity to serve households while acting as a catalyst to unlock additional flows of capital, skilled workers, innovative businesses, and future programs to deploying clean energy technology solutions in housing. With the goal of spurring greater market transformation in the residential energy sector, States must consider how their programs will stimulate additional and continued investment in residential energy upgrades beyond the tenure of the rebates.

To ensure that the State program facilitates market transformation, each State must submit a Market Transformation Plan within the first year after receiving the financial assistance award. DOE must review and approve the Market Transformation Plan prior to the State receiving the third tranche of funds. A Market Transformation Plan must:

- Describe how the State program will enable the market to recognize the value of homes that have been upgraded through the Home Energy Rebates, including at time of sale/rental. At a minimum, the plan must include a strategy for aggregating home data from the home assessment (as described in 3.2.1) and/or home certification (as described in section 3.2.5) and making such data available to real estate stakeholders.
- Describe elements of the program design and/or activities the State program will undertake to support the following goals throughout the program as well as after depletion of the Home Efficiency Rebates funds:
  - Cost sharing, braiding, and/or coordinated financing with potential funders and financiers of home energy upgrades. Funders and financiers of upgrades include homeowners, lenders of home upgrade loans, mortgage brokers, utilities, and philanthropies.
  - Utilize rebate programs to enable new business models in partnership with private capital to monetize grid benefits through vehicles such as Federal Energy Regulatory Commission (FERC) order 2222, demand management, and virtual power plants.
  - Consider sustainable business models of home energy contractors.

#### 3.3.2. Program Requirements: Integrating with Other Programs

By leveraging existing programs through resource braiding, co-funding, and financing, State programs may support deeper and broader energy, cost, and carbon savings among participating households. While following all home energy rebates requirements, States are **strongly encouraged** to design their rebate programs in ways that allow for effective combinations of various funding sources, including through integration with existing programs. However, a variety of legal prohibitions prevent certain methods of combining funds from different sources.

Effective financial leveraging must comply with two prohibitions:

1. The total combination of all immediate upfront funding sources (Federal grants, Federal loans, and non-Federal funding) cannot exceed the total project cost, and

2. Neither the Home Efficiency Rebates nor the Home Electrification and Appliance Rebates may be combined with other Federal grants or rebates for the same single upgrade or qualified electrification project that receives rebate funds from Section 50122, respectively.<sup>45</sup>

There are four categories of funding that can be combined with a rebate, each with different requirements:

- **Combining a rebate with other Federal rebates or grants:** No other Federal grants, including another IRA home energy rebate, can be used for the same upgrade. Home energy upgrade packages that use multiple Federal grants must braid the funding in a manner that ensures each Federal grant only funds distinct, separable upgrades.  
To ensure compliance with this requirement, States must track uptake of each rebate program by dwelling unit/building and technology installed to verify rebates are not being improperly combined. States must ensure that detailed invoices and information identifying which distinct and separable upgrades were funded by which Federal sources are collected and retained when a home/building is using funding from multiple Federal grants. Each upgrade component must be a line item on the invoice of the home energy upgrade package with subdivided labor costs associated with each line item.
- **Combining a rebate with Federal loans or loans from previously granted Federal funds:** Loan programs from Federal agencies (such as loans from HUD) and loans from previously granted Federal funds (such as from the DOE Revolving Loan Fund grants or U.S. Environmental Protection Agency Greenhouse Gas Reduction Fund grants) are not considered Federal grants in that the recipient household receives these programs as financial products rather than as grants or rebates. Therefore, these programs may be used to finance any remaining costs for upgrades and individual components of qualified electrification and energy efficiency projects additional to and separate from the value of the rebate.
- **Combining a rebate with non-Federal funding:** Non-Federal funding, such as funding authorized by a state government, or local government, or available through a utility program or philanthropic support, can be used to co-fund any remaining costs for upgrades and individual components of qualified electrification projects beyond the value of the Federal rebate. DOE is intending to work with EPA to add state rebates to their EnergyStar rebate finder tool in the coming months. States are encouraged to coordinate with DOE and EPA as rebates are being developed. For states utilizing DOE reporting tools, rebate information will be provided directly to EPA.
- **Taxability of Home Energy Rebates:** The rebate programs funded through IRA Sections 50121 and 50122 will be treated as a reduction in the purchase price or cost of property

Attempts to claim multiple Federal rebates for the same single upgrade is a violation of Federal law and must be reported to DOE.

Issuance of multiple Federal rebates for the same single upgrade is a violation of Federal law and must be reported to DOE upon discovery and documented in the State's quarterly reporting documents.

<sup>45</sup> See 42 U.S.C. 18795(c)(7) and 18795a(c)(8).

for eligible upgrades and projects, and the consumer that receives an IRA rebate will not be required to report the value of the rebate as income.

**Stacking Tax Credits with Home Energy Rebates.** Consumers that receive IRA rebates for products that may be eligible for the 25C tax credit may claim the credit after reducing the amount of the expenditure on which the consumer calculates the amount of the credit by the rebate. For example, if a product is eligible for an IRA Section 50122 rebate and 25C tax credit up to 30% of the cost, the consumer may claim a tax credit of up to 30% of the cost remaining to the consumer after application of the rebate provided through IRA Section 50122. Therefore, if a consumer purchases an eligible product for \$400 and receives a \$100 rebate for this purchase, the consumer may claim a 30% credit of the remaining \$300, or \$90.

States must collect sufficient documentation for each home energy upgrade that combines a rebate with other funding sources to ensure that the total combination of Federal, State, and other funding sources (Federal grants, Federal loans, and non-Federal funding) does not exceed the total project cost.

States should also be aware that the above requirements and guidance may not capture restrictions or requirements imposed by other funding programs. For allowable integration, all funding sources—Federal and/or non-Federal—must allow for combining of resources. Other funding sources, including certain Federal loans, tax credits, and State/local/utility funding, may have additional restrictions on directly combining funds for the same single upgrade that is part of a larger home energy upgrade. Project implementers and State program administrators should consult the program requirements for non-Federal funding sources to ensure that they are combining funds in a legally allowable manner.

### *3.3.3. Program Requirements: Quick Starts*

A State may apply for up to 25% of its allocated funds to develop a Quick Start State program. DOE will prioritize processing of applications identified for a Quick Start. To qualify as a Quick Start program, the State must note at the beginning of its application the request for a Quick Start, and the State must plan to achieve rebate program launch in 2023. A State Application for a Quick Start must include responses to all “Application Requirements” (cannot defer to Implementation Blueprint); however, the required plans may be submitted prior to rebate program launch as part of the Implementation Blueprint<sup>46</sup>. All rebate program requirements (except low-income and low-income multifamily allocations) will apply to Quick Start programs, and a conforming State Application is required. A State is not required to reserve rebate funds for low-income and low-income multifamily households (see section 3.1.3) as part of a Quick Start program; however, a State must meet the low-income and low-income multifamily household allocations for the State’s total formula allocation.

Prior to January 31, 2025, a State must either (a) request additional funding from its total formula allocation to continue its approved Quick Start program or (b) submit an application to DOE to administer a program operating under a different plan; otherwise, the remaining formula allocation will be considered rejected by the State and redistributed to other State Energy Offices in accordance with 42 U.S.C. 18795(a)(2)(B).

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<sup>46</sup> Consistent with Section 1.2, Quick Start programs may also submit a Market Transformation Plan up to 1 year after award date.

One option for a Quick Start program is to develop a program which leverages existing program infrastructure in the State to achieve more rapid rebate program launch. Where consistent with Section 50121 program requirements, States have the discretion to limit the scope to target specific populations, policy goals, or other State priorities to achieve more rapid rebate delivery. The application must identify the existing program(s) to be leveraged and must include a timeline to achieve rebate program launch in 2023. The use of an existing State program may allow a participating State to stand-up Home Efficiency Rebates more quickly relative to developing a new program. For example, a State may rely on practices, policies, procedures and / or systems already in place to implement Home Efficiency Rebates State programs that are consistent with design requirements for Section 50121. States may reference or include information regarding existing programs as part of the application to demonstrate compliance with the requirements.

Another option for a Quick Start program is for a State to pilot a rebate program before committing the State’s entire funding allocation to a particular program design. Where consistent with Section 50121 program requirements, States have the discretion to limit the scope to target specific populations, policy goals, or other State priorities to develop effective, human-centered program designs.

**3.3.4. Application Requirements to Maximize Rebate Impact**

A State must address the following in its application and corresponding budget, except that a State may defer responses to its State Implementation Blueprint where marked with an “X” (deferral not permitted for Quick Starts). All other requirements are mandatory within the State Application.

Table 6. Applications Requirements

Program Requirements Section No.	Requirement	Implementation Blueprint Option
3.3.1	Certify that the State will prepare and implement a Market Transformation Plan within the first year after receiving the financial assistance award.	
3.3.2	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: <ul style="list-style-type: none"> <li>• Integration into existing program administration, website, systems, materials.</li> <li>• Adoption of existing program standards, QA, workforce standards, or other practices.</li> </ul>	



Program Requirements Section No.	Requirement	Implementation Blueprint Option
	<ul style="list-style-type: none"> <li>• Braiding or co-funding of upgrades within individual households.</li> <li>• Other integration elements, as applicable.</li> </ul>	
3.3.2	Describe how the State program will support households, contractors, aggregators, and other stakeholders in understanding how the State program may leverage other program resources.	X
3.3.2	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.	X
3.3.2	Describe how the State program will support contractors and retailers in preparing acceptable invoices that may be kept as program records.	X
3.3.2	Describe how the State implementer(s) will produce invoice 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.	X
3.3.2	Describe how the State will ensure rebate recipients will be made aware of the portion of the funding received from the DOE Home Efficiency Rebates.	X
3.3.3	Identify whether the application is for a Quick Start program. For Quick Start programs, identify the timeline for program launch.	

## 4.0 Home Electrification and Appliance Rebates State Programs (50122)

This section of the document provides program requirements for the Home Electrification and Appliance Rebates (IRA Section 50122).

### 4.1. Use of Funds and Rebate Eligibility

#### 4.1.1. Program Requirements: Use of Funds

Administrative funds<sup>47</sup> as defined in Section 2.0 must not exceed 20% of the total grant funding over the total duration of the program, which will end when all funds are expended by the State or September 30, 2031, whichever occurs sooner.<sup>48</sup>

Administering and implementing whole-home efficiency projects is complex, high-touch and often involves overhead costs greater than 20% of a program budget. These are costs directly related to a project that are 1) not generally recognized as administrative and 2) also not included in the rebate to recipients. For example, these could include costs for home assessments and energy audits, modeling, verifying income eligibility, project QA and project-related reporting conducted by the contractor.<sup>49</sup>

States may request to use a portion of rebate funds for these project-related costs; however, additional funds for project-related costs should only be requested after all other opportunities to reduce costs or apply alternative funding sources have been applied; DOE cannot approve use of funds for administrative costs above the 20% statutory cap. For example, utilities, third-party organizations, or agencies may provide funding for home energy audits. DOE will provide assistance to states specifically in support of identifying program implementation cost reductions.

States must provide an additional detailed description and justification within the budget justification workbook, including how states have worked to minimize this amount. This will be evaluated by DOE and a determination of allowability will be given as part of the award.

States must budget for, track, and report quarterly to DOE on spending of funds across administration and rebate categories as part of award monitoring. See [ALRD](#), Part V.

#### 4.1.2. Program Requirements: Rebate Conditions and Levels

For the purposes of calculating rebate amounts for Home Electrification and Appliance Rebates State programs, 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.

Home Electrification and Appliance Rebates State programs must meet all the following requirements:

- A rebate may be paid only for the purchase and installation of a product meeting the requirements for allowable products and services. (See section 4.2.1.)

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<sup>47</sup> Includes awarded administrative funds through Home Energy Rebate Programs Early Administrative Funds ALRD, as applicable.

<sup>48</sup> Section 50122 states that a “State energy office that receives a grant under the program shall use not more than 20 percent of the grant amount for planning, administration, or technical assistance” related to the Home Electrification and Appliance Rebates. 42 U.S.C. 18795a(c)(9).

<sup>49</sup> See definition of Rebate Funds in Section 2.0.

- A rebate may be paid only for a qualified electrification project (QEP) initiated after the State receives authorization from DOE for rebate program launch.
- A rebate must not exceed the product-specific maximum rebate amounts consistent with those in Table 7.
- A rebate must not exceed the rebate limits based on 1) eligible entities, 2) income level, and 3) project cost consistent with Table 7.
- Each dwelling unit is eligible to receive a rebate for any given qualified product only once.
- A dwelling unit may receive a rebate for only one of the following products: electric stove, cooktop, range, or oven.
- An eligible entity representative must deduct the total eligible rebate amount from the total project cost prior to calculating the final cost to the eligible entity; the total project cost, rebates applied, and remaining project cost documentation must be provided to both the eligible entity and building owner, if different.
- Rebates paid must not exceed a collective total of:
  - \$14,000 for a dwelling unit, if the eligible entity is a LMI household
  - \$14,000 per LMI dwelling unit in a multifamily building, if the eligible entity is a multifamily building owner
  - \$14,000 per dwelling unit for eligible entity representatives representing individual LMI households
  - \$14,000 per LMI dwelling unit in a multifamily building for eligible entity representatives representing multifamily building owner(s). For mixed-use buildings where the State has defined the residential portion of the building as a multifamily building, upgrades can only be applied for the residential portion (including in unit and common areas) of the building. For central systems that serve both residential and commercial spaces, rebates must be allocated in proportion to the residential units relative to the commercial space. Retain a copy of the invoice for work performed at the eligible address. The invoice must show the specific work performed, the address where the work was performed, the name and contact information for the contractor(s) performing the work, the dates on which the work was performed, the total project cost prior to the rebate, and the rebate amount. Additional requirements apply if the work is being funded by rebates from more than one source. See section 4.3.2.
- All rebate limitations apply for the duration of the rebate program.

Table 7. 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 or Cooling	\$8,000
	Electric Stove, Cooktop, Range, Oven, or Heat Pump Clothes Dryer	\$840
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
LMI Household or Eligible entity representative representing LMI household	Less than 80% AMI	100% of qualified project cost
	80%-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

#### 4.1.2.1. Special Considerations for Multifamily Buildings

Multiple parties may be eligible for claiming a rebate in a multifamily building. Although States are encouraged to facilitate various types of eligible rebate recipients’ access to Home Electrification and Appliance Rebates, States must also ensure that no unit receives rebates in excess of the statutory maximum rebate amount.

In a multifamily building, an individual household may claim a rebate for their dwelling unit. Alternatively, the owner of a LMI multifamily building may claim a rebate for multiple dwelling units within the building. A third possibility is for an eligible entity representative to assist multiple households within a multifamily building or the building owner in claiming household rebates.

Rebates may be used to fund central systems and upgrades for common areas if rebates are claimed by a multifamily building owner or by multiple households via an eligible entity representative only if the central system and/or upgrades benefit individual dwelling units in addition to a common area.

In the case of rebates claimed by an eligible entity representative on behalf of multiple households, the per-household maximum limits can be combined. For example, 10 low-income households claiming a rebate through an eligible entity representative could combine their heat pump allocations of \$8,000 each to provide \$80,000 for a central heat pump system, such as an ENERGY STAR-certified variable refrigerant flow central heat pump system, that provides space conditioning for individual dwelling units and common areas.

#### *4.1.3. Program Requirements: Low-Income Households*

Low-income households are important populations for the Home Electrification and Appliance Rebates. IRA Section 50122 rebates can provide up to the full cost of the improvement for low-income households (defined as below 80% AMI).<sup>50</sup> Although the Home Electrification and Appliance Rebates are dedicated to low- and middle-income households, Congress's explicit direction to provide up to the full cost of the improvement to the lowest income households demonstrates the importance of ensuring low-income households and communities have access to rebates as an integral part of a Home Electrification and Appliance Rebates program's design.

Structural barriers have historically prevented low-income households from benefitting from rebate programs. Previous evaluations have shown that existing energy efficiency programs have not served low-income households equitably without reserved funding, with only 13% of residential energy efficiency program funds going to low-income households, well below the presence of low-income households in the markets for these programs.<sup>51</sup>

In addition to low-income households receiving distinct treatment in Home Electrification and Appliance Rebates, multifamily buildings are identified as a building type intended to be served by the programs. Low-income multifamily buildings are also eligible for double the benefits of moderate-income multifamily buildings.<sup>52</sup> Delivering upgrades for low-income multifamily buildings alongside critical periods of recapitalization or refinance requires a significantly longer planning, design, and construction process than energy upgrades for single-family homes. Historically, the multifamily sector has been significantly underrepresented in energy efficiency program accomplishments.<sup>53</sup>

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<sup>50</sup> Compare 42 U.S.C. 18795a(c)(4)(A)(ii) with 42 U.S.C. 18795a(c)(4)(A)(i).

<sup>51</sup> "Meeting the Challenge: A review of Energy Efficiency Program Offerings for Low-Income Households" by the American Council for an Energy-Efficient Economy. Available at <https://www.aceee.org/research-report/u2205>.

<sup>52</sup> Compare 42 U.S.C. 18795a(c)(4)(B)(ii) with 42 U.S.C. 18795a(c)(4)(B)(i).

<sup>53</sup> "More Savings for More Residents: Progress in Multifamily Housing Energy Efficiency" by the American Council for an Energy Efficient Economy. Available at <https://www.aceee.org/sites/default/files/publications/researchreports/u1702.pdf>

To ensure low-income single-family and multifamily homes are served through the State Home Electrification and Appliance Rebate programs, States must reserve a portion of their rebate funding to serve these households. Specifically, **at a minimum**, each State must:

- Allocate a percentage of its rebate funding for each of the rebate programs in line with its percentage of low-income households. Nationally, approximately 40.3% of U.S. households are eligible for rebates as low-income households. Appendix A contains information on the percentage of low-income households for each State and the associated dollar amount that must be reserved to serve low-income households in each State.
- Reserve at least 10% of its rebate funding to serve low-income multifamily buildings. This allocation must be additional to and separate from the allocation for low-income households. The table in Appendix A contains the dollar amount of the 10% minimum allocation of rebate funding that must be reserved to serve low-income multifamily buildings in each State.
- Design each rebate program to be capable of delivering the rebate allocations to low-income single-family and multifamily households. States must ensure that their program implementers make a focused effort to deliver the volume of projects to low-income households needed to spend this rebate allocation.
- If a State has failed to disburse the rebate funds allocated to low-income households within five years of receipt of approval of its full rebate program by DOE, it may request that DOE authorize the State to reallocate those funds to households at other income levels under terms consistent with the statute. DOE will reallocate the funds upon a demonstration of the State's good faith efforts at distributing its low-income rebate allocation.
- Not prior to 2029, if a State has failed to disburse the rebate funds allocated to low-income multifamily households and has less than 10% of unallocated rebate funds remaining, it may request that DOE authorize the State to reallocate those funds under terms consistent with the statute. DOE will reallocate the funds upon a demonstration of the State's good faith efforts at distributing its low-income multifamily rebate allocation.
- Verify that (a) a participating single-family household's income is less than 80% AMI<sup>54</sup>, and (b) a participating multifamily building has at least 50% of households with incomes less than 80% AMI. Income must be verified at the household level (e.g., income cannot be "estimated" for a building based on demographic information). See 4.1.6 for verification requirements.
- Allow categorical eligibility determinations based on other Federal programs that meet the income thresholds, as listed in the supplemental document, [Programs Pre-Approved for Categorical Eligibility](#) or in other state-proposed programs approved by DOE.

