ORIGINAL

ASSISTANCE AGREEMENT

1. Award No.	2. Modification No.	3. Effective Date	4. CFDA No.
DE-EE0001580	001	12/04/2009	

5. Awarded To	6. Sponsoring Office	7. Period of Performance
OFFICE OF POLICY AND MANAGEMENT, CONNECTIC Attn: MARYANN PALMAROZZA 450 CAPITOL AVENUE HARTFORD CT 061061379	EERE (FORS) U.S. Department of Energy Office of Energy Efficiency & Renewable Er Forrestal Building 1000 Independence Avenue, SW Washington DC 20585	08/24/2009 through 02/17/2012

8. Type of Agreement	9. Authority	10. Purchase Request or Funding Document No.
[X] Grant [ ] Cooperative Agreement [ ] Other	31 USC 6304 10 USC 2358	10EE001021

11. Remittance Address	12. Total Amount	13. Funds Obligated
OFFICE OF POLICY AND MANAGEMENT, CONNECTICUT Attn: MARYANN PALMAROZZA 450 CAPITOL AVENUE HARTFORD CT 061061379	Govt. Share: $3,359,000.00 Cost Share : $0.00 Total : $3,359,000.00	This action: $3,023,100.00 Total : $3,359,000.00

14. Principal Investigator	15. Program Manager	16. Administrator
Maraide Sullivan	Eliot J. Dye Phone: 208-526-9593	Idaho Operations U.S. Department of Energy Idaho Operations 1955 Fremont Avenue MS 1221 Idaho Falls ID 83415

17. Submit Payment Requests To	18. Paying Office	19. Submit Reports To
OR for Idaho U.S. Department of Energy Oak Ridge Financial Service Center P.O. Box 4368 Oak Ridge TN 37831		

20. Accounting and Appropriation Data

See Schedule

21. Research Title and/or Description of Project

STATE ENERGY EFFICIENT APPLIANCE REBATE PROGRAM (SEEARP)

For the Recipient		For the United States of America	
22. Signature of Person Authorized to Sign		25. Signature of Grants/Agreements Officer [redacted]	
23. Name and Title	24. Date Signed	26. Name of Officer Jeffrey C. Fogg	27. Date Signed 12/07/2009

ORIGINAL

NOT SPECIFIED /OTHER

ASSISTANCE AGREEMENT

1. Award No.	2. Modification No.	3. Effective Date	4. CFDA No.
DE-EE0001580	001	12/04/2009	

5. Awarded To	6. Sponsoring Office	7. Period of Performance
OFFICE OF POLICY AND MANAGEMENT, CONNECTIC Attn: MARYANN PALMAROZZA 450 CAPITOL AVENUE HARTFORD CT 061061379	EERE (FORS) U.S. Department of Energy Office of Energy Efficiency & Renewable Er Forrestal Building 1000 Independence Avenue, SW Washington DC 20585	08/24/2009 through 02/17/2012

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[X] Grant [ ] Cooperative Agreement [ ] Other	31 USC 6304 10 USC 2358	10EE001021

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14. Principal Investigator	15. Program Manager	16. Administrator
Maraide Sullivan	Eliot J. Dye Phone: 208-526-9593	Idaho Operations U.S. Department of Energy Idaho Operations 1955 Fremont Avenue MS 1221 Idaho Falls ID 83415

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23. Name and Title	24. Date Signed	26. Name of Officer Jeffrey C. Fogg	27. Date Signed 12/07/2009

Working Copy

NOT SPECIFIED /OTHER

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED	PAGE	OF
DE-EE0001580/001	2	2

NAME OF OFFEROR OR CONTRACTOR

OFFICE OF POLICY AND MANAGEMENT, CONNECTICUT STATE OF

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	DUNS Number: 807853015 This modification obligates incremental funding, which fully funds the award. No additional funding is anticipated. This modification also releases the restriction placed on the initial award obligation. All award funds may be used as approved in the Budget Detail Package and Comprehensive Application. The attached Federal Assistance Budget Information sheet represents the approved, estimated budget for this award. It only includes the funds provided by the DOE. Though in-kind contributions were reviewed and accepted, they are not represented in the attached budget summary. The Federal Assistance Reporting Checklist and Instructions has been revised to clarify the programmatic reporting requirements. A revised checklist has been included as an attachment to this modification. The Program Plan Narrative, as submitted with the Comprehensive Application and updated on 11/05/2009, is hereby incorporated by reference in the award as the Statement of Objectives. ASAP: Yes Extent Competed: NOT AVAIL FOR COMP Davis-Bacon Act: NO Delivery Location Code: 00701 Idaho Operations U.S. Department of Energy Idaho Operations 1955 Fremont Avenue Idaho Falls ID 83415 US Payment: OR for Idaho U.S. Department of Energy Oak Ridge Financial Service Center P.O. Box 4368 Oak Ridge TN 37831				

