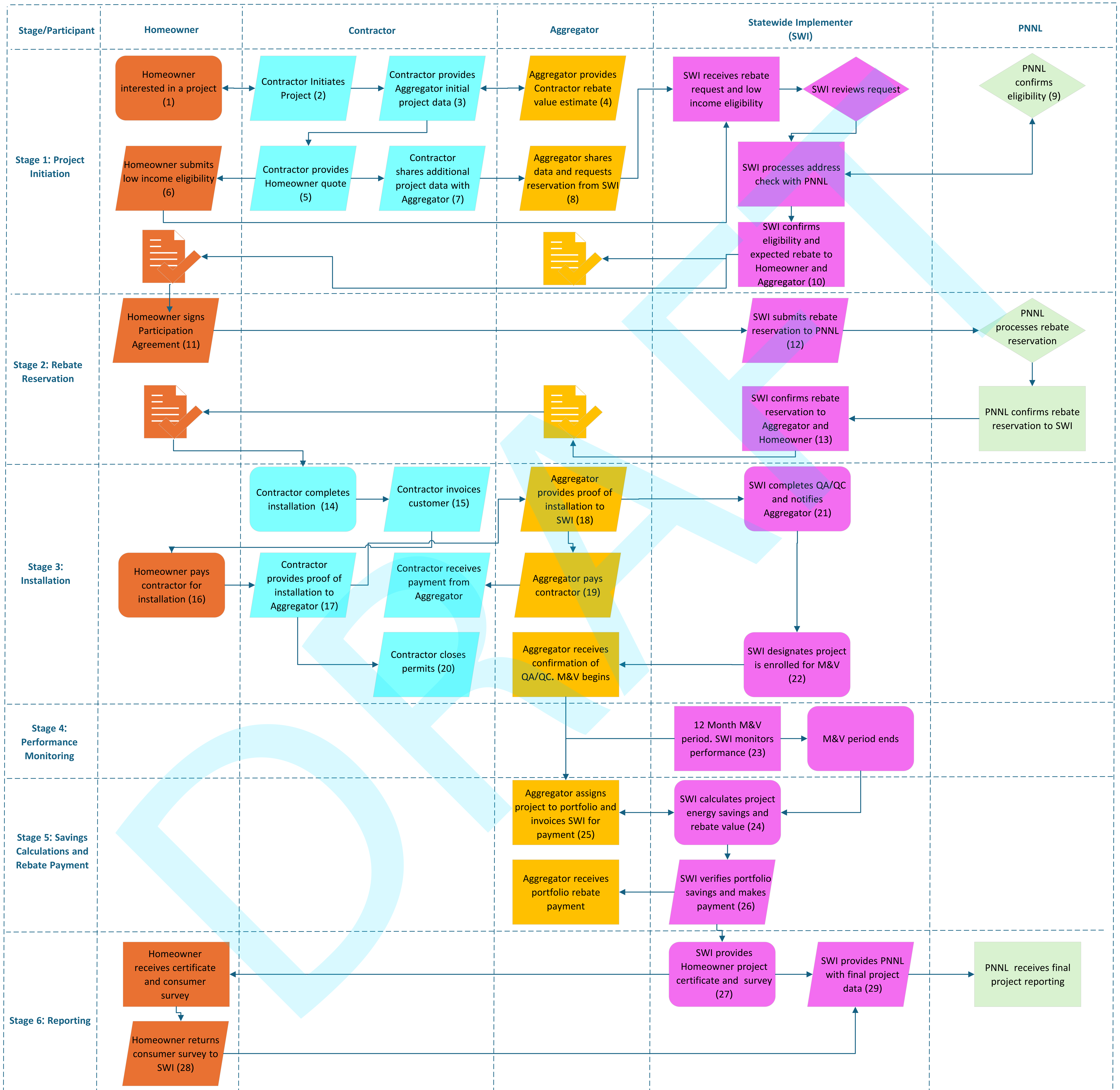
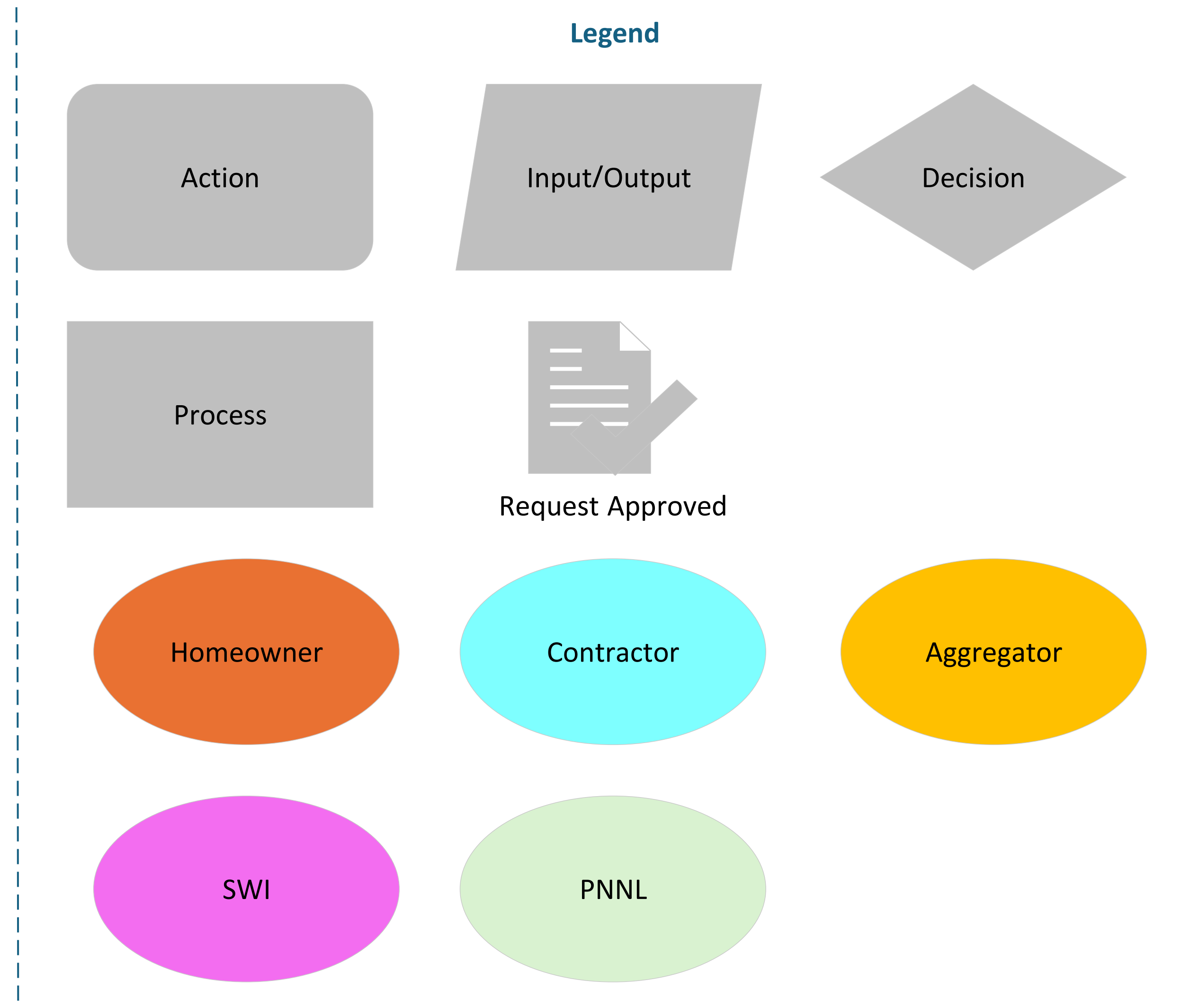
California HOMES Pay for Performance Program Project and Rebate Lifecycle Draft Workflow