For dwelling units occupied by renters, procedures for rental units shall ensure that:

- If rebates are directly requested by renters, written permission from the building owner (or another entity authorized to act on behalf of the building owner) for the home efficiency

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<sup>54</sup> 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; however, due to impacts of the COVID-19 pandemic on data collection, HUD released its 2023 income limits in May 2023.

project must be obtained before commencing work. This applies to the following measures:

- Electric heat pump for space heating and cooling
- Electric heat pump water heater
- Insulation
- Electric load service center
- Electric wiring
- Mechanical ventilation
- Rebates are associated with the address of the dwelling unit and the specific type of upgrade. Equipment and appliances must remain with the unit and cannot be installed in another unit or taken by a tenant when they move.
- For low-income dwelling units occupied by renters, for at least two years following the receipt of the rebates:
  - The owner agrees to rent the dwelling unit to a low-income tenant. This is a minimum requirement and affordability requirements should be commensurate with total rebate amount awarded.
  - 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 two years of receipt of the rebates, the aforementioned conditions apply to the new owner and must be part of the purchase agreement.
  - In the event the owner does not comply, the owner must refund the rebate.
- A specific and verifiable mechanism (e.g., addendum to the lease) is in place for providing tenants with written notice of their rights and their building owner's obligations.
- Enforcement and penalties are clear and sufficient to act as a deterrent for owner violations and provide for damages and attorney's fees recoverable by tenants.

Income verification is a critical element of program implementation. DOE, in collaboration with the National Association of State Energy Officials (NASEO), will work with the States to assist in developing effective methods for carrying out this requirement and provide examples of acceptable methods. As part of this assistance, DOE will provide sample frameworks to help States work through the various steps of income verification and other processes involved in implementing rebate programs.

As noted in the section on income verification, States are encouraged to allow applicants to establish their eligibility through a variety of means, including categorical eligibility (enrollment in recognized low-income programs), documentation of income, and self-attestation.

#### *4.1.4. Program Requirements: Community Benefits Plan*

To support program goals, the Home Electrification and Appliance Rebates are expected to (1) support meaningful community and labor engagement; (2) engage and support a skilled and qualified workforce; (3) advance DEIA; and (4) contribute to the Justice40 Initiative with the goal that 40% of the overall benefits of certain Federal investments flow to disadvantaged

communities.<sup>55</sup> To ensure these goals are met, States must create a Community Benefits Plan that describes how their home electrification rebates program will incorporate the four objectives stated above.

The State's Community Benefits Plan must include at least one SMART milestone per calendar year to measure progress on the proposed actions. The State must make the plan, milestones, and progress toward them accessible on a public website. The Community Benefits Plan must be submitted and approved by DOE prior to rebate program launch, and the recipient must implement its Community Benefits Plan when carrying out its project.

The Community Benefits Plan must address the following:

**1. Engage Community and Labor:** The Community Benefits Plan must describe the grantee's actions to date and plans to engage with community partners, such as local and/or Tribal governments, labor unions, and community-based organizations that support or work with underserved communities, including disadvantaged communities as defined for by CEJST. By facilitating community input, social buy-in, and accountability, such engagement can improve and accelerate participation and positive project outcomes.

Community and labor engagement can lay the groundwork for formal partnerships with community and workforce partners to support administration and implementation of the rebate programs. A State must:

- Hold at least one public input session to solicit community input on its proposed deployment plans. Ideally, these meetings will take place after this Home Energy Rebates requirements document and ALRD is released by DOE; however, a State may request waiver of this provision upon a demonstration that the public input sessions elicited meaningful input for the State program design.
- Use the input from these engagement sessions to inform the design of its rebate program, and it must describe how this input was used in its program design.
- Explain how it will solicit and respond to community feedback throughout the duration of its rebate program.
- Describe what community engagement and outreach strategies it will utilize to reach contractor and workforce organizations, disadvantaged communities, low-income households, and other marginalized groups.

States are strongly encouraged to establish partnerships with and provide funding to community-based organizations, labor unions, contractor organization, utilities, existing program implementers, and other organizations that represent or work with underserved households to reach and engage with these communities effectively over the life of the program. Administrative funds allocated to the State may be used to support these actions. Grantees should also provide Community and Labor Partnership Documentation from representative organizations reflecting substantive engagement and feedback on the grantee's approach to community benefits, including engaging and supporting a skilled and qualified workforce; DEIA; and the Justice40 Initiative detailed below.

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<sup>55</sup> The Justice40 initiative, established by E.O. 14008, sets a goal that 40% of the overall benefits of certain federal investments flow to disadvantaged communities. The Justice40 Interim Guidance provides a broad definition of disadvantaged communities (page 2): [M-23-09 \(whitehouse.gov\)](https://www.whitehouse.gov/presidential-action/justice40-interim-guidance/).

**2. Engage and Support a Skilled and Qualified Workforce:** A well-qualified, skilled, trained, and stable workforce is necessary to meet home electrification rebate program goals. High-quality jobs are critical to attracting and retaining the qualified workforce required to implement high-quality home energy upgrades.

The Community Benefits Plan must describe the State’s approach to working with responsible contractors who invest in ongoing workforce education and training and ensuring jobs are of sufficient quality to attract and retain skilled workers in the home energy upgrade industry. If a State is not also applying for a grant from the IRA Section 50123 Contractor Training Grants ALRD, the State must describe how it is supporting education and training of both new and incumbent workers to meet the needs of the Home Electrification and Appliance Rebates.

As the 1935 National Labor Relations Act states, employees’ ability to organize, bargain collectively, and participate, through labor organizations of their choosing, in decisions that affect them contributes to the effective conduct of business and facilitates amicable settlements of any potential disputes between employees and employers, providing assurances of project efficiency, continuity, and multiple public benefits. A State should provide a description of how it plans to affirmatively support worker organizing and collective bargaining. This might include screening eligible contractors based on commitments from home energy upgrade contractors to remain neutral during any union organizing campaigns, invest in workforce and education through joint labor-management training programs, supports for the development of a resilient, skilled, and stable workforce including by utilizing registered apprentices on projects and paying at or above the local prevailing wages, and other commitments or pledges.

**3. Incorporate Diversity, Equity, Inclusion and Accessibility (DEIA):** The Community Benefits Plan must include a section describing how DEIA objectives will be incorporated into the overall program. The section should detail how the State will partner with underrepresented businesses and training organizations that serve workers who face barriers to accessing quality jobs and/or other project partners to help address DEIA.

The following is a list of potential DEIA actions that could be included in a plan. This list is offered to provide guidance to States and is not intended to be comprehensive:

- Commit to partnering with Minority Business Enterprises, minority-owned businesses, women-owned businesses, and veteran-owned businesses for delivering home energy upgrades funded by rebates or for home energy upgrade contractor support needs.
- To fill open positions for home electrification jobs utilizing home electrification rebates, partner with workforce training organizations serving underrepresented communities and those facing systemic barriers to quality employment, such as those with disabilities, women, returning citizens, opportunity youth, and veterans.
- Partner with organizations who can provide workers with comprehensive support services, such as childcare, mentoring, and transportation, to increase representation and access in home electrification and construction jobs.

**4. Address Justice40 Initiative:** A State must provide an overview of benefits to disadvantaged communities that the home electrification rebates can deliver, supported by measurable milestones. The Justice40 Initiative section of the Community Benefits Plan must include:

**A. A State’s definition of disadvantaged communities.** In accordance with the U.S. Office of Management and Budget (OMB) guidance M-23-09,<sup>56</sup> a disadvantaged community is a disadvantaged area identified by CEJST.<sup>57</sup> With DOE approval, a State may adopt an alternate definition for a disadvantaged community. To receive DOE approval of an alternative disadvantaged community definition, (1) the state definition must incorporate two or more enumerated indicators (see section 4.1.8) in identifying disadvantaged communities, (2) the state definition must conform to the definition of communities established in [OMB Memorandum M-21-28](#), and (3) the communities meeting the state definition must be mapped or the State must develop its own GIS layer that can identify households that qualify as fitting under its disadvantaged community definition. DOE may request that a State conduct comparative analysis to show how its proposed definition compares with areas identified by CEJST. A State may develop its own web-based tool or work with DOE to integrate this GIS layer into the tools provided by DOE; developing this new tool is an allowable administrative cost.

If a State uses the DOE default definition for a disadvantaged community, contractors and other interested parties can use CEJST mapping tool or another federally provided web-based tool to determine whether a home is located in a disadvantaged community. If a State uses a state-specific definition for a disadvantaged community, either the DOE tool or a state-provided tool will provide contractors and other interested parties the ability to determine whether a home is located in a disadvantaged community. Note that DOE plans to provide a rebate coupon reservation system, which will note whether the address qualifies for an incentive when the reservation is created.

**B. A State’s method of encouraging delivery of home electrification rebates to disadvantaged communities.** Each State must include system(s) to track engagement of eligible entity representatives such as governmental, commercial or nonprofits providing rebate program assistance to households in disadvantaged communities. A State program may provide an eligible entity representative up to \$200 for each dwelling unit located in a disadvantaged community upon completion and verification of the installation. A State program must use the identified disadvantaged community definition (either the DOE default or the DOE-approved state definition) to apply any incentive available for work performed in a disadvantaged community.

**C. A description of how States will ensure that applicable benefits flow to disadvantaged communities.** A State must specifically identify the how its home electrification rebate program will deliver direct benefits for low-income households in CEJST-identified areas (or its DOE-approved alternative definition of a disadvantaged community), such as how upgrades will reduce utility bills and improve indoor air quality. A State should also discuss how its home electrification rebate program will create high-quality jobs for members of disadvantaged communities.

At a minimum, this plan must describe actions a State will take to ensure that disadvantaged communities receive the following benefits of the rebate programs:

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<sup>56</sup> “Addendum to the Interim Implementation Guidance for the Justice40 Initiative, M-21-28, on using the Climate and Economic Justice Screening Tool (CEJST).” Available at M-23-09 (whitehouse.gov).

<sup>57</sup> The Climate and Environmental Justice Screening Tool (CEJST) is available at <https://screeningtool.geoplatform.gov/en/#3/33.47/-97.5>.

- Direct benefits, including the energy upgrade projects completed via rebate investments and the associated energy savings, cost savings, pollution reduction, and other health and safety benefits.
- Economic benefits, including the jobs and quality of jobs supported by rebate investments and the contracts and economic activity enabled by rebates.

In describing the flow of benefits, a State may reference the use of minimum allocations, such as the low-income minimum allocations required within section 4.1.3. However, a State should be aware that not all low-income households fit the geographic definition of a disadvantaged community.

#### *4.1.5. Program Requirements: Processing and Delivering Rebate Funds to Eligible Rebate Recipients*

To help ensure appropriate use and processing of Home Electrification and Appliance Rebates, States must take the following actions:

- Create systems and materials to facilitate Home Electrification and Appliance Rebates State program participants in carrying out all the requirements listed in this section and the [Data & Tools Requirements Guide](#).
- Use APIs or DOE-provided spreadsheets to link relevant State systems to federally provided infrastructure as described in the [Data & Tools Requirements Guide](#).
- Inform all potential State program participants of the process for accessing rebates, including how to access national system(s) as required by DOE.
- Adhere to all requirements included those in the accompanying [Data & Tools Requirements Guide](#), including documentation of installed improvements.
- Ensure that rebates will be provided at point of sale and/or as part of an invoice.
- Process all rebate requests within four (4) weeks of receipt of an eligible rebate application.

#### *4.1.6. Program Requirements: Verify Income Eligibility*

Home Electrification and Appliance Rebates funds are only available based on income eligibility. Therefore, a State must:

- Provide and enforce use of an acceptable method to verify that a participating household's income is less than 80% AMI;<sup>58</sup> a participating household's income is less than 150% AMI but greater than or equal to 80% AMI; a participating multifamily building has at least 50% of households with incomes less than 80% AMI; a participating multifamily building has at least 50% of households with incomes less than 150% AMI (but not less than 80% AMI).
- Allow categorical eligibility determinations based on other Federal programs that meet the required income thresholds, as listed in the [Federal Programs Approved for Categorical Eligibility](#) document, as well as other state-approved programs approved by DOE.

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<sup>58</sup> 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; however, due to impacts of the COVID-19 pandemic on data collection, HUD will not release its 2023 income limits until May 2023.

- Apply (and make available to claimants) up-to-date AMI data listed by DOE through an API or hotlink.

#### 4.1.7. Program Requirements: Data Collection and Evaluation

This section covers a variety of data requirements. Section 4.1.7.1 addresses requirements associated with data protection and standards, including data transmission, security, privacy, retention, and sharing. Section 4.1.7.2 provides general information regarding the types of metrics for which DOE plans to require reporting. Reporting requirements will be identified on the FARC attached to the award agreement. Section 4.1.7.3 addresses data collection requirements related to program evaluation. DOE also expects State programs to collect information needed to administer their rebate programs and to assist with program monitoring. Finally, DOE recognizes that States will need to collect additional information for program implementation. All data collection and reporting requirements, including API requirements, will be delineated in the [Data & Tools Requirements Guide](#). Requirements and recommendations pertaining to data access and sharing of utility energy consumption information is provided in the [Utility Data Access Guidelines](#).

##### 4.1.7.1. Data Protection and Data Standards

The following program requirements apply to documents, data, and other information collected by States using Federal funds to implement and administer the Home Energy Rebates, regardless of when or how that information may be shared with DOE.

To facilitate program data sharing, program audits, and program evaluations, State programs must collect household information as required in the [Data & Tools Requirements Guide](#). For home energy assessment data required to be submitted to DOE, data for all applicable building types (single-family and small multifamily) must be consistent with the [HPXML Data Dictionary v3 or subsequent versions](#), and program systems must be capable of sharing the data using the [HPXML Transfer Standard \(BPI-2100\) or subsequent versions](#). Home energy assessment data for large multifamily buildings must be consistent with [BuildingSync](#). All other data must be collected in the format appropriate to be shared with the DOE central database. Data that States must collect but that is not required to be submitted to DOE must be retained and accessible upon request by DOE for purposes of compliance and evaluation.

Data collection and data sharing must be secure to protect consumer privacy. Each State must comply with its own State legal obligations regarding security and privacy. To ensure States are addressing data security and privacy, at a minimum, implementers must implement risk-based security controls, which must include documentation of a privacy and security risk assessment, rationale for categorizing the system, method for determining the risk impacts, and risks associated with data sharing. A copy of the privacy and risk assessment of State systems must be provided to DOE at least 60 days prior to planned rebate program launch. DOE will review and approve the deliverable prior to providing the State approval for rebate program launch.

Security and privacy controls must be reviewed by an independent third party at least once every 3 years. Implementers must have documented processes in place to monitor and address issues in a timely fashion. DOE may request copies of risk assessments, documentation from independent reviews, and/or documentation of risk or threat mitigation measures at any time.

Data collected by States in administering their programs may not be sold. Data collected by States in administering their programs may be shared with program implementers and/or evaluators

with whom the State has a contractual relationship, provided that prohibitions against data selling and data sharing are included in the contracts with those entities. For all other entities, collected data may not be shared with others except with the explicit written permission of DOE.

Consistent with 2 CFR 200.334 through 200.338, the State recipient is required to retain records relating to this award for a period of 3 years from the date of submission of the final expenditure report.

#### 4.1.7.2. Program Metrics

States are required to include plans for how required data will be collected throughout the award period so that these metrics may be aggregated and evaluated across programs. DOE understands that different States will optimize program design for different metrics.

DOE requires States to report to DOE certain program-related progress metrics. To reduce burden, DOE will allow some flexibility in how the data are reported and at what level of granularity. See the [Data & Tools Requirements Guide](#) for all data requirements, including a list of metrics that States will be required to submit at least annually to DOE.

States must report metrics to DOE as described in the [Data & Tools Requirements Guide](#) and as required on the Federal Assistance Reporting Checklist (FARC).

#### 4.1.7.3. Program Evaluation

DOE plans to conduct process, impact, and market transformation evaluation activities as part of an independent evaluation process. The goals of these evaluations will be to understand how effective the programs are at meeting their intended outcomes and how programs can be improved.

States must participate in DOE-led impact and process evaluations **or** conduct their own process and impact evaluations consistent with requirements of this section.

Regardless of whether States conduct their own impact and process evaluation and/or cooperate with DOE-led evaluations, all State programs must:

- Agree to participate in interviews (as the program administrator) and require their implementers and other program partners to participate in interviews.
- Securely provide any retained data to DOE on an ad hoc, as-requested basis. See the [Data & Tools Requirements Guide](#) for specific data collection, retention, and reporting requirements.
- Coordinate with utilities to collect billing data for evaluation purposes.

States may include as part of rebate terms and conditions that homeowners must agree to release billing data from their metered fuel utilities or other companies with access to billing data to the State for evaluation purposes and homeowners agree to participate in monitoring and evaluation activities such as surveys and interviews<sup>59</sup>.

States that choose to conduct at least one of their own process or impact evaluations will not be required to participate in a DOE-led process or impact evaluation if the State:

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<sup>59</sup> Required for 50121

- Applies the DOE evaluation recommendations as described in the [Technical Information, Best Practices, and Implementation Recommendations](#) document and collects DOE requested information to allow for consistent comparison of results.
- Submits the evaluation plan within three months of rebate program launch for DOE approval.
- Provides final evaluation results to DOE within 18 months of evaluation approval, or the agreed-upon timeline in the evaluation plan.

If a State conducts timely impact or process evaluation of its programs, meeting the above requirements, then DOE will exclude the State from relevant evaluation activities. DOE reserves the right to determine consistency with requirements and the evaluation plan.

Due to the nature of broad-based market transformation goals, DOE will conduct a national market transformation evaluation. States may coordinate with DOE or are welcome to conduct their own assessment of market effects and market change.