U.S. Department of Energy
Federal Assistance Budget Information

1. Award Number DE-EE0001580	2. Awardee Name and Address Connecticut Office of Policy and Management 450 Capitol Avenue Hartford, CT 06106
3. Mod No. 001	
4. Project Title State Energy Efficient Appliance Rebate Program	5. Project Period 8/24/2009 - 2/17/2012

SECTION A - BUDGET SUMMARY

Budget Period	Start Date	End Date	Federal	Non-Federal	Total Approved Budget	Total Obligated Federal Funds
1	8/24/2009	2/17/2012	$3,359,000.00	$0.00	$3,359,000.00	$3,359,000.00
TOTALS			$3,359,000.00	$0.00	$3,359,000.00	$3,359,000.00

SECTION B - BUDGET CATEGORIES

7. Object Class Categories	Period 1	Period 2	Period 3	Period 4	Period 5	Total
a. Rebate Funding	$3,019,000.00					$3,019,000.00
b. Other Direct Cost - Subcontracts	$340,000.00					$340,000.00
TOTALS	$3,359,000.00					$3,359,000.00

Total Estimated Project Cost	$3,359,000.00

This estimated cost represents the expected level of funding under this award. It does not provide any direct or implied commitment of future funds. All expenditures should be limited to the actual funding obligations as outlined above.

Note 1: All estimated future budget allocations are subject to availability of funds.
Note 2: If more than five budget periods exist, the budget details for Period 6 and beyond will be included in a separate attachment.

DOE F 4600.2
(2/09)
All Other Editions Are Obsolete

U.S. Department of Energy
FEDERAL ASSISTANCE REPORTING CHECKLIST AND INSTRUCTIONS

1. Identification Number: DE-EE0001580	2. Program/Project Title: State Energy Efficient Appliance Rebate Program		
3. Recipient: Connecticut Office of Policy and Management 450 Capitol Avenue Hartford, CT 06106			
4. Reporting Requirements:	Frequency	No. of Copies	Addresses
A. MANAGEMENT REPORTING ☑ Progress Report ☐ Special Status Report	Q F	via Email	A B
B. SCIENTIFIC/TECHNICAL REPORTING Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at www.osti.gov/elink .) Report/Product — Form ☐ Final Scientific/Technical Report — DOE F 241.3 ☐ Conference papers/proceedings* — DOE F 241.3 ☐ Software/Manual — DOE F 241.3 ☐ Other (see special instructions) — DOE F 241.3 ** Scientific and technical conferences only*			A, B applies to any specified OSTI reports http://www.osti.gov/elink-2413 http://www.osti.gov/elink-2413 http://www.osti.gov/estsc/241-4pre.jsp
C. FINANCIAL REPORTING ☑ SF-425, Federal Financial Report	Q F	via Email	A B
D. CLOSEOUT REPORTING ☑ Patent Certification ☑ Property Certification ☐ Other	F F	via Email via Email	
E. OTHER REPORTING ☐ Annual Indirect Cost Proposal ☐ Annual Inventory of Federally Owned Property, if any ☑ Other		via Email	See Section F. Special Instructions
FREQUENCY CODES AND DUE DATES: A - Within 5 calendar days after Awards or as specified F - Final; 90 calendar days after expiration or termination of the award. Y - Yearly; 90 days after the end of the reporting period. S - Semiannually; within 30 days after end of reporting period. Q - Quarterly; within 30 days after end of the reporting period.			
5. Special Instructions: See Section F. Special Instructions			

Federal Assistance Reporting Instructions (2/09)