Assumptions:

1) Project is for single-family, low-income, owner-occupied home.
2) Statewide Implementer is using the DOE/PNNL rebate reservation system. PNNL stands for Pacific Northwest National Laboratory.
3) "Happy path" is shown.

Notes:

1) The workflow does not include identification of customer and initial contact. The workflow also does not include reporting obligations to CEC.
2) (#s) in the workflow diagram refer to the Workflow Steps Key, found in the second page of the document. Not all steps have numbers pointing to additional text.

Workflow Steps Key

Stage 1: Project Initiation

1) Homeowner expresses interest to a Contractor about a project.

2) Contractor initiates project with Homeowner. Completes home assessment, gathers initial information and identifies utility data sharing pathway.

3) Contractor provides Aggregator with minimal home and project data to determine expected rebate value.

4) Aggregator provides Contractor with a rebate value estimate.

5) Contractor provides the Homeowner with 1) a project quote that includes a conditional HOMES rebate estimate and 2) estimated utility bill impacts of proposed project.

6) Homeowner submits proof of low-income eligibility to SWI, if applicable.

7) Contractor provides additional DOE-required xml data to Aggregator.

8) Aggregator provides additional data and makes rebate request to Statewide Implementer.

9) PNNL confirms that address has not received a prior HOMES rebate or a HEEHRA rebate in the last 12 months.

10) Statewide Implementer confirms initial rebate estimate and address/project/income eligibility to Aggregator and Homeowner.

Stage 2: Rebate Reservation

11) Homeowner signs Program Participation Agreement, including agreeing to utility data sharing (12 months pre and post). If utility is not subject to Title 20 Section 1353 regulations which require sharing disaggregated demand data with CEC, and additionally, no utility data sharing agreement exists between the customer's utility and the CEC, Homeowner provides the previous 12 months of utility data to Statewide Implementer.

12) Statewide Implementer submits rebate reservation, including xml data file, to PNNL system. Reservation is made for 120% of expected rebate value, in case of savings that exceed estimate.

13) Statewide Implementer confirms rebate reservation to both Aggregator and Homeowner.

Stage 3: Installation

14) Contractor completes installation and performs safety checks.

15) Contractor invoices customer. Invoice includes value of rebate as a discount to the customer's project cost or as another financial benefit, such as an interest rate buy-down on financing.

16) Homeowner pays Contractor, Homeowner attests to installation.

17) Contractor provides proof of installation completion to Aggregator including geotagged photos and DOE post-installation required data points.

18) Aggregator provides proof of installation completion to Statewide Implementer.

19) Aggregator pays Contractor for the value of the rebate passed onto the customer, subject to the terms of their agreement.

20) Contractor closes permits.

21) Statewide Implementer completes QA/QC for project, including equipment eligibility checks, safety test completion and confirming permits are closed. Notifies Aggregator.

22) SWI designates the project for 12 months of M&V, commencing with installation date.

Stage 4: Performance Monitoring

23) 12-month M&V period: Statewide Implementer reviews project savings as data is available, at least once during the 12-month period. Statewide Implementer may only have access to mid-cycle data for customers with utilities covered under Title 20 Section 1353 data sharing rules. Statewide Implementer updates Aggregator on performance.

Stage 5: Savings Calculation and Rebate Payment

24) Statewide Implementer calculates final project savings, calculates project rebate amount, and compares to initial estimate. Limits rebate to 120% of estimated savings.

25) Aggregator assigns project to a timebound (e.g. quarterly) portfolio and invoices Statewide Implementer for portfolio payment.

26) Statewide Implementer verifies portfolio reached 15% savings, pays Aggregator based on measured savings of portfolio projects.

Stage 6: Reporting to DOE/PNNL

27) Statewide Implementer provides Homeowner with DOE-required post-installation certificate and consumer satisfaction survey.

28) Homeowner returns consumer survey to SWI.

29) Statewide Implementer provides PNNL with final project data.