*4.1.8. Application Requirements: Use of Funds and Rebate Eligibility*

A State must address the following in its application and corresponding budget, except that a State may defer responses to its State Implementation Blueprint where marked with an “X” (deferral not permitted for Quick Starts). All other requirements are mandatory within the State Application.

Table 8. Application Requirements

Program Requirements Section No.	Requirement	Implementation Blueprint Option
4.1.1	Identify the specific types of allowable costs the State proposes within 1) administrative funds and 2) rebate funds.  Provide an estimate of the estimate total amount of administrative funds to be expended annually and the estimated annual project-related costs as a portion of the total rebate funds.	
4.1.1	If States are requesting additional funds for project-related activities, describe each activity and associated budget as outlined in the budget justification worksheet.	
4.1.2	Describe how the State will manage and ensure that rebate minimums and administrative maximums are adhered to over the duration of the program.	
4.1.2	Describe how States will monitor contractor costs and ensure that costs are not artificially inflated compared with market averages.	

Program Requirements Section No.	Requirement	Implementation Blueprint Option
4.1.2	Identify the maximum rebate amounts that will be offered to eligible entities and eligible entity representatives if lower than the allowed amounts.	
4.1.2	Identify the maximum allowable project costs for determining project cost rebate levels.	
4.1.2	Describe the documentation requirements related to project costs from eligible entities and eligible entity representatives.	
4.1.2	List the installation incentives the State will provide eligible entity representatives for each eligible product or service up to \$500 (in total).	
4.1.2	Describe the approach for ensuring that eligible entities will not receive Federal rebates or grants for the same QEP.	
4.1.2	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.	
4.1.2	Describe the approach for providing rebates to multifamily building owners and qualified households who live in multifamily units.	X
4.1.2	Identify the date after which upgrade projects must be completed for the purposes of being eligible for a rebate under the State program.	X
4.1.2	Describe how eligible rebate recipients will be informed of additional program funding available from non-Federal funds and grants.	X
4.1.3	Identify the portion of the rebate funds the State will reserve for low-income and low-income multifamily households.	
4.1.3	Provide a brief description of the procedures and penalties the State will provide to ensure that renters are not subject to unjustified rent increases.	X

Program Requirements Section No.	Requirement	Implementation Blueprint Option
4.1.3	<p>Describe how the State program will define a disadvantaged community.</p> <p>If not using the default disadvantaged community definition of low-income households located in a disadvantaged community identified by the CEJST, a State must explain how the proposed definition will meet the following three criteria as described in DOE Justice40 implementation guidance<sup>60</sup>:</p> <ul style="list-style-type: none"> <li>• The communities of concern identified by the State tool or definition must conform to the definition of communities established in OMB guidance: <ul style="list-style-type: none"> <li>• a group of individuals living in geographic proximity to one another that experiences common conditions.</li> <li>• a geographically dispersed set of individuals (such as migrant workers or Native Americans) that experiences common conditions.</li> </ul> </li> <li>• 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: <ul style="list-style-type: none"> <li>• Low income, high and/or persistent poverty</li> <li>• High unemployment and underemployment</li> <li>• Racial and ethnic residential segregation, particularly where the segregation stems from discrimination by government entities</li> <li>• Linguistic isolation</li> <li>• High housing cost burden and substandard housing</li> <li>• Distressed neighborhoods</li> <li>• High transportation cost burden and/or low transportation access</li> <li>• Disproportionate environmental stressor burden and high cumulative impacts</li> <li>• Limited water and sanitation access and affordability</li> <li>• Disproportionate impacts from climate change</li> </ul> </li> </ul>	

<sup>60</sup> See pages 8-9 of <https://www.energy.gov/sites/default/files/2022-07/Final%20DOE%20Justice40%20General%20Guidance%20072522.pdf> for more details.



Program Requirements Section No.	Requirement	Implementation Blueprint Option
	<ul style="list-style-type: none"> <li>• High energy cost burden and low energy access</li> <li>• Jobs lost through the energy transition</li> <li>• Access to healthcare</li> <li>• The communities of concern identified by the State tool or definition must be currently mapped in software or must be easily overlaid in GIS so that communities can be easily identified by stakeholders.</li> </ul>	
4.1.3	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.	X
4.1.3	Confirm that 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.	
4.1.3	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.	
4.1.4	Confirm that the State will develop and submit a Community Benefits Plan prior to program launch.	
4.1.5	Describe what types of systems will be put into place to allow effective processing of rebates, including ensuring the ability to apply rebates at point of sale and/or as part of an invoice. Confirm that the system will link to federally provided systems via API.	X
4.1.5	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.	X

Program Requirements Section No.	Requirement	Implementation Blueprint Option
4.1.5	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.	X
4.1.6	Describe how the State will define household income for verification purposes.	
4.1.6	For single-family households, how will claimants be able to establish their household income for income qualification? Sates may select from the following options:  (1) Documentation of household income (for example, 1040)  (2) Documentation of enrollment in a pre-qualifying program  (3) Self-attestation of either income level of enrollment in pre-qualifying program	
4.1.6	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. 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).	
4.1.6	Confirm: <ul style="list-style-type: none"> <li>• Claimant will be required to note the number of individuals who occupy the dwelling unit.</li> <li>• 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).</li> </ul>	
4.1.6	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. Confirm that these levels will correspond to (a) the address of the home at	X

Program Requirements Section No.	Requirement	Implementation Blueprint Option
	which rebates will be applied and (b) the applicable number of household occupants.	
4.1.6	<p>Confirm that the State will</p> <p>(1) review information provided to support income eligibility for all applicants applying for rebates;</p> <p>(2) take steps to verify income eligibility for at least 50% 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 IVES; calls to employers);</p> <p>(3) 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</p> <p>(4) 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.</p> <p>A state may propose in its application the types of information that it will provide to DOE to warrant reducing these requirements (e.g., allowing implementers to verify income of a subset of claimants through random sampling).</p>	X
4.1.6	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.	X
4.1.6	Describe how the State will verify (confirm legitimacy) of income information for all claimants (e.g., verification within 2 days through IRS, cross-check with enrollment databases of approved programs, calls to employers). A State may propose in its application the types of information that it will provide to DOE to warrant reducing this requirement (e.g., allowing implementers to verify	X

Program Requirements Section No.	Requirement	Implementation Blueprint Option
	income of a subset of claimants through random sampling).	
4.1.6	Identify how the State will resolve instances when rebates are provided to those who have falsified their incomes.	X
4.1.6	<p>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:</p> <ul style="list-style-type: none"> <li>• Describe how those applying for rebates will be warned of potential liability associated with falsifying information.</li> <li>• Explain how signed statements of self-attestation will be securely stored.</li> <li>• Identify what level of falsified attestations will signal that the system needs to shut down either permanently or be restarted only after sufficient improvements.</li> </ul>	X
4.1.6	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 <a href="#">Federal Programs Approved for Categorical Eligibility</a> document, or other state-proposed program approved by DOE, within the prior 12 months.	X
4.1.6	Identify the Federal or other programs by which the State plans to allow categorical eligibility.	
4.1.6	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.	X
4.1.6	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.	X

Program Requirements Section No.	Requirement	Implementation Blueprint Option
4.1.6	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 <a href="#">Federal Programs Approved for Categorical Eligibility</a> . 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.	X
4.1.7	Explain how data will be protected, specifically addressing security measures and privacy measures.	X
4.1.7	Include documentation of the processes to monitor, identify, and address security and privacy threats.	X
4.1.7	Confirm that the State will submit a Privacy and Security Risk Assessment in the State Implementation Blueprint.	
4.1.7	Confirm that the State will collect required data and cooperate in program evaluation processes as listed in section 4.1.7.2.	
4.1.7	Confirm that the State will require billing data release and describe how the State will gain access to billing data for program requirements and program evaluation.	
4.1.7	<p>Confirm whether the State is planning to conduct its own evaluation, and if so, what type(s) of evaluations. If the State plans to conduct evaluations on its programs, confirm that the State will:</p> <ul style="list-style-type: none"> <li>• Cooperate with DOE to meet the requirements listed in section 4.1.7.2.</li> <li>• Submit an evaluation plan for DOE review within three months of program launch.</li> <li>• Provide results to DOE.</li> </ul>	
4.1.7	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.	X



## 4.2. Consumer Experience

### 4.2.1. Program Requirements: Education and Outreach

A positive consumer experience begins with successful outreach and education about the benefits of the Home Energy Rebate programs. States must decide which types of households to target for outreach, what methods will be most effective in reaching them, and what educational materials will best inform those households of the benefits of upgrading their homes. States must also decide how they will engage contractors that will deliver the projects paid for by rebates. Many States will be able to leverage and repurpose outreach and education materials from existing programs.

A State must briefly describe its intended outreach and education strategy it will use to inform eligible households about the rebate programs. This outreach and education strategy must include a timeline and programmatic elements, potentially including but not limited to targeted advertising, outreach via local governments, and/or partnerships with community-based organizations. States may allocate a portion of their administrative budgets to conduct these activities.

At minimum, a State's outreach and education strategy must include:

- A brief description of planned activities for household outreach, such as:
  - Outreach partnerships (utilities, local governments, community-based organizations, labor unions, churches, etc.)
  - Outreach channels (digital ads, neighbor to neighbor outreach, direct mailings, etc.)
  - Educational materials (website, fact sheets, etc.)
- A brief description of planned activities for contractor outreach, such as:
  - Outreach partnerships (trade organizations, labor organizations, etc.)
  - Outreach channels (website, ads in trade organization publications, etc.)
  - Educational materials (website, fact sheets, trainings, etc.)
- High-level timeline for executing these programmatic activities.
- Estimated budget devoted to outreach and education, which can be covered through Home Efficiency Rebates administrative funding or through other state/utility/local sources.

### 4.2.2. Program Requirements: Qualified Electrification Projects

QEP means a project that:

(a) includes the purchase and installation of:

- An electric heat pump water heater;
- An electric heat pump for space heating and cooling;
- An electric stove, cooktop, range, or oven;
- An electric heat pump clothes dryer;
- An electric load service center;
- Insulation;
- Air sealing and materials to improve ventilation; or
- Electric wiring; and,

(b) With respect to any appliance described in clause (a), the purchase of which is carried out:

- As part of new construction;
- To replace a non-electric appliance; or
- When the purchase is a first-time purchase of a heat pump for space conditioning in an existing home and is installed to provide the primary heating and cooling for the household<sup>61</sup>; and,

(c) Is carried out at, or relating to, a single-family home or multifamily building, as applicable.<sup>62</sup>

Programs must ensure that the criteria of (a), (b) and (c) are met for every rebate.<sup>63</sup>

The term first-time purchase means the dwelling unit does not currently have and has not previously had the same type of appliance as that subject to rebate, where the type of appliance is the appliance enumerated in (a). In the case of installation of an efficient, electric heat pump for space heating, it is allowable for the heat pump to replace an existing electrical resistance or electrol baseboard heating system, but it is not allowable for the heat pump to replace an existing, electric heat pump. Additional appliance-specific information is provided below.

Only qualified electrification projects are eligible for rebates. Appliances and building materials must comply with Federal safety and energy requirements to qualify for rebates. Appliances and building materials purchased with a rebate at point of sale and must be installed in the qualified single-family home or multifamily building.

For purposes of integrating the rebates with other programs. (Section 4.3.2) only the upgrade for which the rebate was issued is considered part of the qualified electrification project.

#### 4.2.2.1. Qualified Appliances

Appliance types that qualify for rebates are:

- Electric heat pump water heater
- Electric heat pump for space heating and cooling
- Electric heat pump clothes dryer
- Electric stove, cooktop, range, or oven

A single household cannot receive a rebate for more than one appliance of a single type. Only residential appliance types are eligible for single household rebates. A multifamily building cannot receive a rebate for more than one appliance of a single type per unit. Residential and certain commercial appliances as explained in the product-specific sections below are eligible for multifamily rebates.

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<sup>61</sup> That is, for a home with existing air conditioning and an existing electric furnace, boiler, or electric baseboard heating to be eligible for a rebate for a heat pump, the heat pump must replace most of the usage for both the air conditioner and the electric furnace, boiler, or electric baseboard heating to provide the primary heating and cooling source for the home. A home may continue to use its pre-existing heating and cooling systems as back-up and/or to provide secondary heating or cooling services to the home.

<sup>62</sup> 42 U.S.C. 18795a(d)(6)(A).

<sup>63</sup> In general, a qualified electrification project does not include an appliance, system, equipment, infrastructure, component, or other item that is not certified under the ENERGY STAR program, if applicable. 42 U.S.C. 18795a(d)(6)(B). Please see sections 6.5.1.1 and 6.5.1.2. for more specific details.

#### 4.2.2.1.1. *Electric heat pump water heater*

Electric heat pump water heaters include integrated heat pump water heaters that operate on 120V or 240V, split system heat pump water heaters, and central heat pump water heating systems. Central heat pump water heating systems include all ancillary equipment such as fans, blowers, pumps, storage tanks, piping, and controls, as applicable) and eligibility is restricted to multifamily dwelling units, whose owner is applying for a rebate for multiple dwelling units. In all cases, the rebated model or system must be ENERGY STAR certified and legal for distribution in the United States at the time of purchase. 120V water heaters are not eligible for rebates in new construction. DOE understands that central heat pump water heating systems currently do not have an ENERGY STAR specification that addresses their system-based efficiency, which would encompass the heat pump, storage tanks, booster heaters, pumps, ancillary controls. Central heat pump water heaters may not qualify as an eligible appliance until ENERGY STAR establishes system-based criteria for central heat pump water heating systems addressing all components within the system. DOE will issue further guidance on this as available.

Purchase and installation of an electric heat pump water heater is eligible for rebate only:

- In new construction (240V only).
- As a replacement for a non-electric water heater.
- When the purchase is a first-time purchase of a heat pump water heater (e.g., when upgrading an electric-resistance storage water heater).

#### 4.2.2.1.2. *Electric heat pump for space heating & cooling*

Electric heat pumps for space heating and cooling include ducted and non-ducted central air-source heat pumps, single-room mini-splits, multi-splits, geothermal heat pumps, multi split heat pumps, and variable refrigerant flow heat pumps. The rebated model must be ENERGY STAR certified for the heating and cooling functions and legal for distribution in the United States at the time of purchase. The installed heat pump must be properly sized.

Room heat pumps currently do not have a heating test procedure, metric, or ENERGY STAR criterion in heating mode allowing manufacturers to certify. Therefore, models on the ENERGY STAR Qualified Products List (QPL) for Room Air Conditioners are not eligible for rebates at this time. Once ENERGY STAR criterion for room heat pumps are established for efficient cooling and heating using the DOE test procedure and models are certified on the ENERGY STAR Room AC QPL for heating and cooling, then room heat pumps will be eligible.

Costs eligible for rebate include all materials for installation, including smart thermostats and other grid-enabling technologies, pads for outdoor units, necessary ductwork, or other DOE-approved materials.

Purchase and installation of an electric heat pump for space heating and cooling is eligible for rebates:

- In new construction.
- As a replacement for a non-electric heating unit (e.g., gas, propane, or oil direct heating equipment; gas, propane, or oil forced-air furnace; gas, propane, or oil hot water or steam boiler).
- When the purchase is a first-time purchase of a heat pump for space conditioning and is installed to provide the primary heating and cooling for the household. That is, for a home

with existing air conditioning and an existing electric furnace, boiler, or electric baseboard heating to be eligible for a rebate for a heat pump, the heat pump must replace the majority of the usage for both the air conditioner and the electric furnace, boiler, or electric baseboard heating to provide the majority heating and cooling source for the home<sup>64</sup>. A home may continue to use its pre-existing heating and cooling systems as backup and/or to provide secondary heating or cooling services to the home. A heat pump used to supplement an existing electric appliance for space conditioning is not eligible for a rebate.

#### 4.2.2.1.3. *Electric heat pump clothes dryer*

Installed model must be ENERGY STAR certified and legal for distribution in the United States at the time of purchase.

The purchase and installation of an electric heat pump clothes dryer is eligible for rebate only:

- In new construction;
- As a replacement for a non-electric clothes dryer; or
- When the purchase is a first-time purchase of a heat pump clothes dryer for the dwelling unit, including upgrading an electric clothes dryer to a heat pump dryer.

#### 4.2.2.1.4. *Electric stove, cooktop, range, or oven*

The installed model of electric stove, electric cooktop, or electric range must be ENERGY STAR certified and legal for distribution in the United States at the time of purchase. Dual-fuel models are not eligible.

Purchase and installation of an electric stove, cooktop, range, or oven is eligible for rebate only:

- In new construction;
- As a replacement for a gas or dual-fuel gas-electric stove, cooktop, range, or oven; or
- When the purchase is a first-time purchase of an all-electric stove, cooktop, range, or oven for the dwelling unit.

#### 4.2.2.2. *Qualified Building Materials*

Certain types of building materials also qualify for rebates. Generally, the following types of building materials qualify for rebates.

- Electric load service center
- Electric wiring
- Insulation
- Air sealing
- Mechanical ventilation

DOE encourages installation of low embodied carbon building materials.

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<sup>64</sup> Prediction of majority may be based on Manual J calculations, open-source building energy modeling software, or equivalent.

#### 4.2.2.2.1. *Insulation*

Eligible products include ENERGY STAR-certified blanket (batts and rolls) insulation, loose-fill insulation, blown-in insulation, rigid board (foam or fiber) insulation, spray foam, and foamed-in-place forms of insulation. Duct ventilation is also eligible for rebates. Insulation must be properly installed to qualify for a rebate. Insulation with low embodied carbon is encouraged.

#### 4.2.2.2.2. *Air sealing and materials to improve ventilation*

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.

Ventilation materials are eligible for rebates only in homes that also receive air sealing services or otherwise achieve low air leakage rates (e.g., 3 ACH50 per International Energy Conservation Code (IECC)).

#### 4.2.3. *Program Requirements: Installation Incentives*

Subject to the limitations described in the below program requirements, an incentive must be provided to encourage governmental, philanthropic, commercial, and nonprofit (e.g., community groups) organizations to assist low-income and moderate-income households with accessing Home Electrification and Appliance Rebates. States may elect to reserve these incentives for projects carried out in homes and dwelling units with households less than 80% AMI, and/or for installations of equipment not commonly installed to encourage contractors to serve low-income households and learn how to install newer technologies.

An eligible entity representative (governmental, commercial, or nonprofit) that applies for and receives a rebate on behalf of an eligible entity and performs the installation of the QEP shall receive an incentive payment not to exceed \$500 in addition to the available rebate. States must determine a payment schedule for installation incentives not to exceed the amounts in Table 9.