A. MANAGEMENT REPORTING

Progress Report

The Progress Report must provide a concise narrative assessment of the status of work and include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. The DOE award number and name of the recipient.
2. The project title and name of the project director/principal investigator.
3. Date of report and period covered by the report.
4. A comparison of the actual accomplishments with the goals and objectives established for the period and reasons why the established goals were not met.
5. A discussion of what was accomplished under these goals during this reporting period, including major activities, significant results, major findings or conclusions, key outcomes or other achievements. This section should not contain any proprietary data or other information not subject to public release. If such information is important to reporting progress, do not include the information, but include a note in the report advising the reader to contact the Principal Investigator or the Project Director for further information.
6. Cost Status. Show approved budget by budget period and actual costs incurred. If cost sharing is required break out by DOE share, recipient share, and total costs.
7. Schedule Status. List milestones, anticipated completion dates and actual completion dates. If you submitted a project management plan with your application, you must use this plan to report schedule and budget variance. You may use your own project management system to provide this information.
8. Any changes in approach or aims and reasons for change. Remember significant changes to the objectives and scope require prior approval by the contracting officer.
9. Actual or anticipated problems or delays and actions taken or planned to resolve them.
10. Any absence or changes of key personnel or changes in consortium/teaming arrangement.
11. A description of any product produced or technology transfer activities accomplished during this reporting period, such as:

    A. Publications (list journal name, volume, issue); conference papers; or other public releases of results. Attach or send copies of public releases to the DOE Project Officer identified in Block 11 of the Notice of Financial Assistance Award.
    B. Web site or other Internet sites that reflect the results of this project.
    C. Networks or collaborations fostered.
    D. Technologies/Techniques.
    E. Inventions/Patent Applications
    F. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.

Special Status Report

The recipient must report the following Awards by e-mail as soon as possible after they occur:

1. Developments that have a significant favorable impact on the project.
2. Problems, delays, or adverse conditions which materially impair the recipient's ability to meet the objectives of the award or which may require DOE to respond to questions relating to such Awards from the public. The recipient must report any of the following incidents and include the anticipated impact and remedial action to be taken to correct or resolve the problem/condition:

    a. Any single fatality or injuries requiring hospitalization of five or more individuals.
    b. Any significant environmental permit violation.
    c. Any verbal or written Notice of Violation of any Environmental, Safety, and Health statutes.
    d. Any incident which causes a significant process or hazard control system failure.
    e. Any Award which is anticipated to cause a significant schedule slippage or cost increase.
    f. Any damage to Government-owned equipment in excess of $50,000.
    g. Any other incident that has the potential for high visibility in the media.

B. SCIENTIFIC/TECHNICAL REPORTS

Final Scientific/Technical Report

Content. The final scientific/technical report must include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. Identify the DOE award number; name of recipient; project title; name of project director/principal investigator; and consortium/teaming members.

2. Display prominently on the cover of the report any authorized distribution limitation notices, such as patentable material or protected data. Reports delivered without such notices may be deemed to have been furnished with unlimited rights, and the Government assumes no liability for the disclosure, use or reproduction of such reports.
3. Provide an executive summary, which includes a discussion of 1) how the research adds to the understanding of the area investigated; 2) the technical effectiveness and economic feasibility of the methods or techniques investigated or demonstrated; or 3) how the project is otherwise of benefit to the public. The discussion should be a minimum of one paragraph and written in terms understandable by an educated layman.
4. Provide a comparison of the actual accomplishments with the goals and objectives of the project.
5. Summarize project activities for the entire period of funding, including original hypotheses, approaches used, problems encountered and departure from planned methodology, and an assessment of their impact on the project results. Include, if applicable, facts, figures, analyses, and assumptions used during the life of the project to support the conclusions.
6. Identify products developed under the award and technology transfer activities, such as:

   a. Publications (list journal name, volume, issue), conference papers, or other public releases of results. If not provided previously, attach or send copies of any public releases to the DOE Project Officer identified in Block 11 of the Notice of Financial Assistance Award;
   b. Web site or other Internet sites that reflect the results of this project;
   c. Networks or collaborations fostered;
   d. Technologies/Techniques;
   e. Inventions/Patent Applications, licensing agreements; and
   f. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.

7. For projects involving computer modeling, provide the following information with the final report:

   a. Model description, key assumptions, version, source and intended use;
   b. Performance criteria for the model related to the intended use;
   c. Test results to demonstrate the model performance criteria were met (e.g., code verification/validation, sensitivity analyses, history matching with lab or field data, as appropriate);
   d. Theory behind the model, expressed in non-mathematical terms;
   e. Mathematics to be used, including formulas and calculation methods;
   f. Whether or not the theory and mathematical algorithms were peer reviewed, and, if so, include a summary of theoretical strengths and weaknesses;
   g. Hardware requirements: and
   h. Documentation (e.g., users guide, model code).

