



**U. S. Department of Energy
Idaho Operations Office**

**Reporting Guidance for States and Territories
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.