Table 9. Qualifying Activities and Maximum Incentives

Qualifying Activity	Maximum Incentive
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 – unducted	\$200
Installation of one electric stove, cooktop, range, or oven	\$0

Qualifying Activity	Maximum Incentive
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

In the case of multifamily buildings, States shall establish a maximum incentive per each eligible entity representative based on either dollar amount per building or number of claimable dwelling units per building.

Although maximum incentive values may be set at \$0 in some instances, States must provide meaningful installation incentives that reflect the scale of the upgrades installed. Only an eligible entity representative is entitled to an installation incentive using rebate funds. States may provide installation incentives to other parties using sources of funds other than the Home Electrification and Appliance Rebates.

An eligible entity representative that owns a building that benefits from the upgrades is not entitled to an installation incentive (e.g., a multifamily building owner acting as an eligible entity representative on behalf of the households in the building is not eligible for the incentive).

An eligible entity representative may not receive multiple installer incentives for completing a QEP on behalf of the same eligible entity more than once in a twelve-month period.

An eligible entity representative must be paid an incentive of up to \$200 (as part of the maximum \$500 incentive) for a substantial installation (any item covered by a rebate except for an electric stove or an electric heat pump dryer) completed in a home located in a disadvantaged community as defined by the State.

#### 4.2.4. Program Requirements: Home Assessments

Home assessments are an important component of consumer protection to better understand the potential risks and benefits to a household pursuing an upgrade. For the Section 50122 program, home assessments in specific installations can ensure the consumer receives a quality installation. In addition, States must ensure that consumers are aware where certain QEPs could result in unintended consequences, including increased utility bills due to fuel switching.

As an initial matter, a State must identify 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 based on the State's rate structure, existing equipment and fuel type, and other relevant factors.

To mitigate these risks, States are required to conduct a limited home assessment for the installation of QEPs that include any of the following upgrades:

- Electric heat pump for space heating and cooling

A limited home assessments consists of, at a minimum:

- A recommendation of a properly sized unit recommended by a qualified contractor for HVAC.
- An onsite visual inspection of the existing condition of duct sealing for HVAC & envelope.
- If the upgrade includes a fuel switch, an estimate of utility bill impacts and written acknowledgement by the consumer.
- Written acknowledgement from the consumer of the amount they will owe not covered by the rebates.
- If the upgrade falls within one of the State’s pre-defined set of home pre-condition(s) and/or scope of work scenario(s) that will constitute unacceptable risk of raising utility bills, an estimate of utility bill impacts and written acknowledgement by the consumer.
- Collection of the following data points:
  - Unique home identifier (e.g., address)
  - Dwelling type
  - Existing energy equipment/systems to be replaced, if any
  - New energy equipment/systems being proposed for installation
  - All other datapoints listed as required in the [Data & Tools Requirements Guide](#)
  - Estimated total project cost as defined in section 2.1

A State may allow remote or virtual assessments in place of field-based assessments in specified cases with DOE approval.

For each limited home assessment conducted, the program is required to retain the following documentation:

- List of the upgrades in the QEP for which a rebate was applied.
- Gross project cost estimate.
- Estimated household energy costs post-installation.
- Certification that equipment proposed in the scope of work do not yet exist in the home (if not fuel switching).
- Estimated amount of eligible rebate.
- All other datapoints listed as required in the [Data & Tools Requirements Guide](#).

DOE does **not** require a home assessment be completed for installation of qualified electrification projects that do not include installation of an electric heat pump for space heating and cooling.

For any qualified electrification project for which a home assessment is not conducted, a State program must retain geolocated photo(s) of the equipment being replaced to verify that the installation is allowable. For these projects, a State must also retain the following documentation:

- List of the upgrades in the qualified electrification project for which a rebate was applied.
- Gross project cost estimate.
- Certification that the type of appliance installed did not exist in the home (if not fuel switching).
- All other datapoints listed as required in the [Data & Tools Requirements Guide](#).

Note that completing home assessments for multifamily buildings will require a different process than for single-family homes. A State must establish processes for home energy assessments for multifamily buildings, including for energy used by common areas.

#### 4.2.5. Program Requirements: Consumer Protection Through Quality Assurance

Consumer Protection through QA is an essential component of Home Electrification and Appliance Rebate programs and is necessary to deliver high-quality products and services to all program consumers. A strong QA protocol is key to protecting consumers and providing the highest quality consumer experience and to delivering real energy, cost, and emission savings. QA protects households by providing independent oversight of the work performed by participating contractors to ensure that the work meets program standards. QA provides systems designed to ensure work meets consumer expectations and to provide consumer satisfaction, a vital goal of these rebate programs.

Given the central role of consumer protection through QA in the outcome of these programs, States are required to develop and implement a Customer Protection Plan for Home Electrification and Appliance Rebate programs. The plan must meet the requirements listed in this section. The Customer Protection Plan must be submitted to DOE for approval at prior to the State's planned rebate program launch as part of the State's Implementation Blueprint. A State must implement the plan and be prepared to provide DOE with information regarding the State's monitoring, review and revision of the plan based on program performance.

- The Consumer Protection Plan must be readily accessible (e.g., on the program's web site) to all program participants affected by it, including implementers, retailers, distributors, participating contractors, third-party inspectors, eligible entities, and eligible entity representatives.
- Programs must execute agreements with participating retailers, distributors, and contractors in which the party agrees to comply with the QA plan and procedures.
- States must retain records related to their QA processes and permit access to DOE upon request.
- A State must review its Consumer Protection Plan at least every two years, adjust based on lessons learned, and communicate changes to contractors, third-party inspectors, and DOE.

The State's Consumer Protection Plan must include the following elements:

##### **Consumer Feedback**

A system for collecting and responding to consumer feedback that:

- Allows households to file complaints, concerns, and issues directly to implementer(s) (e.g., a consumer hotline and/or email).
- Contains procedures for addressing negative feedback, including how programs will communicate the feedback to affected contractors, distributors, or retailers.
- A requirement that a consumer satisfaction survey be sent to the household at least three months and no more than 6 months after the project's completion date. The survey must include the questions listed in Appendix B. At a minimum, the survey must include the questions listed in Appendix B. States may add additional questions.

##### **Resolution Procedures**

- A written conflict resolution procedure that documents how disputes will be resolved between homeowners and contractors. The procedure shall include protocols for a timely response, identification of responsible parties, documentation of corrective actions, results, and a means of identifying and addressing systemic issues.

- A remediation process to ensure that when deficiencies are detected through the inspection process these results are communicated to the responsible party and any remedial or punitive actions taken follow a pre-defined set of protocols, which must be described in the plan.
- A requirement to maintain records on QC inspections including sampling rates, findings, corrective actions taken, and verification of conformance to requirements.
- Contracts cannot contain mandatory arbitration clauses.
- Ensure inclusion of the holder-in-due course rule so consumer protections are not lost just because the contract is assigned to a 3rd party creditor.

## Data Review

- A requirement for the State to conduct data or file review of all projects that verifies at a minimum:
  - A process for confirming that auditing tools and modeling software have basic data validation controls on inputs to ensure data quality.
  - The home assessment (if required) gathered the data required listed in section 4.2.4.
  - The contracted scope of work was specified consistent with program requirements.
  - The address of the installation matches the address of the eligible entity.
  - Rebate amount aligns with verified income category.
- A requirement that the program's implementers retain:
  - Post-installation photos of the equipment included in the QEP.
  - Proof of combustion safety testing on fossil fuel equipment in all homes where fossil fuel systems have been impacted by the installation.
    - Proof of commissioning testing on HVAC equipment in all homes where HVAC systems are installed.
- A requirement to maintain records on QC inspections including sampling rates, findings, corrective actions taken, and verification of conformance to requirements.
- A description of the training or credentials of the personnel conducting the data/file review.

## Onsite Inspection

- For qualified electrification projects that required a home assessment, a requirement to conduct independent onsite post-install inspections on a minimum of:
  - The first five projects of new contracting organizations; and
  - Five percent of projects thereafter for each contractor, provided no issues are found.
- A description of the training, credentials, and/or qualifications that the State will require of independent inspectors, and identification of how these qualifications do/do not align with those included in a State's [IRA Section 50123 Contractor Training Grants program](#).
- For qualified electrification projects that required a home assessment, a documented onsite inspection protocol that shall include a minimum of:
  - A visual inspection of the site and work conditions.
  - Verification that the installed upgrades match the contracted scope of work and any change orders have been appropriately documented.
  - Verification that diagnostic test results are accurate (may be directly observed if the inspector is present at the time of testing or repeated by the inspector).

- Ensures compliance with E-Sign or prohibits the use of electronic devices and signatures to enter into the contract if not E-Sign compliant<sup>65</sup>.

### Virtual Inspections

For qualified electrification projects that required a home assessment, states may elect to conduct virtual post-install inspections. If used, the plan also must include:

- A description of the methods used (e.g., video recording, interview with the site contact, photos taken during the virtual tour)
- A description of how installed equipment will be assessed
- A list of the additional information required, such as submitted project documentation (invoices, specification sheets, and calculation models)
- Requirements for qualifying virtual inspectors
- The tools and platforms that will be used for the virtual inspection
- A description of privacy agreements

If program participants decline virtual recording of their home, an onsite inspection must be used.

### **Contractors and other partners**

A qualified contractor list is a required element of a State's Consumer Protection Plan. States must:

- Describe how the program will develop the qualified contractor list.
- Describe which qualification(s) that contractors will be held to, potentially including but not limited to industry accepted home performance industry credentials, training requirements, business insurance and licensure, skills standards, and labor standards.
- Describe the process by which contractors will be added to the qualified contractor list, the conditions that would lead to a contractor being delisted, and the process by which a contractor would be delisted.
- Require that the following technologies be installed by a contractor on the qualified contractor list:
  - Electric heat pump for space heating and cooling
  - Air sealing
  - Electrical wiring
  - Electrical load service center
- Make the qualified contractor list public and include a description of how consumers applying for rebates will be informed on how to use the list to access a qualified contractor.

Like contractors, program partners such as retailers and distributors are integral to QA and the overall success of a State's Section 50122 program. Programs are required to establish qualified retailer and distributor partnership lists. As it relates to these lists, a State's Consumer Protection Plan must:

- Describe how the program will initially develop the qualified retailer and distributor partner list.

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<sup>65</sup> A written copy (in the person's primary or secondary language) should be provided even if there is also an electronic contract.

- Describe the requirements to which these partners will be held, including, at a minimum, the following:
  - Listed partners must make available for sale eligible appliances for qualified electrification projects.
  - Listed partners have systems capable of providing rebates for qualifying equipment rebates.
  - Listed partners commit to submit rebate request to the implementer(s).
- Describe the process by which retailer and distributor partners will be added to the qualified contractor list and the conditions that would lead them to being delisted.

## Installation

A State's Consumer Protection Plan must:

- Identify installation standards with which installers must comply, including at a minimum, standards designed to:
  - Ensure work complies with local and state laws, permits, codes, and industry standards.
  - Establish minimum quality installation standards for rebated technologies.
  - Promote use of standardized and sequenced procedures for developing a detailed project scope of work.
- Establish processes to enforce installation standards, including QA processes that allow the State to verify and document whether installation standards have been met.
- Ensure that sales language and contract language are the same.

If financing is involved:

- Ensure an ability to repay determination that does not include projected savings from an energy report because expected savings may not materialize due to household and market developments.
- Ensure a disclosure and cooling off period. Clear, written advance disclosures should be required, with a 7-day waiting period between the disclosure and the contract signing. This waiting period should only be removed in a personal emergency (see Truth in Lending Act), where the homeowner, in their own handwriting, describes the emergency and the need for the emergency work and their understanding that they are waiving the waiting period. In non-emergency circumstances, there should also be a 3-day right to cancel after the contract has been signed (such that the work is not done during that period).

## Continuous Improvement

A system for preventing unfair business practices and avoiding or addressing poor program function that does not optimize a consumer's experience. A State's Consumer Protection Plan must:

- Identify what proactive steps the State will take to identify fraud, waste, or abuse.
- How the State will implement automation to identify problem areas with program performance.
- Explain how the State will measure and evaluate the success of its QA systems.
- Describe how the QA systems will inform program improvements.
- Describe how home assessment data and results will be verified for accuracy.

- Document roles and responsibilities associated with how the State will monitor the program’s budget and financial performance to ensure that funds are being used efficiently and effectively.

Note that elements of the Consumer Protection Plan will require different processes for multifamily buildings than for single-family homes. States must distinguish in their plans which additional requirements will apply to multifamily buildings, including for central systems and for energy used by common areas.

#### 4.2.6. Application Requirements: Consumer Experience

A State must address the following in its application and corresponding budget, except that a State may defer responses to its State Implementation Blueprint where marked with an “X” (deferral not permitted for Quick Starts). All other requirements are mandatory within the State Application.

Table 10. Application Requirements

Program Requirements Section No.	Requirement	Implementation Blueprint Option
4.2.1	Confirm that the State will develop and submit an outreach and education strategy consistent with section 4.2.1	X
4.2.2	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: <ul style="list-style-type: none"> <li>• Project includes the purchase and installation of a qualifying product, as described in section 4.2.1;</li> <li>• 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; and</li> <li>• The installation occurs at a single-family home or eligible multifamily building.</li> </ul>	
4.2.2	Describe how the State will collect and retain documentation to demonstrate how each criterion in section 4.2.1 was met for each installation.	X
4.2.2	If applicable, identify any additional types of “materials to improve ventilation” <sup>66</sup> that the State plans to make eligible for rebates.	X

<sup>66</sup> 42 U.S.C. 18795a(d)(6)(A)(i)(VII).

Program Requirements Section No.	Requirement	Implementation Blueprint Option
4.2.3	Describe how eligible entity representatives will be determined to be eligible for installation incentives, and how and when incentives will be paid.	X
4.2.3	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.	
4.2.3	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.	X
4.2.3	Confirm that the 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.	
4.2.4	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.	X
4.2.4	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.	X
4.2.4	Describe what processes will be put in place for home energy assessments for multifamily buildings, including for energy used by common areas.	X
4.2.5	Confirm that the State will prepare and implement a Consumer Protection Plan in accordance with these requirements.	

### 4.3. Maximizing Rebate Impact

#### 4.3.1. Program Requirements: Supporting the Clean Energy Economy Through Market Transformation

The Home Electrification and Appliance Rebates provide a tremendous opportunity to serve households while acting as a catalyst to unlock additional flows of capital, skilled workers, innovative businesses, and future programs to deploying clean energy technology solutions in housing. With the goal of spurring greater market transformation in the residential energy sector,

States must consider how their programs will stimulate additional and continued investment in residential energy upgrades beyond the tenure of the rebates.

To ensure that the State program facilitates market transformation, each State must submit a Market Transformation Plan within the first year after receiving the financial assistance award. DOE must review and approve the Market Transformation Plan prior to the State receiving the third tranche of funds. A Market Transformation Plan must:

- Describe how the State program will enable the market to recognize the value of homes that have been upgraded through the Home Energy Rebates, including at time of sale/rental.
- Describe elements of the program design and/or activities the State program will undertake to support the following goals throughout the program as well as after depletion of the Home Electrification and Appliance Rebates funds:
  - Cost sharing, braiding, and/or coordinated financing with potential funders and financiers of home energy upgrades. Funders and financiers of upgrades include homeowners, lenders of home upgrade loans, mortgage brokers, utilities, and philanthropies;
  - Utilize rebate programs to enable new business models in partnership with private capital to monetize grid benefits through vehicles such as FERC order 2222, demand management, and virtual power plants; and
  - Sustainable business models of home energy contractors.

#### *4.3.2. Program Requirements: Integrating with Other Programs*

By leveraging existing programs through resource braiding, co-funding, and financing, State programs may support deeper and broader energy, cost, and carbon savings among participating households. While following all home energy rebates requirements, States are **strongly encouraged** to design their rebate programs in ways that allow for effective combinations of various funding sources, including through integration with existing programs. However, a variety of legal prohibitions prevent certain methods of combining funds from different sources.

Effective financial leveraging must comply with two prohibitions:

1. The total combination of all immediate upfront funding sources (Federal grants, Federal loans, and non-Federal funding) cannot exceed the total project cost, and
2. Neither the Home Efficiency Rebates nor the Home Electrification and Appliance Rebates may be combined with other Federal grants or rebates for the same single upgrade.<sup>67</sup>

There are four categories of funding that can be combined with a rebate, each with different requirements:

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<sup>67</sup> See 42 U.S.C. 18795(c)(7) and 18795a(c)(8).

- **Combining a rebate with other Federal rebates or grants:** No other Federal grants, including another IRA home energy rebate, can be used for the same upgrade. Home energy upgrade packages that use multiple Federal grants must braid the funding in a manner that ensures each Federal grant only funds distinct, separable upgrades.

To ensure compliance with this requirement, States must ensure that detailed invoices and information identifying which distinct and separable upgrades were funded by which Federal sources are collected and retained when a home/building is using funding from multiple Federal grants. Each upgrade or QEP component must be a line item on the invoice of the home energy upgrade package with subdivided labor costs associated with each line item.

- **Combining a rebate with Federal loans or loans from previously granted Federal funds:** Loan programs from Federal agencies (such as loans from HUD) and loans from previously granted Federal funds (such as from the DOE Revolving Loan Fund grants or U.S. Environmental Protection Agency Greenhouse Gas Reduction Fund grants) are not considered Federal grants in that the recipient household receives these programs as financial products rather than as grants or rebates. Therefore, these programs may be used to finance any remaining costs for upgrades and individual components of qualified electrification projects additional to and separate from the value of the rebate.
- **Combining a rebate with non-Federal funding:** Non-Federal funding, such as funding authorized by a state government, or local government, or available through a utility program or philanthropic support, can be used to co-fund any remaining costs for upgrades and individual components of qualified electrification projects beyond the value of the Federal rebate.
- **Taxability of Home Energy Rebates:** The rebate programs funded through IRA sections 50121 and 50122 will be treated as a reduction in the purchase price or cost of property for eligible upgrades and projects, and the consumer that receives an IRA rebate will not be required to report the value of the rebate as income.

Attempts to claim multiple federal rebates for the same single upgrade is a violation of Federal law and must be reported to DOE.

Issuance of multiple federal rebates for the same single upgrade is a violation of Federal law and must be reported to DOE upon discovery and documented in the State's quarterly reporting documents.