Electronic Submission. The final scientific/technical report must be submitted electronically via the DOE Energy Link System (E-Link) accessed at http://www.osti.gov/elink-2413 .

Electronic Format. Reports must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts.

Submittal Form. The report must be accompanied by a completed electronic version of DOE Form 241.3, "U.S. Department of Energy (DOE), Announcement of Scientific and Technical Information (STI)." You can complete, upload, and submit the DOE F.241.3 online via E-Link. You are encouraged not to submit patentable material or protected data in these reports, but if there is such material or data in the report, you must: (1) clearly identify patentable or protected data on each page of the report; (2) identify such material on the cover of the report; and (3) mark the appropriate block in Section K of the DOE F 241.3. Reports must not contain any limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release. Protected data is specific technical data, first produced in the performance of the award that is protected from public release for a period of time by the terms of the award agreement.

Protected Personally Identifiable Information (PII). Management Reports or Scientific/Technical Reports must not contain any Protected PII. PII is any information about an individual which can be used to distinguish or trace an individual's identity. Some information that is considered to be PII is available in public sources such as telephone books, public websites, university listings, etc. This type of information is considered to be Public PII and includes, for example, first and last name, address, work telephone number, e-mail address, home telephone number, and general educational credentials. In contrast, Protected PII is defined as an individual's first name or first initial and last name in combination with any one or more of types of information, including, but not limited to, social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, educational transcripts, etc.

Conference Papers/Proceedings

Content: The recipient must submit a copy of any conference papers/proceedings, with the following information: (1) Name of conference; (2) Location of conference; (3) Date of conference; and (4) Conference sponsor.

Electronic Submission. Scientific/technical conference paper/proceedings must be submitted electronically via the DOE Energy Link System (E-Link) at http://www.osti.gov/elink-2413 . Non-scientific/technical conference papers/proceedings must be sent to the URL listed on the Reporting Checklist.

Electronic Format. Conference papers/proceedings must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts.

Submittal Form. Scientific/technical conference papers/proceedings must be accompanied by a completed DOE Form 241.3. The form and instructions are available on E-Link at http://www.osti.gov/elink-2413 . This form is not required for non-scientific or non-technical conference papers or proceedings.

Software/Manual

Content. Unless otherwise specified in the award, the following must be delivered: source code, the executable object code and the minimum support documentation needed by a competent user to understand and use the software and to be able to modify the software in subsequent development efforts.

Electronic Submission. Submissions may be submitted electronically via the DOE Energy Link System (E-Link) at http://www.osti.gov/estsc/241-4pre.jsp . They may also be submitted via regular mail to:

Energy Science and Technology Software Center
P.O. Box 1020
Oak Ridge, TN 37831

Submittal Form. Each software deliverable and its manual must be accompanied by a completed DOE Form 241.4 "Announcement of U.S. Department of Energy Computer Software." The form and instructions are available on E-Link at http://www.osti.gov/estsc/241-4pre.jsp.

C. FINANCIAL REPORTING

Recipients must complete the SF-425 as identified on the Reporting Checklist in accordance with the report instructions. A fillable version of the form is available at http://www.whitehouse.gov/omb/grants/grants_forms.aspx . Fillable forms are available at http://grants.pr.doe.gov .

D. CLOSEOUT REPORTS

Final Invention and Patent Report

The recipient must provide a DOE Form 2050.11, "PATENT CERTIFICATION." This form is available at http://www.directives.doe.gov/pdfs/forms/2050-11.pdf and http://management.energy.gov/business_doe/business_forms.htm .

Property Certification

The recipient must provide the Property Certification, including the required inventories of non-exempt property, located at http://management.energy.gov/business_doe/business_forms.htm. .

E. OTHER REPORTING

Annual Indirect Cost Proposal and Reconciliation

Requirement. In accordance with the applicable cost principles, the recipient must submit an annual indirect cost proposal, reconciled to its financial statements, within six months after the close of the fiscal year, unless the award is based on a predetermined or fixed indirect rate(s), or a fixed amount for indirect or facilities and administration (F&A) costs.

Cognizant Agency. The recipient must submit its annual indirect cost proposal directly to the cognizant agency for negotiating and approving indirect costs.