**Stacking Tax Credits with Home Energy Rebates.** Consumers that receive IRA rebates for products that may be eligible for the 25C tax credit may claim the credit after reducing the amount of the expenditure on which the consumer calculates the amount of the credit by the rebate. For example, if a product is eligible for an IRA Section 50122 rebate and 25C tax credit up to 30% of the cost, the consumer may claim a tax credit of up to 30% of the cost remaining to the consumer after application of the rebate provided through IRA Section 50122. Therefore, if a consumer purchases an eligible product for \$400 and receives a \$100 rebate for this purchase, the consumer may claim a 30% credit of the remaining \$300, or \$90. States must collect sufficient documentation for each home energy upgrade that combines a rebate with other funding sources to ensure that the total combination of Federal, State, and other funding sources (Federal grants, Federal loans, and non-Federal funding) does not exceed the total project cost.

States should also be aware that the above requirements and guidance may not capture restrictions or requirements imposed by other funding programs. For allowable integration, all funding sources--Federal and/or non-Federal--must allow for combining of resources. Other funding sources, including certain Federal loans, tax credits, and State/local/utility funding, may have additional restrictions on directly combining funds for the same single upgrade that is part of a larger home energy upgrade. State implementers should consult the program requirements for non-Federal funding sources to ensure that they are combining funds in a legally allowable manner.

#### 4.3.3. Program Requirements: Quick Starts

A State may apply for up to 25% of its allocated funds to develop a “Quick Start” State program. DOE will prioritize processing of applications identified for a “Quick Start.” To qualify as a “Quick Start” program, the State must note at the beginning of its application the request for a “Quick Start,” and the State must plan to achieve rebate program launch in 2023. A State Application for a Quick Start must include responses to all “Application Requirements” (cannot defer to Implementation Blueprint); however, the required plans may be submitted prior to rebate program launch as part of the Implementation Blueprint<sup>68</sup>. All rebate program requirements (except low-income and low-income multifamily allocations) will apply to Quick Start programs, and a conforming State Application is required. A State is not required to reserve rebate funds for low-income and low-income multifamily households (see section 3.1.3) as part of a Quick Start program; however, a State must meet the low-income and low-income multifamily household allocations for the State’s total formula allocation.

Prior to January 31, 2025, a State must either (a) request additional funding from its total formula allocation to continue its approved Quick Start program or (b) submit an application to DOE to administer a program operating under a different plan; otherwise, the remaining formula allocation will be considered rejected by the State and redistributed to other State Energy Offices in accordance with 42 U.S.C. 18795a(a)(2)(C).

One option for a Quick Start program is to develop a program which leverages existing program infrastructure in the State to achieve more rapid rebate program launch. Where consistent with Section 50122 program requirements, States have the discretion to limit the scope to target specific populations, policy goals, or other State priorities to achieve more rapid rebate delivery. To expedite processing, a State must note at the beginning of its application the request for a “Quick Start.” The application must identify the existing program(s) to be leveraged and must include a timeline to achieve rebate program launch in 2023. The use of an existing State program may allow a participating State to more quickly stand-up Home Electrification and Appliance Rebates relative to developing a new program. For example, a State may rely on practices, policies, procedures and / or systems already in place to implement a Section 50122 State program that is consistent with design requirements for Section 50122. States may reference or include information regarding existing programs as part of the application to demonstrate compliance with the requirements.

Another option for a Quick Start program is for a State to pilot a rebate program before committing the State’s entire funding allocation to a particular program design. Where consistent

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<sup>68</sup> Consistent with Section 1.2, Quick Start programs may also submit a Market Transformation Plan up to 1 year after award date.

with Section 50122 program requirements, States have the discretion to limit the scope to target specific populations, policy goals, or other State priorities to achieve more rapid rebate delivery.

#### 4.3.4. Application Requirements to Maximize Rebate Impact

A State must address the following in its application and corresponding budget, except that a State may defer responses to its State Implementation Blueprint where marked with an “X” (deferral not permitted for Quick Starts). All other requirements are mandatory within the State Application.

Table 11. Application Requirements

Program Requirements Section No.	Requirement	Implementation Blueprint Option
4.3.1	Confirm that the State will prepare and implement a Market Transformation Plan within the first year after receiving the financial assistance award.	
4.3.2	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: <ul style="list-style-type: none"> <li>• Integration into existing program administration, website, materials.</li> <li>• Adoption of existing program standards, QA, workforce standards, or other practices.</li> <li>• Braiding or co-funding of upgrades within individual households.</li> <li>• Other integration elements, as applicable.</li> </ul>	
4.3.2	Describe how the State program will support households, contractors, and other stakeholders in understanding how the State program may leverage other program resources.	X
4.3.2	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.	X

Program Requirements Section No.	Requirement	Implementation Blueprint Option
4.3.2	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.	X
4.3.2	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.	X
4.3.3	Identify whether the application is for a Quick Start program. For Quick Start programs, identify the timeline for program launch.	



## 5.0 Revisions and Guidance

### 5.1. Revisions

If DOE needs to revise these requirements, DOE will publish a notice at <https://www.energy.gov/scep/home-energy-rebate-programs-guidance> and will send a copy of the notice directly to Grantees. States should address questions regarding the requirements to their respective Project Officers. Project Officers do not have the authority to alter or waive these requirements.

### 5.2. Guidance

Guidance provides additional information about requirements and may include examples; however, guidance does not alter or waive these requirements. Project Officers may provide guidance directly to a State on a case-by-case basis for state-specific questions. Interpretations that are more broadly applicable will be provided through formal DOE guidance, which will be posted on the web site and sent via email to Grantees. DOE will provide ongoing updates to the Technical Information, Best Practices, and Implementation Recommendations available at <https://www.energy.gov/scep/recommendations-program-administrators>.

## 6.0 Application Instructions

### 6.1. Overview

The application package for Home Rebates grants consists of the State Application and several required forms. Refer to the [Administrative and Legal Requirements Document \(ALRD\)](#) for application package requirements. Applications must be submitted in accordance with the IRA Home Energy Rebates ALRD.

As a reminder, application documents, forms, and data submitted may be made available to the public at DOE's discretion following all applicable laws and regulations that protect confidential or proprietary information.

For all supporting documents (saved as PDF files) that are attached to the SF-424 Application in PAGE, Applicants are requested to use the naming conventions used in Table 12 (i.e., the Suggested File Name) or similar file names, to enable DOE reviewers to quickly identify the contents of attached documents.

#### SF-LLL Disclosure of Lobbying Activities

Grantees must not use any federally appropriated funds for lobbying activities. If funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, Member of Congress, officer or employee of Congress, or employee of a Member of Congress in connection with the grant/cooperative agreement, the grantee must complete and submit "Standard Form - LLL, "Disclosure Form to Report Lobbying."

Applicants should not include tables or spreadsheets within Planned Activities or in the comments section of the SF-424A Budget. All documents uploaded must be PDF files except the Budget Justification Workbook, which should be a spreadsheet.

Table 12. State Plan Application Documentation

Name of Document	Format	Recommended File Name
SF-424 Application for Federal Assistance	PAGE	N/A
SF-424A Budget Information for Non-Construction Programs	PAGE	N/A
Budget Justification Workbook	Excel	[Statename]_BudgetJustification
Planned Activities	PAGE	N/A
Narrative Document	PDF	[Statename]_Application
Application Checklist	PDF	[Statename]_Checklist
SF-LLL Disclosure of Lobbying Activities, if applicable	PDF	SF-LLL
Other Forms as applicable	PDF	{Statename}_[Name]

DOE reserves the right to request additional or clarifying information.

## 6.2. Application for Federal Assistance - Standard Form 424

A completed and signed Standard Form 424 (SF424) containing current information must be submitted. Please ensure all sections have been updated to reflect any changes, including changes to the person to be contacted on matters involving the application and the authorized representative. States should select “New” in section 2.

The list of certifications and assurances referenced in Field 21 may be found [here](#). Please verify compliance with Intergovernmental Review (SPOC List) ([whitehouse.gov](http://whitehouse.gov)). Once the SF424 is completed, add an attachment to the document with the name, title, phone number, and email address for both the Principal Investigator and the Business Officer.

## 6.3. Budget

The budget includes Standard Form 424A Summary and a completed Budget Justification Workbook.<sup>69</sup> Each of these forms should be completed following the guidelines set out below. Please note that a State receiving a grant under this program may use not more than 20% of the grant for administrative purposes.

Any expenditure, allowed by the OMB cost principles or by a grantee or Subgrantee, may be charged as administrative cost. However, certain costs in this program that are excluded from other categories can only be administrative. Grantee Administration and Subgrantee Administration are considered to be unique to each organization. The organization must define its administrative costs consistent with the generally accepted accounting practices and procedures within the organization.

- Indirect costs can be included in Grantee Administration and will be considered an allowable cost provided there is a federally approved indirect rate(s) or cost allocation plan. The indirect cost rate used may be approved by a Federal department or agency other than DOE. See 2 CFR 200.414 Indirect (F&A) costs for more information. The rate/amount allowable does not invalidate the program budget category limits.

### 6.3.1. Standard Form 424A

Applications must include a budget for all funds including DOE, or any other funds, if applicable. It should be completed as follows:

- **Section A:** Budget Summary Lines 1-4, Columns (a) through (g). On line 1, enter new DOE funds.
- **Section B:** Budget Categories. Separate column headings (with the same name as the rows in Section A) should be utilized for each funding source. The total in column g, Section A, must equal the total of all columns in Section B.

### 6.3.2. Budget Justification Workbook

The Budget Justification consists of a detailed explanation of the object class categories listed in line 6, Section B, of Standard Form 424A. In preparing the Budget Justification, States should address the following as requested for each budget category.

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<sup>69</sup> Can be found at <https://www.energy.gov/scep/home-energy-rebate-programs-guidance>

- **Personnel:** Identify all positions to be supported by title and the amounts of time (e.g., % of time) to be expended on the Program, the base pay rate, and the total direct personnel compensation. Personnel must be direct costs to the project and not duplicative of personnel costs included in the indirect pool that is the basis of any indirect rate applied for this project.
- **Fringe Benefits:** If fringe cost rates are approved by a Federal agency, identify the agency and date of latest rate agreement and include a copy of the rate agreement with the application. If fringe cost rates are not approved by a Federal agency, explain how total fringe benefit costs were calculated. Your calculations should identify all rates used along with the base they were applied to (and how the base was derived), and a total for each (along with the grand total). If there is an established computation methodology approved for statewide use, provide a copy with the SF424 Application.
- **Travel:** Provide the purpose of travel, such as professional conference(s), DOE sponsored meeting(s), project monitoring, etc. Identify the number of trips, and the destination/location if known. Provide the basis for the travel estimate such as past trips, current quotations, Federal or state travel regulations, etc. All listed travel must be necessary or beneficial to the performance of the Program. All foreign travel must be identified and requires preapproval.
- **Equipment:** Equipment is defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. List all proposed equipment and briefly justify its need as it applies to the objectives of this award. Provide a basis of cost such as vendor quotes, catalog prices, prior invoices, etc. If the equipment is being proposed as cost match and was previously acquired, provide the value of its contribution to the project and a rationale for the estimated value shown. If it is new equipment that will retain a useful life upon completion of the project, provide a rationale for the estimated value shown. Also, indicate whether the equipment is being used for other projects or is 100% dedicated to this project.
- **Supplies:** Supplies are defined as items with an acquisition cost of \$5,000 or less or a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. List all proposed supplies and the estimated cost and briefly justify the need for the supplies as they apply to the objectives of this award. Supply items must be direct costs to the project and not duplicative of supply costs included in the indirect pool that is the basis of any indirect rate applied for this project. Provide a basis of cost for each item listed. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.
- **Contractual:** All sub-recipients, vendors, contractors and consultants and their estimated costs should be identified. Use TBD if the entity is unknown. Provide a brief description of the work to be performed or the service to be provided. Include the basis of cost for each item listed (competitive, historical, quote, catalog, etc.).
- **Other Direct Costs:** Other direct costs are direct cost items required for the project that do not fit clearly into other categories. These direct costs must not be included in the indirect costs (if indirect costs are proposed for this project). Examples are conference fees, meetings within the scope of work, subscription costs, printing costs, etc., that can be directly charged to the project and are not duplicated in indirect (overhead) costs. Provide a general description, cost, and justification of need for each direct cost item. Provide a basis of cost for each item. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

- **Indirect Costs:** If the indirect cost rate has been approved by a Federal agency, identify the agency and the date of the latest rate agreement and submit a copy of the agreement with the application. If the indirect cost rate has not been approved by a Federal agency, provide the basis for computation of rates including the types of benefits to be provided, the rate(s) used and the cost basis for each rate.

### 6.3.3. *Expenditure Prohibitions, Limitations, and Allowances*

Prohibitions:

- States may not pool funds across multiple states. States are expected to use their grants within their State.

Limitations:

- States may use no more than 20% of the funding provided by DOE under this program for administrative expenses.
- Funds may be used to supplement, and no funds may be used to supplant, weatherization activities under the Weatherization Assistance Program for Low-Income Persons.
- Residential audits and upgrades funded through this program must satisfy the criteria set forth in IRA and described in the MANDATORY REQUIREMENTS section of this document in order to be eligible.

### 6.3.4. *Rejection of Funds*

A State that chooses not to apply for Home Energy Rebates funds and therefore refuses its allocated formula funding under IRA Section 50121 and/or Section 50122 must sign and send a letter to decline the funds to its respective Project Officer indicating this decision to DOE by August 16, 2024. By signing this document, the State Energy Office signifies its understanding that its allocation will be redistributed to other State Energy Offices that applied for allocated funds. If the State does not sign the document or convey to the DOE project officer that it plans to submit an application by August 16, 2024,<sup>70</sup> the State's funding will be reallocated to other States.

## 6.4. **Planned Activities**

A State must complete the Planned Activities section in PAGE, providing estimated values for the first tranche (25%) of funding. Planned Activities will be updated upon release of each subsequent tranche of funding.

## 6.5. **Other Forms as Applicable**

The following files should be submitted as attachments with your application if applicable:

- Indirect Rate Agreement or Rate Proposal.
- Name, phone number, and email address of the State contact person.

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<sup>70</sup> Section 50121(a)(2)(B) and Section 50122(a)(2)(C)



## 7.0 Appendix A: Required Allocations

Table 13. Home Energy Performance-Based, Whole-House Rebate Allocations (50121)

State/ Territory	Home Energy Performance-Based, Whole-House Rebate Allocations	Max 20% Ceiling for Program Administration for Efficiency Rebates	% of Low-Income Households (<80% AMI) in the State <sup>71</sup>	Min Allocations for Low-Income HHS	Min 10% Low-Income Multifamily Allocation	Max Open Efficiency Rebate Allocation
Alabama	\$73,032,210	\$14,606,442	41.0%	\$23,931,475	\$5,842,577	\$28,651,716
Alaska	\$37,368,480	\$7,473,696	39.1%	\$11,694,134	\$2,989,478	\$15,211,172
Arizona	\$76,868,720	\$15,373,744	39.7%	\$24,405,961	\$6,149,498	\$30,939,518
Arkansas	\$52,739,720	\$10,547,944	40.5%	\$17,090,700	\$4,219,178	\$20,881,898
California	\$291,951,040	\$58,390,208	40.7%	\$94,964,033	\$23,356,083	\$115,240,716
Colorado	\$70,395,350	\$14,079,070	39.6%	\$22,305,143	\$5,631,628	\$28,379,509
Connecticut	\$49,830,560	\$9,966,112	40.8%	\$16,283,483	\$3,986,445	\$19,594,520
Delaware	\$33,029,650	\$6,605,930	39.8%	\$10,506,073	\$2,642,372	\$13,275,275
District of Columbia	\$29,808,850	\$5,961,770	41.4%	\$9,877,639	\$2,384,708	\$11,584,733
Florida	\$173,668,720	\$34,733,744	40.2%	\$55,850,082	\$13,893,498	\$69,191,396
Georgia	\$109,817,290	\$21,963,458	40.5%	\$35,588,449	\$8,785,383	\$43,480,000
Hawaii	\$34,293,520	\$6,858,704	39.8%	\$10,930,689	\$2,743,482	\$13,760,645
Idaho	\$40,604,320	\$8,120,864	39.1%	\$12,692,100	\$3,248,346	\$16,543,010
Illinois	\$132,219,190	\$26,443,838	40.4%	\$42,784,925	\$10,577,535	\$52,412,892
Indiana	\$91,302,840	\$18,260,568	40.0%	\$29,227,505	\$7,304,227	\$36,510,540
Iowa	\$60,827,450	\$12,165,490	39.7%	\$19,300,349	\$4,866,196	\$24,495,415
Kansas	\$52,971,870	\$10,594,374	39.9%	\$16,907,109	\$4,237,750	\$21,232,638

<sup>71</sup> The DOE used data from the American Community Survey (2021) and the Decennial Census of Island Areas (2020). See: U.S. Census Bureau, American Community Survey 2021, *ACS 5-Year Estimates Subject Tables*, Table S1901, accessed July 2023 ([source link](#)); U.S. Census Bureau, Decennial Census of Island Areas 2020, *DECIA Northern Marian Islands Demographic Profile*, Table DP3, accessed July 2023 ([source link](#)).



# SCEP

STATE & COMMUNITY ENERGY PROGRAMS

State/ Territory	Home Energy Performance-Based, Whole-House Rebate Allocations	Max 20% Ceiling for Program Administration for Efficiency Rebates	% of Low-Income Households (<80% AMI) in the State <sup>71</sup>	Min Allocations for Low-Income HHs	Min 10% Low-Income Multifamily Allocation	Max Open Efficiency Rebate Allocation
Kentucky	\$67,319,140	\$13,463,828	40.6%	\$21,852,975	\$5,385,531	\$26,616,806
Louisiana	\$106,593,900	\$21,318,780	41.4%	\$35,291,484	\$8,527,512	\$41,456,124
Maine	\$35,936,920	\$7,187,384	40.4%	\$11,612,124	\$2,874,954	\$14,262,458
Maryland	\$68,611,060	\$13,722,212	40.5%	\$22,235,002	\$5,488,885	\$27,164,962
Massachusetts	\$73,233,910	\$14,646,782	41.3%	\$24,172,599	\$5,858,713	\$28,555,816
Michigan	\$105,904,990	\$21,180,998	40.4%	\$34,230,277	\$8,472,399	\$42,021,316
Minnesota	\$74,459,590	\$14,891,918	39.7%	\$23,631,725	\$5,956,767	\$29,979,180
Mississippi	\$52,543,050	\$10,508,610	41.2%	\$17,307,321	\$4,203,444	\$20,523,675
Missouri	\$75,807,060	\$15,161,412	40.2%	\$24,373,373	\$6,064,565	\$30,207,710
Montana	\$35,692,560	\$7,138,512	40.1%	\$11,443,214	\$2,855,405	\$14,255,430
Nebraska	\$45,813,680	\$9,162,736	39.5%	\$14,469,708	\$3,665,094	\$18,516,141
Nevada	\$48,200,980	\$9,640,196	39.8%	\$15,330,043	\$3,856,078	\$19,374,663
New Hampshire	\$34,952,780	\$6,990,556	39.8%	\$11,117,459	\$2,796,222	\$14,048,543
New Jersey	\$91,840,040	\$18,368,008	40.6%	\$29,829,567	\$7,347,203	\$36,295,261
New Mexico	\$43,999,070	\$8,799,814	40.9%	\$14,403,723	\$3,519,926	\$17,275,607
New York	\$159,338,380	\$31,867,676	41.0%	\$52,255,793	\$12,747,070	\$62,467,840
North Carolina	\$104,918,280	\$20,983,656	40.5%	\$34,005,144	\$8,393,462	\$41,536,018
North Dakota	\$37,338,470	\$7,467,694	39.7%	\$11,855,531	\$2,987,078	\$15,028,167
Ohio	\$124,875,180	\$24,975,036	40.5%	\$40,478,878	\$9,990,014	\$49,431,252
Oklahoma	\$64,764,840	\$12,952,968	39.9%	\$20,692,567	\$5,181,187	\$25,938,117
Oregon	\$57,046,250	\$11,409,250	40.0%	\$18,265,192	\$4,563,700	\$22,808,108
Pennsylvania	\$129,980,360	\$25,996,072	40.3%	\$41,888,621	\$10,398,429	\$51,697,238
Puerto Rico	\$42,698,980	\$8,539,796	40.8%	\$13,926,636	\$3,415,918	\$16,816,630
Rhode Island	\$32,006,100	\$6,401,220	40.4%	\$10,349,361	\$2,560,488	\$12,695,031



# SCEP

STATE & COMMUNITY ENERGY PROGRAMS

State/ Territory	Home Energy Performance-Based, Whole-House Rebate Allocations	Max 20% Ceiling for Program Administration for Efficiency Rebates	% of Low-Income Households (<80% AMI) in the State <sup>71</sup>	Min Allocations for Low-Income HHs	Min 10% Low-Income Multifamily Allocation	Max Open Efficiency Rebate Allocation
South Carolina	\$68,852,430	\$13,770,486	39.9%	\$22,002,584	\$5,508,194	\$27,571,166
South Dakota	\$34,379,110	\$6,875,822	40.2%	\$11,043,331	\$2,750,329	\$13,709,628
Tennessee	\$83,877,940	\$16,775,588	40.0%	\$26,820,076	\$6,710,235	\$33,572,041
Texas	\$346,022,980	\$69,204,596	38.7%	\$107,222,372	\$27,681,838	\$141,914,173
Utah	\$50,698,180	\$10,139,636	39.4%	\$15,999,174	\$4,055,854	\$20,503,516
Vermont	\$29,362,920	\$5,872,584	40.2%	\$9,433,471	\$2,349,034	\$11,707,832
Virginia	\$94,537,110	\$18,907,422	39.9%	\$30,160,999	\$7,562,969	\$37,905,721
Washington	\$83,266,580	\$16,653,316	40.8%	\$27,186,589	\$6,661,326	\$32,765,349
West Virginia	\$44,275,290	\$8,855,058	39.4%	\$13,939,748	\$3,542,023	\$17,938,460
Wisconsin	\$74,904,830	\$14,980,966	39.3%	\$23,552,694	\$5,992,386	\$30,378,783
Wyoming	\$34,686,390	\$6,937,278	41.2%	\$11,428,181	\$2,774,911	\$13,546,020
Guam	\$25,815,420	\$5,163,084	39.8%	\$8,214,909	\$2,065,234	\$10,372,194
U.S. Virgin Islands	\$25,660,980	\$5,132,196	41.2%	\$8,463,914	\$2,052,878	\$10,011,992
American Samoa	\$25,069,710	\$5,013,942	40.1%	\$8,049,740	\$2,005,577	\$10,000,451
Northern Marianas	\$24,984,780	\$4,996,956	40.7%	\$8,137,233	\$1,998,782	\$9,851,809
<b>TOTAL</b>	<b>\$4,171,000,000</b>	<b>\$834,200,000</b>		<b>\$1,341,013,179</b>	<b>\$333,680,000</b>	<b>\$1,662,106,821</b>



Table 14. High Efficiency Electric Home Rebate Allocations (50122)

State/ Territory	High Efficiency Electric Home Rebate Allocations	Max 20% Ceiling for Program Administration for Electrification Rebates	% of Low-Income Households (<80% AMI) in the State <sup>72</sup>	Min Allocations for Low-Income HHs	Min 10% Low-Income Multifamily Allocation	Max Open Electrification Rebate Allocation
Alabama	\$72,607,220	\$14,521,444	41.0%	\$23,792,213	\$5,808,578	\$28,484,986
Alaska	\$37,150,940	\$7,430,188	39.1%	\$11,626,056	\$2,972,075	\$15,122,621
Arizona	\$76,421,080	\$15,284,216	39.7%	\$24,263,834	\$6,113,686	\$30,759,343
Arkansas	\$52,433,010	\$10,486,602	40.5%	\$16,991,309	\$4,194,641	\$20,760,459
California	\$290,252,580	\$58,050,516	40.7%	\$94,411,568	\$23,220,206	\$114,570,289
Colorado	\$69,985,890	\$13,997,178	39.6%	\$22,175,403	\$5,598,871	\$28,214,437
Connecticut	\$49,541,390	\$9,908,278	40.8%	\$16,188,989	\$3,963,311	\$19,480,812
Delaware	\$32,837,400	\$6,567,480	39.8%	\$10,444,922	\$2,626,992	\$13,198,006
District of Columbia	\$29,635,400	\$5,927,080	41.4%	\$9,820,164	\$2,370,832	\$11,517,324
Florida	\$172,657,670	\$34,531,534	40.2%	\$55,524,939	\$13,812,614	\$68,788,584
Georgia	\$109,178,020	\$21,835,604	40.5%	\$35,381,281	\$8,734,242	\$43,226,894
Hawaii	\$34,093,900	\$6,818,780	39.8%	\$10,867,062	\$2,727,512	\$13,680,546
Idaho	\$40,367,910	\$8,073,582	39.1%	\$12,618,203	\$3,229,433	\$16,446,692
Illinois	\$131,452,470	\$26,290,494	40.4%	\$42,536,821	\$10,516,198	\$52,108,957
Indiana	\$90,772,430	\$18,154,486	40.0%	\$29,057,712	\$7,261,794	\$36,298,438
Iowa	\$60,473,810	\$12,094,762	39.7%	\$19,188,140	\$4,837,905	\$24,353,003
Kansas	\$52,663,910	\$10,532,782	39.9%	\$16,808,817	\$4,213,113	\$21,109,198
Kentucky	\$66,927,750	\$13,385,550	40.6%	\$21,725,923	\$5,354,220	\$26,462,057
Louisiana	\$105,972,960	\$21,194,592	41.4%	\$35,085,901	\$8,477,837	\$41,214,631

<sup>72</sup> The DOE used data from the American Community Survey (2021) and the Decennial Census of Island Areas (2020). See: U.S. Census Bureau, American Community Survey 2021, *ACS 5-Year Estimates Subject Tables*, Table S1901, accessed July 2023 ([source link](#)); U.S. Census Bureau, Decennial Census of Island Areas 2020, *DECIA Northern Marian Islands Demographic Profile*, Table DP3, accessed July 2023 ([source link](#)).



# SCEP

STATE & COMMUNITY ENERGY PROGRAMS

State/ Territory	High Efficiency Electric Home Rebate Allocations	Max 20% Ceiling for Program Administration for Electrification Rebates	% of Low-Income Households (<80% AMI) in the State <sup>72</sup>	Min Allocations for Low-Income HHs	Min 10% Low-Income Multifamily Allocation	Max Open Electrification Rebate Allocation
Maine	\$35,728,050	\$7,145,610	40.4%	\$11,544,633	\$2,858,244	\$14,179,563
Maryland	\$68,212,540	\$13,642,508	40.5%	\$22,105,852	\$5,457,003	\$27,007,177
Massachusetts	\$72,809,130	\$14,561,826	41.3%	\$24,032,390	\$5,824,730	\$28,390,183
Michigan	\$105,291,160	\$21,058,232	40.4%	\$34,031,877	\$8,423,293	\$41,777,759
Minnesota	\$74,027,440	\$14,805,488	39.7%	\$23,494,571	\$5,922,195	\$29,805,186
Mississippi	\$52,237,320	\$10,447,464	41.2%	\$17,206,615	\$4,178,986	\$20,404,255
Missouri	\$75,366,640	\$15,073,328	40.2%	\$24,231,770	\$6,029,331	\$30,032,211
Montana	\$35,484,830	\$7,096,966	40.1%	\$11,376,614	\$2,838,786	\$14,172,463
Nebraska	\$45,547,120	\$9,109,424	39.5%	\$14,385,518	\$3,643,770	\$18,408,408
Nevada	\$47,920,160	\$9,584,032	39.8%	\$15,240,729	\$3,833,613	\$19,261,786
New Hampshire	\$34,749,580	\$6,949,916	39.8%	\$11,052,827	\$2,779,966	\$13,966,871
New Jersey	\$91,307,380	\$18,261,476	40.6%	\$29,656,560	\$7,304,590	\$36,084,754
New Mexico	\$43,742,970	\$8,748,594	40.9%	\$14,319,885	\$3,499,438	\$17,175,053
New York	\$158,415,850	\$31,683,170	41.0%	\$51,953,245	\$12,673,268	\$62,106,167
North Carolina	\$104,307,840	\$20,861,568	40.5%	\$33,807,294	\$8,344,627	\$41,294,351
North Dakota	\$37,121,060	\$7,424,212	39.7%	\$11,786,500	\$2,969,685	\$14,940,663
Ohio	\$124,150,970	\$24,830,194	40.5%	\$40,244,122	\$9,932,078	\$49,144,577
Oklahoma	\$64,388,040	\$12,877,608	39.9%	\$20,572,179	\$5,151,043	\$25,787,210
Oregon	\$56,714,440	\$11,342,888	40.0%	\$18,158,952	\$4,537,155	\$22,675,444
Pennsylvania	\$129,226,380	\$25,845,276	40.3%	\$41,645,637	\$10,338,110	\$51,397,357
Puerto Rico	\$42,451,090	\$8,490,218	40.8%	\$13,845,784	\$3,396,087	\$16,719,000
Rhode Island	\$31,820,030	\$6,364,006	40.4%	\$10,289,195	\$2,545,602	\$12,621,227
South Carolina	\$68,451,650	\$13,690,330	39.9%	\$21,874,510	\$5,476,132	\$27,410,678
South Dakota	\$34,178,990	\$6,835,798	40.2%	\$10,979,048	\$2,734,319	\$13,629,824
Tennessee	\$83,390,060	\$16,678,012	40.0%	\$26,664,075	\$6,671,205	\$33,376,768



# SCEP

STATE & COMMUNITY ENERGY PROGRAMS

State/ Territory	High Efficiency Electric Home Rebate Allocations	Max 20% Ceiling for Program Administration for Electrification Rebates	% of Low-Income Households (<80% AMI) in the State <sup>72</sup>	Min Allocations for Low-Income HHs	Min 10% Low-Income Multifamily Allocation	Max Open Electrification Rebate Allocation
Texas	\$344,006,590	\$68,801,318	38.7%	\$106,597,552	\$27,520,527	\$141,087,193
Utah	\$50,403,030	\$10,080,606	39.4%	\$15,906,031	\$4,032,242	\$20,384,150
Vermont	\$29,192,160	\$5,838,432	40.2%	\$9,378,611	\$2,335,373	\$11,639,745
Virginia	\$93,987,430	\$18,797,486	39.9%	\$29,985,629	\$7,518,994	\$37,685,320
Washington	\$82,782,050	\$16,556,410	40.8%	\$27,028,390	\$6,622,564	\$32,574,686
West Virginia	\$44,017,970	\$8,803,594	39.4%	\$13,858,733	\$3,521,438	\$17,834,205
Wisconsin	\$74,470,200	\$14,894,040	39.3%	\$23,416,031	\$5,957,616	\$30,202,513
Wyoming	\$34,484,390	\$6,896,878	41.2%	\$11,361,628	\$2,758,751	\$13,467,133
Guam	\$25,665,110	\$5,133,022	39.8%	\$8,167,078	\$2,053,209	\$10,311,802
U.S. Virgin Islands	\$25,511,580	\$5,102,316	41.2%	\$8,414,636	\$2,040,926	\$9,953,701
American Samoa	\$24,923,740	\$4,984,748	40.1%	\$8,002,870	\$1,993,899	\$9,942,223
Northern Marianas	\$24,839,290	\$4,967,858	40.7%	\$8,089,848	\$1,987,143	\$9,794,440
<b>TOTAL</b>	<b>\$4,146,750,000</b>	<b>\$829,350,000</b>		<b>\$1,333,216,677</b>	<b>\$331,740,000</b>	<b>\$1,652,443,323</b>



## 8.0 Appendix B: Consumer Satisfaction Questions

A DOE priority is that consumers have an overall positive experience with these State rebate programs and experience significant value from their participation. As such, DOE requires States to establish QA plans for their programs to ensure consumer satisfaction, as outlined in sections 3.2.5 and 4.2.5. As part of the required QA plan, States must survey households on their experience at least 3 months and no more than 6 months after the project’s completion date. This window is designed to allow time for bill payers and occupants to observe differences in their bills and/or comfort of their home. The table below displays the survey questions that States must include in their consumer satisfaction surveys.

Table 15. Consumer Satisfaction Survey Questions and Scale

Question	Scale
It was easy to understand the rebate requirements and provide the needed information	Scale: Strongly Disagree = 1, Strongly Agree = 5, (include “Don’t Know” and “Not Applicable”)
It was easy to find a contractor/retailer	
The contractor/retailer provided a high-quality of service	
The rebate was a major reason for my purchase	
My new efficiency upgrades perform well	
My home is more comfortable than it was before the new efficiency upgrades	
My energy bills are lower since the new efficiency upgrades	
Overall, I am satisfied with my experience with the [Rebate name] program	
I would recommend this program to a friend or family member who could use it	
I plan to do more to save energy in my home because of my experience with this program	





## IRA HOME ENERGY REBATES: DATA & TOOLS REQUIREMENTS GUIDE

### VERSION 1.1

Published on October 13, 2023

**Modification Note: This document, Version 1.1, modifies the document published on July 27, 2023, including the tables, to provide greater clarity.**

### Introduction

This guide elaborates on specific requirements noted in the DOE *Program Requirements & Application Instructions (Program Requirements)* for the Inflation Reduction Act (IRA) Home Energy Rebates Program.

This guide is intended to assist states and their designees in developing and executing data collection, tracking, and reporting plans as needed to effectively implement two residential rebate programs authorized by Sections 50121 and 50122 of the Inflation Reduction Act of 2022. The guide is organized in five parts. Parts 1, 2, and 3 address data requirements and recommendations while parts 4 and 5 focus on data systems and rebate process workflows. As indicated below, each section provides one of the following types of information: requirements, recommendations, or supplemental material that may be helpful to states in designing rebate programs. The relevant portion(s) of the *Program Requirements* are listed as references in footnotes. All required sections are consistent with and will be included on the Federal Assistance Reporting Checklist (FARC) as part of the award package.

- Parts 1 & 2 cover data collection, tracking, and reporting for the Home Efficiency Rebates (Section 50121) and the Home Electrification and Appliance Rebates (Section 50122) respectively. Each part includes –
  - a) questions to answer prior to program launch (Required for states that use the DOE Rebate Tracking System)



- b) data requirements associated with individual rebate transactions (Required<sup>1</sup>)
- c) data requirements associated with overall rebate programs (Required<sup>2</sup>)
- d) information regarding how states can share data with DOE (Recommended)
- Part 3 lists additional data elements that DOE recommends states collect and that DOE's database will accept but are not required. (Recommended)
- Part 4 describes the primary functions typically incorporated in rebate programs. (Supplemental Material)
- Part 5 briefly describes how DOE/PNNL-developed workflows can assist states in fulfilling rebate processing and data requirements; and provides a link to view the workflows. (Recommended)

The Department of Energy's IRA Rebates Team (herein, DOE) working with a team at the Pacific Northwest National Laboratory (PNNL), developed the recommended workflows after significant engagement of program implementers, states, retailers, IT firms, and other stakeholders. The DOE/PNNL team prioritized the following principles in developing both the workflows and data reporting structure:

- Ensure that rebate processes are as simple as possible for states, homeowners, retailers/vendors, contractors, and others;
- Reduce the reporting burden of states and their program implementers;
- Ensure consistent data specifications for the purposes of tracking & evaluation; and,
- Leverage private sector expertise in areas such as rebate processing, verifying income, and developing user-centered interfaces.

A few additional points to keep in mind when reviewing this document:

- The DOE/PNNL team strongly recommends that states and their program implementers use the provided workflows (see Part 5 of this document or workflows on <https://www.pnnl.gov/projects/rebate-tools>). They are designed to both simplify tracking and reporting, as well as facilitate engagement of national and other stakeholders (e.g., retailers).
  - Given that some states may choose to integrate these rebates with existing programs and workflows, states can choose to use different workflows. In such cases, the state is required to attain DOE's approval for its alternative workflows.
- DOE/PNNL has developed two application interfaces (APIs), located at <https://www.pnnl.gov/projects/rebate-tools>, to assist states with implementation and reporting.

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<sup>1</sup> See *Program Requirements*: Sections 3.1.2; 3.1.3; 3.1.5; 3.2.2; 3.2.4; 4.1.3; 4.1.5; 4.1.6; 4.2.4

<sup>2</sup> See *Program Requirements*: Sections 3.1.6.2; 4.1.7.1

- The “Address API” converts a building address to a unique address ID, allows comparison with AMI values (based on location and household size) to determine rebate level eligibility, and determines if the address is located in a disadvantaged community (DAC).
  - The “Main API” accepts required and optional data; and, creates rebate reservations and redemptions.
- All states must meet the data collection and reporting requirements outlined in this guide.
  - States that use the DOE/PNNL workflows will use the DOE/PNNL Main API to submit the majority of required data. This will reduce the reporting burden significantly.
  - States that do NOT use the DOE/PNNL workflows have the option to either use the Main API or a DOE/PNNL standardized spreadsheet to submit data.
- States must adhere to the data security requirements described in the *Program Requirements*.
- DOE may request, pursuant to privacy rules, any data elements that states must retain, for the purposes of audits or other needs.
- While this guide breaks out requirements and recommendations for each of the two rebate programs, some states may elect to build one system to implement both types of rebate programs.
- If a state elects to change relevant program designations (e.g., low-income allocations, rebate amounts) over the course of implementing the rebate programs, they must notify the DOE/PNNL team prior to making such a change so that the system can be updated accordingly. This is particularly important for states that use the DOE/PNNL workflows.
- DOE/PNNL expects that clarifications and revisions will be needed to address questions and comments that arise as states and implementers begin to design and launch their programs. Once these issues are resolved, DOE/PNNL will strive to keep changes and updates to a minimum. Throughout the course of the rebates, DOE/PNNL will alert states prior to making any changes to this document, workflows, or the APIs and provide appropriate lead time for states to make any required changes (unless there’s a critical system problem that needs to be fixed immediately).