Annual Inventory of Federally Owned Property

Requirement. If at any time during the award the recipient is provided Government-furnished property or acquires property with project funds and the award specifies that the property vests in the Federal Government (i.e. federally owned property), the recipient must submit an annual inventory of this property to the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award no later than October 30th of each calendar year, to cover an annual reporting period ending on the preceding September 30th.

Content of Inventory. The inventory must include a description of the property, tag number, acquisition date, location of property, and acquisition cost, if purchased with project funds. The report must list all federally owned property, including property located at subcontractor's facilities or other locations.

F. SPECIAL INSTRUCTIONS

Your performance in providing on-time report deliverables will be monitored by Procurement Services Division (PSD), Idaho Operations Office, Department of Energy. Reports not received by the specified due date are late. Overdue, inaccurate, or non-conforming reports are not acceptable. PSD will withhold payments or take other administrative actions as needed for non-compliance with reporting requirements (see 10 CFR 600.24). Only the Contracting Officer may waive or excuse required reports.

In order for accurate logging and processing of reports, it is critical that reports be sent to all the specified addressees and in the manner requested. PSD receives a copy of all reports via psdrept@id.doe.gov. The message subject line must include the award number.

Message Subject Line Example: DE-FC07-02ID99999, 4Q SF 269A Report.

The official award number must also be identified on all reports. A project number, if assigned by the program manager, may also be included, but is not a substitute for the official award number.

Report forms and additional report submittal guidance may be found on PSD's Internet web site at http://www.id.doe.gov/doeid/psd/proc-div.html . General guidance, in a question and answer format, is listed under "FA Report Submittal Guidance."

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ADDITIONAL REPORTS

Report Name	Description	DueDate	Addresses
Special Progress Report	As outlined in State Energy Efficient Appliance Rebate Program Reporting Requirements for States	07/30/2009	A B

REPORT ADDRESSEES

A. Procurement Services Divsion (PSD): psdrept@id.doe.gov

B. DOE Project Manager: James E. Rannels, james.rannels@ee.doe.gov

C. DOE Headquarters' Program Manager: James E. Rannels, james.rannels@ee.doe.gov

cc: Headquarters' Technical Monitor:

U. S. Department of Energy

Idaho Operations Office

State Energy Efficient Appliance Rebate Program
Reporting Requirements for States

November 25, 2009

State Energy Efficient Appliance Rebate Program (SEEARP)

American Recovery and Reinvestment Act (ARRA)

Funding Opportunity Number: DE-FOA-0000119

FDA Number: 81.127, Energy Efficient Appliance Rebate Program (EEARP)

State Energy Efficient Appliance Rebate Program
Reporting Requirements for States and Territories

Each State and Territory is required to submit three types of reports:

1. Recovery Act Reports to Office of Management and Budget (OMB)
2. Program Financial Reports to U.S. Department of Energy (DOE)
3. Program Progress Reports to DOE

I. Recovery Act Reports to OMB (Quarterly)

State must report the information described in section 1512(c) of the Recovery Act as a condition of receiving Recovery Act funds. This reporting applies to the State's first-tier sub-awardees. States are responsible for submitting data from any first-tier sub-awardees.

Due Dates: Quarterly (by the 10th of the following month). The first submittal was due from all States and Territories by October 10th. The next reports must be submitted by **January 10, 2010, April 10, 2010, July 10, 2010, etc.**

Submittal Process: State must submit its information at www.federalreporting.gov. Additional information about the Recovery reporting requirements, including FAQs, are available on the Web site. State may also direct questions to the DOE Recovery Act hotline at (888) DOE-RCVY (1-888-363-7289).

II. Program Financial Report to DOE (Quarterly and Final)

State must submit a quarterly Financial Report (SF-425) to DOE as a condition of the grant award. State is responsible for submitting these reports as long as its program remains open, regardless of whether any rebates were active in a specific quarter.

Due Dates: State must submit these reports quarterly, within 30 days of the end of a quarter. The first submittal will cover the period October 1, 2009 – December 31, 2009 and will be due to DOE by **January 30, 2010**. Future reports will be due April 30, 2010, July 30, 2010, etc. A final financial report will also be due at the conclusion of the State's program.

Submittal Process: The SF-425 form can be found at www.forms.gov. Completed reports should be e-mailed to psdrept@id.doe.gov.