Finally, the DOE/PNNL team is committed to working with states and their program implementers to ensure that data collection, reporting, and tracking – as well as rebate processing – are simple and effective. If you have any questions about the content in the document, please feel free to reach out to the data and tools team in the “Contact Us” section of the <https://www.pnnl.gov/projects/rebate-tools> webpage.

## Part 1: Home Efficiency Rebates

### A) 50121 Rebates: Pre-Launch Information (Recommended)

States that plan to use the DOE Rebate Tracking System must provide all of the following information BEFORE launching their 50121 program. DOE/PNNL needs this information to understand how PNNL's IT team will need to engage with the state and/or its implementer. States can provide this information in any format; however, DOE/PNNL will provide an administrative portal or the standardized Excel spreadsheet for states that prefer to provide the information through one of these mechanisms.

If a state elects to change relevant program designations (e.g., low-income allocations, rebate amounts) over the course of implementing the rebate programs, they must notify the DOE/PNNL team prior to making such a change so that the system can be updated accordingly.

Pre Launch Data Details	Additional Notes
Anticipated program launch date	
Which companies will you be working with to implement your IRA rebates?	
Please name and contact information for all technical contacts within that company that should have access to the DOE/PNNL APIs	
Do you plan to integrate your IRA rebates with any other existing rebate programs?	Yes/No
If yes, please provide more detail	
Does the state plan to allow the modeled savings approach at time of program launch?	Yes/No
Does the state plan to allow the measured savings approach at time of program launch?	Yes/No
How much funding does the state initially want to allocate to the HOMES rebates?	
What percentage of the state's HOMES allocation does the state want to reserve for households with income <80% AMI?	
If allowing both modeled and measured savings approaches, does the state want to designate percentage allocations for the two methods?	Yes/No
If yes, what percentage for modeled?	

Pre Launch Data Details	Additional Notes
If yes, what percentage for measured?	
If reserving funds specifically for rental properties, what percent of its HOMES rebates does the state want to reserve for single-family homes not occupied by the owner?	
What percent of its HOMES rebates does the state want to reserve for multifamily building owners?	
How does the state plan to fulfill the photo documentation QA requirements?	DOE QA tool, other QA process
If the state is planning to offer a higher rebate for low-income qualifying homes, please state the amount and percentage caps. Note if you've received or are awaiting DOE approval.	
How does the state plan to fulfill the photo documentation QA requirements?	DOE QA tool, other QA process
For modeled savings approach projects, what amount of time does the state plan to allow a rebate reservation to be active for single-family buildings?	1 month, 6 months, 1 year, N/A (not using modeled)
For modeled savings approach projects, what amount of time does the state plan to allow a rebate reservation to be active for multifamily buildings (where more than one unit is being updated)?	1 month, 6 months, 1 year, 2 years, N/A (not using modeled)
For measured savings approach projects, what amount of time does the state plan to allow a rebate reservation to be active for single-family buildings?	15 months, 18 months, 2 years, N/A (not using measured)
For measured savings approach projects, what amount of time does the state plan to allow a rebate reservation to be active for multifamily buildings (where more than one unit is being updated)?	15 months, 18 months, 2 years, N/A (not using measured)
If the state is planning to offer a higher rebate for low-income qualifying homes, please state the amount and percentage caps. Note if you've received or are awaiting DOE approval.	Dollar & percentage caps for single-family? For multifamily? (only required by states proposing different dollar and percentage caps for 50121)

Pre Launch Data Details	Additional Notes
Map of DACs for the state	<p>PNNL to provide formatting for this element at <a href="http://pnnl.gov/projects/rebate-tools">pnnl.gov/projects/rebate-tools</a>. If using CESJT to define DAC locations, this does NOT need to be provided.</p> <p>If NOT using CESJT, PNNL will provide formatting for this element at <a href="http://pnnl.gov/projects/rebate-tools">pnnl.gov/projects/rebate-tools</a>.</p>

### B) 50121 Rebates: Transaction Data Collection & Reporting (Required)

The table below lists all the data that is required to be collected by the state or a third party for each rebate transaction associated with the Home Efficiency Rebates.

- All the following data elements must be collected and retained by the state or its implementer.
- Some of the following data elements must ALSO be reported to DOE.
- Note that a state can elect to share any of the following data elements with DOE via the Main API or standardized spreadsheet unless otherwise noted.

Methods of Reporting:

- For states that elect to use the DOE/PNNL Rebate Tracker, the DOE will automatically receive this data via the DOE/PNNL Main API at the time of each transaction.
- For states that elect NOT to use the DOE/PNNL Rebate Tracker, states must submit this data no less than quarterly via the DOE/PNNL Main API or a spreadsheet with the format provided by DOE/PNNL.

Any data components not designated as “Report to DOE” must be retained and provided to DOE upon request.

Data Category <sup>3</sup>	Specific Data Element	Suggested Drop Down Options & Other Information	Required to Report to DOE	Additional Notes
Initiate Rebate Request	Rebate Type <sup>4</sup>	<ul style="list-style-type: none"> <li>Modeled Savings</li> <li>Measured Savings</li> </ul>	X	
Initiate Rebate Request	Claimant Type	<ul style="list-style-type: none"> <li>Homeowner</li> <li>Multifamily Building Owner</li> <li>Contractor</li> <li>Aggregator</li> <li>Other</li> </ul>	X	
Initiate Rebate Request	Claimant Email			Do NOT share this data point with DOE.
Initiate Rebate Request	Unique Project Identifier		X	
Initiate Rebate Request	Term of rebate reservation		X	Only required for states using DOE workflows
Household Eligibility	Methods Used to Establish Income Qualification	<ul style="list-style-type: none"> <li>Social Security Number (with link to IVES)</li> <li>List of Categorical Eligibility Programs</li> <li>Pay stubs</li> <li>Other</li> </ul>		Only for applicants requesting income-qualifying rebate levels
Household Eligibility	Number of people in household			Only for applicants requesting income-qualifying rebate levels

<sup>3</sup> Data categories listed refer to components of the workflows listed in Part 5 of this document.

<sup>4</sup> If a state is offering both 50121 and 50122 rebates, then this question could be part of a combined user interface and the additional option would be the electrification rebates.

Data Category <sup>3</sup>	Specific Data Element	Suggested Drop Down Options & Other Information	Required to Report to DOE	Additional Notes
Household Eligibility	Income Bucket	<ul style="list-style-type: none"> <li>&lt;80% AMI</li> <li>&gt;=80% AMI</li> </ul>	X	<p>DOE/PNNL's Address API allows programs to compare a household's income with up-to-date AMI levels corresponding to address &amp; occupancy<sup>5</sup>. All programs are REQUIRED to use this API.</p> <p>Only for applicants requesting income-qualifying rebate levels</p>
Home Eligibility	Disadvantaged Community	Yes/No	X	
Household Eligibility	New or Existing Construction	New/Existing	X	
Home Eligibility	Building address			<p>Do NOT share this data point with DOE. Address must be entered in the separate Address API, which will create the unique address identifier for the Main API.</p>
Home Eligibility	Building Type	<ul style="list-style-type: none"> <li>Single Family</li> <li>Multifamily</li> </ul>	X	

<sup>5</sup> Address API is provided on <https://www.pnnl.gov/projects/rebate-tools>

Data Category <sup>3</sup>	Specific Data Element	Suggested Drop Down Options & Other Information	Required to Report to DOE	Additional Notes
Home Eligibility	If MF, number of units in building		X	
Home Eligibility	If MF, percent of units that meet <80% AMI bucket	Between 0 and 100	X	
Home Eligibility Information	Year Built	<ul style="list-style-type: none"> <li>• Before 1940</li> <li>• 1940-1979</li> <li>• 1980-2009</li> <li>• 2010 or later</li> </ul>	X	
Home Eligibility Information	Conditioned Floor Area of SF Home	<ul style="list-style-type: none"> <li>• N/A</li> <li>• &lt; 500 sf</li> <li>• 500 – 1500 sf</li> <li>• 1500 – 2500 sf</li> <li>• &gt; 2500 sf</li> </ul>	X	
Home Eligibility Information	Conditioned Floor Area of MF Building		X	Enter zero if NOT MF
Home Eligibility Information	Utility bill company(ies)		X	
Home Eligibility Information	Utility Account Number(s)			Do not share with DOE.
Home Eligibility Information	Unique Identifier(s) for Utility Account(s)		X	
Modeled	The 12 months of utility usage data prior to upgrade		X	Not required for non-calibrated models; DOE to provide methods for sharing utility information subject to PII restrictions

Data Category <sup>3</sup>	Specific Data Element	Suggested Drop Down Options & Other Information	Required to Report to DOE	Additional Notes
Measured	The 12 months of utility usage data prior to upgrade AND the 12 months of utility usage data post-upgrade		X	DOE to provide methods for sharing utility information subject to PII restrictions
Contractor Eligibility	Is contractor eligible?	Yes/No		
Contractor Information	Company Name			
Contractor Information	Company Phone Number			
Contractor Information	Company Email			
Measure Eligibility	Original component(s) details	See Appendix	X	See Appendix A
Measure Eligibility	Home component(s) to be upgraded	<ul style="list-style-type: none"> <li>Windows, wall insulation, ceiling insulation, foundation insulation, electrical panel, water heater, heating equipment (select for all heat pumps), cooling equipment, cooktop, clothes dryer, (suggest alphabetical)</li> </ul>	X	
Measure Eligibility	Current rebate request amount	7 digit maximum		Not required for spreadsheet

Data Category <sup>3</sup>	Specific Data Element	Suggested Drop Down Options & Other Information	Required to Report to DOE	Additional Notes
Quality Assurance	Proof of quality installation and installation at designated address		X	This should be a geo-tagged photo of installed equipment. Recommend PNNL quality installation tool to meet this requirement.
Final Rebate Payout	Amount of rebate deducted upon proof of installation		X	
Project Cost	Final Project Cost		X	
Project Cost	Equipment & Materials		X	
Project Cost	Installation costs		X	
Project Completion	Project Completion Date		X	
Project Invoice	Project Invoices			
Building Owner Signature	Signature or electronic signature confirming that the improvements were made at the address on the coupon			
Home Since Assessment Data	All home assessment data required	HPXML File		
Modeled Savings	BPI 2400 compliant, DOE approved software used		X	
Modeled Savings	Modeled energy savings		X	
Modeled Savings	Modeled electric energy savings		X	

Data Category <sup>3</sup>	Specific Data Element	Suggested Drop Down Options & Other Information	Required to Report to DOE	Additional Notes
Modeled Savings	Modeled natural gas energy savings		X	
Modeled Savings	Modeled delivered fuel savings		X	
Modeled Savings	Model inputs and outputs			This refers to the data file with model inputs and outputs.
Home Assessment Data	All home assessment data required	HPXML File	X	
Measured Savings	Software used to estimate energy savings		X	
Measured Savings	Estimated energy savings (at the time of the project)		X	
Home Assessment Data	All home assessment data required	HPXML File	X	
Measured Savings Actual	Measured energy savings		X	
Measured Savings Actual - Portfolio	Measured energy savings (across all fuel types)		X	
Measured Savings	Measured electric energy savings		X	
Measured Savings	Measured Natural Gas energy savings		X	
Measured Savings	Measured Delivered fuel savings		X	

## C) 50121 Rebates: Programmatic Data Tracking & Reporting (Required)

The following programmatic data must be tracked by States and/or a designee:

- States must submit this information on a quarterly basis through the DOE PAGE system.
- States can use DOE/PNNL-provided admin access to its centralized rebate database to download information required for any fields noted with an “X”.
- Data in the DOE/PNNL central rebate database will be –
  - updated live for those states that use the DOE-provided workflows; and,
  - updated quarterly for those states that submit the data required in part (b) via the Main API or DOE-provided spreadsheet.

States can use the DOE central database to assemble this information via DOE-provided admin access where noted in the right column.

Data Element	Details if Applicable	Can be Downloaded from DOE Central Database
Total administrative Spend		
Other funds leveraged?	Yes/No	
Type/Source of other funds (if applicable)		
Amount of leveraged funds		
Number of \$200 Installer Bonuses		
Other project-related costs		
List of qualified contractors	Provide a link to a live list that the state will keep updated	
Rebate funds allocated		X
Number of homes receiving rebates		X
Number of projects by LMI		X
Number of projects by DAC		X
Number of single-family projects		X
Number of multi-family projects		X
Rebate funding to LMI households		X
Rebate funding to DAC households		X

Data Element	Details if Applicable	Can be Downloaded from DOE Central Database
Rebate funding to single family projects		X
Rebate funding to multi-family projects		X
Portfolio energy savings (modeled only)		X
Portfolio energy savings (measured only)		X

### D) 50121 Rebates: Application Programming Interface (API) (Recommended)

Those states that use either or both APIs need to refer to the API documentation defined in a living document and located on this webpage: <https://www.pnnl.gov/projects/rebate-tools>.

Note: DOE/PNNL will notify all API users of API updates, with the goal of ONLY updating the APIs on an annual basis (if needed). Interim updates may be required should program requirements be modified or a functional problem is found.

## Part 2: Home Electrification & Appliances Rebates

### A) 50122 Rebates: Pre-Launch Information (Recommended)

States that plan to use the DOE Rebate Tracking System must provide all of the following information BEFORE launching their 50122 program. DOE/PNNL needs this information to understand how PNNL’s IT team will need to engage with the state and/or its implementer. States can provide this information in any format; however, DOE/PNNL will provide an administrative portal or the standardized Excel spreadsheet for states that prefer to provide the information through one of these mechanisms.

If a state elects to change relevant program designations (e.g., low-income allocations, rebate amounts) over the course of implementing the rebate programs, they must notify the DOE/PNNL team prior to making such a change so that the system can be updated accordingly.

Pre Launch Data Details	Additional Information
Anticipated program launch date	
If your state is working with a program implementer and/or software vendor(s) to offer the IRA rebates, please provide their name(s).	
Do you plan to integrate your IRA rebates with any other existing state-wide rebate programs?	Yes/No
If yes, please provide more detail	
Will your state offer the 50122 electrification rebates?	Yes/No
How much funding does the state <u>initially</u> want to allocate to the 50122 electrification rebates?	
What percent of its electrification fund allocation does the state want to reserve for households with income <80% AMI?	
If reserving funds specifically for rental properties, what percent of its 50122 electrification rebates does the state want to reserve for single family homes not occupied by the owner?	
What percent of its 50122 electrification rebates does the state want to reserve for multifamily building owners?	

Pre Launch Data Details	Additional Information
Which electrification rebates will the state offer?	Windows, wall insulation, ceiling insulation, foundation insulation, electrical panel, water heater, heating equipment (select for all heat pumps), cooling equipment, cooktop, clothes dryer, battery
Does the state plan to restrict certain product types from getting coupons (e.g., no rebates allowed for heat pump dryers)?	
Does the state plan to restrict the total amount of funds provided for a specific product type (e.g., no more than \$2,000,000 will be given out for heat pump dryers)?	
What is the maximum amount that the state will offer for each individual product rebate type for single family homes?	PNNL/DOE will provide a pre-formatted table for this response.
What is the maximum amount that the state will offer for each electrification rebate in multifamily buildings?	
How does the state plan to fulfill the photo documentation QA requirements?	DOE QA tool, other QA process
In addition to requiring mini-assessments for heating & cooling projects, will the state require mini-assessments for other 50122 projects? If yes, list all rebate-covered product types for which the state will require a mini-assessment?	
How long does your state plan to allow a coupon to remain viable after rebate request is made (i.e., expiration date)?	Expires after 30 days, 45 days, other
Map of DACs for the state	<p>PNNL to provide formatting for this element at <a href="https://www.pnnl.gov/projects/rebate-tools">https://www.pnnl.gov/projects/rebate-tools</a>.</p> <p>If using CESJT to define DAC locations, this does NOT need to be provided.</p> <p>If NOT using CESJT, PNNL will provide formatting for this element at <a href="https://www.pnnl.gov/projects/rebate-tools">https://www.pnnl.gov/projects/rebate-tools</a>.</p>

## B) 50122 Rebates: Transaction Data Collection & Reporting (Required)

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The table below lists all the data that is required to be collected by the state or a third party for each rebate transaction associated with the 50122 rebates.

- All the following data elements must be collected and retained by the state or its implementer.
- Some of the following data elements must ALSO be reported to DOE.
- Note that a state can elect to share any of the following data elements with DOE via the Main API or standardized spreadsheet unless otherwise noted.

Methods of Reporting:

- For states that elect to use the DOE/PNNL Rebate Tracker, DOE will automatically receive this data via the DOE/PNNL Main API at the time of each transaction.
- For states that elect NOT to use the DOE/PNNL Rebate Tracker, states must submit this data no less than quarterly via the DOE/PNNL Main API or a spreadsheet with the format provided by DOE/PNNL.

Any data components not designated as “Report to DOE” must be retained and provided to DOE upon request.

Data Category	Specific Data Element	Suggested Drop Down Options or Coding	Report to DOE	Additional Notes
Rebate Initiation	Rebate Type <sup>6</sup>	Electrification	X	
Rebate Initiation	Claimant Type	<ul style="list-style-type: none"> <li>• Homeowner</li> <li>• Multifamily Building Owner</li> <li>• Contractor</li> <li>• Other</li> </ul>	X	
Rebate Initiation	Claimant Email			

<sup>6</sup> If a state is offering both 50121 and 50122 rebates, then this question could be part of a combined user interface and the additional option would be the electrification rebates.



Data Category	Specific Data Element	Suggested Drop Down Options or Coding	Report to DOE	Additional Notes
Rebate Initiation	Unique Project Identifier		X	Information regarding creation of unique project ID will be provided in the Main API documentation and the PNNL web page ( <a href="http://pnnl.gov/projects/rebate-tools">pnnl.gov/projects/rebate-tools</a> )
Occupant Basic Info	Permission to share energy data with State and DOE for evaluation purposes		X	
Occupant Basic Info	Owner or Renter Occupied			
Rebate Initiation	Term of Rebate Reservation		X	This refers to the number of months that a coupon will be valid. Only required for states using DOE workflows.
Household Eligibility	Methods Used to Establish Income Qualifications	<ul style="list-style-type: none"> <li>• Social Security Number (with link to IVES)</li> <li>• List of Categorical Eligibility Programs</li> <li>• Pay stubs</li> <li>• Other</li> </ul>		See list of categorically eligible programs in document referenced in the DOE Requirements Document for Rebate Programs (ALRD #2)

Data Category	Specific Data Element	Suggested Drop Down Options or Coding	Report to DOE	Additional Notes
Household Eligibility	Disadvantaged Community	Yes/No	X	If the state uses the DOE map (CEJST) for designating Disadvantaged Communities, this additional data field is optional. If the state uses a different method for designating Disadvantaged Communities, the state must provide their map with designated disadvantaged communities to DOE/PNNL and/or include this data field separately in their data collection and reporting.
Household Eligibility	New or Existing Construction	New/Existing	X	
Household Eligibility	Number of people in household			<ul style="list-style-type: none"> <li>See Address API</li> </ul>
Household Eligibility	Income Bucket	<ul style="list-style-type: none"> <li>&lt;80%</li> <li>80% AMI I&lt;=X</li> <li>&lt;150% AMI</li> </ul>	X	<ul style="list-style-type: none"> <li>See Address API</li> </ul>
Home Eligibility	Building address			<ul style="list-style-type: none"> <li>Address must be entered in the Address API, which will create the unique address identifier for the Main API.</li> </ul>

Data Category	Specific Data Element	Suggested Drop Down Options or Coding	Report to DOE	Additional Notes
Home Eligibility	Unique Address Identifier		X	Information regarding creation of unique address ID will be provided in the Address API and the PNNL web page (pnnl.gov/projects/rebate-tools)
Home Eligibility	Building Type	<ul style="list-style-type: none"> <li>• Single Family</li> <li>• Multifamily</li> </ul>	X	
Home Eligibility	If MF, is project applied to entire building or one unit?	<ul style="list-style-type: none"> <li>• Whole Building</li> <li>• One Unit</li> </ul>	X	
Home Eligibility	If entire MF building, number of units in building		X	
Home Eligibility	If entire MF building, percent of units that are in <80% AMI bucket or are in the >80% AMI and <150% AMI bucket	Between 0 and 100	X	
Home Eligibility	If single unit in MF building, what's the income bucket of tenant in that unit?	<ul style="list-style-type: none"> <li>• &lt;80 % AMI</li> <li>• &gt;80% AMI and &lt;150% AMI</li> </ul>	X	
Home Eligibility	If single unit in MF building, what's unit number?		X	

Data Category	Specific Data Element	Suggested Drop Down Options or Coding	Report to DOE	Additional Notes
Home Eligibility	Prior IRA rebated amounts	7 digit maximum		
Home Eligibility Information	Year Built	<ul style="list-style-type: none"> <li>• Before 1940</li> <li>• 1940-1979</li> <li>• 1980-2009</li> <li>• 2010 or later</li> </ul>	X	
Home Eligibility Information	Conditioned Floor Area of home	<ul style="list-style-type: none"> <li>• N/A</li> <li>• &lt; 500 sf</li> <li>• 500 – 1500 sf</li> <li>• 1500 – 2500 sf</li> <li>• &gt; 2500 sf</li> </ul>	X	
Home Eligibility Information	Conditioned Floor Area of MF Building		X	If not MF, enter zero
Home Eligibility Information	Utility bill company		X	
Home Eligibility Information	Utility Account Number(s)			
Home Eligibility Information	Unique Identifier(s) for Utility Account(s)		X	
Contractor Eligibility (If applicable)	Is contractor eligible?	Yes/No		
Contractor Information	Company Name			
Contractor Information	Company Phone Number			

Data Category	Specific Data Element	Suggested Drop Down Options or Coding	Report to DOE	Additional Notes
Contractor Information	Company Email			
Measure Eligibility	Upgrade Type	<ul style="list-style-type: none"> <li>Envelope improvements (e.g., wall insulation, ceiling insulation, air sealing, duct sealing)</li> <li>Electrical panel</li> <li>Heat pump water heater</li> <li>Air Source Heat Pump</li> <li>Heat Pump Clothes Dryer</li> <li>Electrical wiring upgrade</li> <li>Electric stovetop</li> </ul>	X	
Measure Eligibility	Original component details	See Appendix	X	See Appendix A This refers to the equipment that is either being replaced or supplemented in the home.
Measure Eligibility	Rebate reservation amount	7 digit maximum		Not required for spreadsheet

Data Category	Specific Data Element	Suggested Drop Down Options or Coding	Report to DOE	Additional Notes
National Retailer	Vendor Name (if applicable)	<ul style="list-style-type: none"> <li>• Ace</li> <li>• Home Depot</li> <li>• Lowes</li> <li>• Distributor X</li> <li>• Distributor Y</li> <li>• Additional options as needed</li> </ul>	X	System can list any vendors that link via the Main API.
Rebate Redemption at Point of Material or Equipment Purchase	Amount of rebate deducted upon material purchase		X	Only applicable if coupon used at point of sale of equipment/materials
Rebate Redemption at Point of Material or Equipment Purchase	Purchase date		X	Only applicable if coupon used at point of sale of equipment/materials  Required for each upgrade/measure
Rebate Redemption at Point of Material or Equipment Purchase	Purchased item universal product code (UPC)		X	Only applicable if coupon used at point of sale of equipment/materials  Required for each upgrade/measure
Rebate Redemption at Point of Material or Equipment Purchase	Purchased item description as seen on receipt or invoice		X	Required for each upgrade/measure Required if no UPC
Rebate Redemption at Point of Material or Equipment Purchase	Purchased item cost		X	Only applicable if coupon used at point of sale of equipment/materials

Data Category	Specific Data Element	Suggested Drop Down Options or Coding	Report to DOE	Additional Notes
				Required for each upgrade/measure
Rebate Redemption at Point of Installation	Project invoice			If rebate is used at point of installation
Rebate Redemption at Point of Installation	Final project cost			If rebate is used at point of installation
Rebate Redemption at Point of Installation	Equipment and materials cost			If rebate is used at point of installation
Rebate Redemption at Point of Installation	Installation costs			If rebate is used at point of installation
Quality Assurance	Proof of quality installation and installation at designated address		X	This should be a geo-tagged photo of installed equipment. Recommend PNNL quality installation tool to meet this requirement.
Projection Completion	Project completion date			
Final Rebate Payout	Amount of rebate deducted upon proof of installation		X	Required for each upgrade/measure
Project Scope Info	Installation cost (enter N/A if homeowner-installed)		X	
Home Assessment Data	All home assessment data required for project type	HPXML File		Optional and only applicable when home assessment is required/performed

Data Category	Specific Data Element	Suggested Drop Down Options or Coding	Report to DOE	Additional Notes
Building Owner Signature	Signature and/or electronic signature confirming that the improvements were made at the address on the coupon			Required when installation performed by a contractor

### C) 50122 Rebates: Programmatic Data Tracking & Reporting (Required)

States and/or a designee must track the following programmatic data.

- States must submit this information on a quarterly basis through the DOE PAGE system.
- States can use DOE/PNNL-provided admin access to its centralized rebate database to download information required for any fields noted with an “X”.
- Data in the DOE/PNNL central rebate database will be –
  - updated live for those states that use the DOE-provided workflows; and,
  - updated quarterly for those states that submit the data required in part (b) via the Main API or DOE-provided spreadsheet.

States can use the DOE central database they can assemble this information via DOE-provided admin access where noted in the right column.

Data Element	Details if Applicable	Can be Downloaded from DOE Central Database
Total administrative Spend		
Other funds leveraged?	Yes/No	
Type/Source of other funds (if applicable)		

Data Element	Details if Applicable	Can be Downloaded from DOE Central Database
Amount of leveraged funds		
Number of \$500 Installer Bonuses		
Other project-related costs		
List of qualified contractors	Provide a link to a live list that the state will keep updated	
Rebate funds allocated		X
Number of homes receiving rebates		X
Number of projects by LMI		X
Number of projects by DAC		X
Number of single-family projects		X
Number of multi-family projects		X
Rebate funding to LMI households		X
Rebate funding to DAC households		X
Rebate funding to single family projects		X
Rebate funding to multi-family projects		X

These will be collected as part of the state’s quarterly progress reporting as required in the FARC (Financial Assistance Reporting Checklist).

### D) 50122 Rebates: Application Programming Interface (API) (Recommended)

Those states that use either or both APIs need to refer to the API documentation defined in a living document and located on this webpage: [PNNL.gov/projects/rebate-tools](http://PNNL.gov/projects/rebate-tools).

Note: DOE/PNNL will notify all API users of API updates, with the goal of ONLY updating the APIs on an annual basis (if needed). Interim updates may be required should program requirements be modified or a functional problem is found.

### Part 3: Optional Reportable Fields (Recommended)

DOE recommends states collect the following fields. DOE’s Main API will also accept the following data SHOULD the state wish to collect any of this information as part of their program implementation. This information may be useful to DOE for evaluation purposes and other analytics.

Data Category	Specific Data Element	Suggested Options	Notes
Project Scope Info	Jurisdiction		
Project Scope Info	Permit Number		
Contractor Information	State Qualified Contractor Type	<ul style="list-style-type: none"> <li>• None</li> <li>• Energy auditor/energy modeler</li> <li>• Home performance contractor</li> <li>• Plumber</li> <li>• Electrician</li> <li>• HVAC contractor</li> </ul>	
Contractor Information	State Qualified Contractor License Number		



## Part 4: Functionality Needed for Successful IRA Implementation (Supplemental Material)

Program implementers will need a combination of personnel and IT systems to facilitate rebate transactions authorized in Sections 50121 and 50122 of the Inflation Reduction Act. At a minimum, IT systems are required to provide the following functions in full or in part:

- Provide user interfaces for a variety of stakeholders such as building owners, occupants, contractors. Note that implementers should rely on user-centered design principles, use plain language, meet accessibility requirements, and provide translation options for non-native English speakers.
- Initiate rebate transaction
- Generate unique house ID linked to home address
- Determine home and household eligibility through steps including –
  - Verify address submitted
  - Compare household income to AMI levels associated with zip code and number of occupants
  - Accept and review information regarding a household’s enrollment in programs that establish income eligibility
  - Confirm that the individual(s) associated with the income information live at the submitted home address
  - Compare rebate request to data on IRA home energy rebates already applied at that address
  - Determine number of units if multifamily building
- Confirm contractor eligibility if applicable
- Determine eligibility of proposed improvement
  - product type (e.g., water heater, induction cooktop)
  - home’s existing system that will be replaced or displaced
  - product specifications
- Collect virtual signatures from occupants and building owners attesting to accuracy of submitted information
- Confirm if the rebate will be used at point of purchase with a listed or non-listed vendor
- Generate coupons/rebates for national retailers, qualified contractors, and non-listed vendors  
Remit payments to contractors and vendors for used rebate coupons
- Link IT systems via APIs
- Store and report required data

IT systems may also be designed to offer additional functionality such as –

- Accept geo-located photos of installed equipment
- Accept home assessment data

- Accept home energy models
- Accept information regarding measured savings
- Accept utility bills from homes where rebates have been applied

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## Part 5: Rebate Tracking, Processing & Workflows (Recommended)

The DOE/PNNL team has developed workflows to guide states as they develop their programs; define how rebate transactions will occur; create plans for data collection and reporting; and implement these programs in accordance with the DOE program and data requirements. The workflows outline step-by-step actions that various rebate participants (e.g., state energy offices, implementers, vendors, homeowners, installers, aggregators, eligible entity representatives) undertake, how their actions relate to one another, and what data is collected and/or reported at each step. Each workflow lays out a process that reflects a corresponding use case, including but not limited to who applies for the rebate, whether the rebate is applied at point of sale or installation, among other variables. The expectation is that a state and/or its delegate will use these workflows and the associated DOE/PNNL APIs UNLESS they receive written approval from DOE and/or PNNL to use different workflows. Workflows and API documentation can be viewed on the PNNL webpage here: <https://www.pnnl.gov/projects/rebate-tools>.

### Learn More

Visit the [Home Energy Rebates website](#) to learn more information about these programs and to sign up to [receive email updates](#).

Questions about these rebate programs can be [submitted online](#) or sent to [IRAHomeRebates@hq.doe.gov](mailto:IRAHomeRebates@hq.doe.gov)

## Appendix

As noted in Sections 1B and 2B of this guide, certain component detail information must be provided depending on the rebate type. The table below provides specific values that should be used when collecting and/or reporting component data.

Upgrade Type (only ask questions that are relevant to the previously chosen upgrade type)	Question	Original Component Details	Upgraded Component Details
Envelope Improvements – Wall Insulation	What is the existing insulation in the walls?	<i>Dropdown</i> None Cavity insulation (batt or blown-in) Fanfold insulation Exterior continuous insulation Don't know	
Envelope Improvements – Wall Insulation	What insulation was added to the walls?		<i>Select one of Cavity Insulation Improvement:</i> None Cavity insulation – R-13 Cavity insulation – R-19 Cavity insulation – R-21 Cavity insulation more than R-21  And/or select one of the following Exterior Insulation Improvements: None Exterior continuous insulation – 1 inch

Upgrade Type (only ask questions that are relevant to the previously chosen upgrade type)	Question	Original Component Details	Upgraded Component Details
			Exterior continuous insulation – 2 inches Exterior continuous insulation – more than 2 inches
Envelope Improvements – Ceiling insulation	What is the existing insulation in the ceiling?	<i>Dropdown</i> None Batt insulation Blown-in insulation Rigid board insulation Closed cell spray foam insulation Don't know	
Envelope Improvements – Ceiling insulation	What R-value was added to the ceiling?		<i>Dropdown</i> None Less than R-30 R-30 R-49 R-60 more than R-60
Envelope Improvements - Windows	What are the existing windows?	<i>Dropdown</i> Single Pane Double Pane Triple Pane Don't know	

Upgrade Type (only ask questions that are relevant to the previously chosen upgrade type)	Question	Original Component Details	Upgraded Component Details
Envelope Improvements - Windows	What are the upgrades to the windows?		<i>Dropdown</i> None Window replacement – double pane Window replacement – triple pane Window attachment - Low-e storm window Window attachment – exterior shades Window attachment – interior shades
Envelope improvements – Air sealing	What part of the home are you air sealing?		<i>Checkboxes</i> Attic Walls/Windows/Doors Floor/Foundation
Envelope improvements – Air sealing	What is the starting air leakage rate for the home before modification?	<i>Fill in the blank</i> CFM at 50Pa _____ Don't know	
Envelope improvements – Air sealing	What is the air sealing level you have achieved?		<i>Fill in the blank</i> CFM at 50Pa _____ Don't know
Envelope Improvements – Duct sealing	What is the starting duct leakage rate before modification?	<i>Fill in the blank</i> CFM at 25Pa _____	

Upgrade Type (only ask questions that are relevant to the previously chosen upgrade type)	Question	Original Component Details	Upgraded Component Details
		Don't know	
Envelope Improvements – Duct sealing	What is the duct sealing level you have achieved?		<i>Fill in the blank</i> CFM at 25Pa _____ Don't know
Electrical Panel	What are the details about the existing electrical panel?	<i>Fill in the blank</i> Max Amps to household _____ Number of open breaker spots _____	
Electrical Panel	What are the details of the new electrical panel?		<i>Fill in the blank</i> Max Amps to household _____ Number of open breaker spots _____
Heat Pump Water Heater	What is the fuel type and type of your existing water heater?	<i>Dropdown</i> Gas with storage tank Gas tankless Electric with storage tank Electric tankless Oil with storage tank Oil tankless	

Upgrade Type (only ask questions that are relevant to the previously chosen upgrade type)	Question	Original Component Details	Upgraded Component Details
Heat Pump Water Heater	What is the storage capacity before and after?	<i>Dropdown</i> Less than 45 gal 45 gal 50 gal 60 gal 80 gal More than 80 gal	<i>Dropdown</i> Less than 45 gal 45 gal 50 gal 60 gal 80 gal More than 80 gal
Air Source Heat Pump	What is the fuel type of your existing heating system?	<i>Dropdown:</i> Gas Oil Electric	
Air Source Heat Pump	What is your existing heating distribution type?	<i>Dropdown:</i> Forced Air Hydronic/Steam Baseboard	
Air Source Heat Pump	Is there existing air conditioning?	<i>Dropdown:</i> Yes No	
Air Source Heat Pump	What type of heat pump was installed?		<i>Dropdown:</i> Mini-split (ductless) system with backup Mini-split (ductless) system without backup Central system with backup

Upgrade Type (only ask questions that are relevant to the previously chosen upgrade type)	Question	Original Component Details	Upgraded Component Details
			Central system without backup
Air Source Heat Pump	Does the new heat pump meet EnergyStar's requirements for cold climate heat pumps?		<i>Dropdown</i> Yes No
Air Source Heat Pump	What percent of the heating load will this system cover?		<i>Fill in the blank (0-100%)</i>
Air Source Heat Pump	What is the heating capacity of new heat pump system? (BTU/hr)		<i>Fill in the blank</i>
Air Source Heat Pump	What is the cooling capacity of the new heat pump system? (BTU/hr)		<i>Fill in the blank</i>
Heat Pump Clothes Dryer	What is the existing dryer fuel type?	<i>Dropdown:</i> Gas Electric	
Heat Pump Clothes Dryer	What is the annual energy use estimated on the EnergyGuide label of the new clothes dryer? (kWh/yr)		<i>Fill in the blank</i>
Electric Stovetop/Oven/Range	What is the fuel type of the existing stovetop/oven/range?	<i>Dropdown:</i> Gas Electric	

Upgrade Type (only ask questions that are relevant to the previously chosen upgrade type)	Question	Original Component Details	Upgraded Component Details
Electric Stovetop/Oven/Range	What is the new stovetop/oven/range type?		<i>Dropdown:</i> Standard electric Induction cooktop
<b>Measures for Multifamily Buildings (whole-building reservations only)</b>			
Hydronic Pumps (for either heating or water heating)	What is the existing pump motor type?	<i>Dropdown</i> Standard High Efficiency NEMA Premium Don't know	
Hydronic Pumps (for either heating or water heating)	What is the upgraded pump motor type?		<i>Dropdown</i> Standard High Efficiency NEMA Premium