III. Program Progress Reports to DOE (Quarterly and Final)

State must submit Program Progress Reports to DOE as a condition of the grant award. State is responsible for submitting these reports to DOE as long as its program remains open, regardless of whether any rebates were active in a specific quarter.

Due Dates: The FOA requires that States submit these reports quarterly, within 30 days of the end of a quarter. The first submittal will cover the period October 1, 2009 – December 31, 2009 and will be due to DOE by **January 30, 2010**. Future reports will be due April 30, 2010, July 30, 2010, etc. A special progress report described below will be due on July 30, 2010 and should also be updated and attached to the final report. A final report will also be due within 30 days of the conclusion of the State's program.

Submittal Process: State will be provided with additional guidance regarding the process for submitting the reports. Either an excel template or online system will be available.

Data to be Provided:

QUARTERLY - In each quarterly progress report, State must provide the following data for each unique product rebate offered through its program. All data should be broken down by month.

- *Number of Rebate Payments Issued.* State must report the number of rebates paid to customers.
- *Total Value of Rebate Payments.* State must report the total rebate funding paid to customers.
- *Number of Appliances Hauled-Away:* State must report on the number of old units hauled away for disposal. If haul-away is a requirement of a rebate, or of an additional incentive, this value should be based on actual data collected from the program partners or rebate processing firm. If haul-away is not a requirement of the rebate, this value should be estimated.
- *Haul-Away Verification*: State must report whether the number of units hauled-away is verified by a third-party, self-reported by customers, or estimated by State.
- *Number of Appliances Recycled.* State must report on the number of units recycled. If recycling is a requirement of a rebate, or of an additional incentive, this value should be actual data collected from the program partners or rebate processing firm. If recycling is not a requirement of the rebate, this value should be estimated.
- *Recycling Verification*: State must report whether the number of units recycled is verified by a third-party, self-reported by customers, or estimated by State.

SPECIAL PROGRESS REPORT – This report will be due with the quarterly report on July 30, 2010 and an updated version should be included with the final report described below. To more accurately estimate the market impacts and energy savings achieved by the SEEARP program, DOE requests that each State provide an extract from its rebate processing database that lists each individual rebate transaction, absent any consumer or retailer information (e.g., exclude recipient name and address, and retailer or contractor name.) The dataset should be broken out by product type, and include the following:

- Make
- Model number

- Purchase price
- Date purchased (or date rebate paid)
- SEEARP Rebate amount paid.

A spreadsheet template will be provided for all States to ease reporting of this data. In addition, if available, DOE also requests that States provide the following data for each rebate transaction:

- *Incentive from Other Sources:* State should provide the incentive from other sources including utility rebates, state tax incentives, etc that was provided for a product that was rebated through SEEARP, if known. This reporting metric is optional, however if the States submit it, the data will provide the State and DOE with valuable information in regards to evaluating behavior patterns of consumers as they relate to total incentive packages for a given product.
- *Efficiency of Existing Product that was Replaced:* For states with haul-away and/or recycling programs (or other states that would have this information through other means), provide the model number or efficiency rating of the product that was removed from the home. This reporting metric is also optional. However, if states can provide this data, the States and DOE will be able to determine with better accuracy the efficacy of the Appliance Rebate Program (and rebate programs that are similar) in reducing energy consumption.

FINAL – State must provide a final written progress report that includes the following information. These metrics will be used by DOE to calculate aggregate energy savings and other key program impacts.

- *Rebate Summary.* State must report the final number of rebates paid to customers and the total dollar value of the rebate payments made, broken out by product rebate, and by month.

- *Incremental Benefits Summary.* State must report on the approximate number of rebates paid out with SEEARP funding that overlapped with rebates paid out with non-SEEARP funding, via other State/Utility rebates. If no other State/Utility rebates existed for a particular product rebate category, this value will be zero. This information should be broken out by product rebate, but does not need to be broken out by month. A discussion of the net benefits achieved through the State's program should also be included.

- *Appliance Disposal Summary.* State must report on the number of units that were either hauled away for disposal or recycled during the program. If haul-away or recycling is a program requirement, or is necessary to receive an additional incentive, this value should be based on actual data collected from the program partners or rebate processing firm. If haul-away or recycling is not a requirement of the rebate, this value should be estimated. State should clarify whether the number of units hauled away and the number recycled are verified by a third-party, self-reported by customers, or estimated by State.

- *Rebate Database Extract.* Final export of rebate information as identified in the Special Progress Report above, covering the full program period.