NYSERDA Home Electrification and Appliance Rebates (HEAR) Program: Appliance Upgrade Program Manual

Date: September 1, 2026

Version 3.1

Summary of Revisions for Current Version

Date Updated	Version	Topic	Description of Change	Section
10/24/24	2.0	Appliance Coupons	The DOE now allows Appliance Coupons to be applied to delivery and haul away	2.1, 4.1
10/24/24	2.0	Program Definitions	Includes definitions for rebate, incentive, Appliance Installation, Program Appliance, Electrical Wiring Upgrades (and Installation), Electrical Panel Upgrades (and Installation) and Program Measures	2.1
10/24/24	2.0	Program Statuses	Includes Program statuses for Installation Coupons	2.2
10/24/24	2.0	Measure Eligibility	The DOE now allows Customers to receive up to $840 for both appliance types (heat pump clothes dryers and induction stoves/cooktops/ranges)	3
10/24/24	2.0	Customer Eligibility	Details QEP installation requirements and eligible existing conditions	3.2, 3.3
10/24/24	2.0	Installation Coupons	Includes Installation Coupons and redemption instructions	4
10/24/24	2.0	Contractor Program Eligibility and Requirements	Details Program eligibility requirements to enroll as a Participating Contractor	6.1, 6.2

10/24/24	2.0	Requirements for QEPs with Existing Gas Appliances	Includes QEP requirements for replacement of existing gas appliances	6.3
10/24/24	2.0	Participating Retailers as Participating Contractors	Includes requirements for retailers to enroll as Participating Contractors	6.4
10/24/24	2.0	Participating Contractor Incentives	Includes Participating Contractor incentives schedule and receipt of Participating Contractor installation incentives	7.1 – 7.2
10/24/24	2.0	Quality Install Documentation	Includes Quality Install documentation requirements for Appliance Installations and Electrical Wiring and Panel Upgrade Installations	8.1 – 8.5
10/24/24	2.0	Rebate Distribution Process	Includes reimbursement process for Participating Contractors	9.2
10/24/24	2.0	Prompt Payment Policy	Includes NYSERDA's Prompt Payment Policy for Participating Contractors	9.4
10/24/24	2.0	Consumer Protection and Quality Assurance (QA)	Includes the consumer protection and Quality Assurance requirements and processes for Participating Contractors	11.2, 11.4, 11.5
10/24/24	2.0	NYSERDA IT Policies	Includes NYSERDA IT and security policies.	11.6
10/24/24	2.0	General	Editorial changes to clarify requirements or processes	All sections
06/12/26	3.0	Program Overview	Editorial updates; clarifies resident	1.1

			eligibility and inclusion of new construction add	
06/12/26	3.0	Definitions	Editorial updates; Clarifies existing; adds new definitions for: Annual Income, Applicant Mailing Address, Applicant Project Address, Future Electrification, Gross Income, Maximum Appliance Coupon Amount, and the Program Appliance Installation	2.1.
06/12/26	2.0	Program Process Overview	Relocated to Section 2	2.2.
06/12/26	3.0	QEP Application Submission	Removes automatic issuance of Installation Coupon and includes process for requesting one; Includes section on Customer Eligibility	3.1., 4.1., 4.2.1.,
06/12/26	2.1	Appliance and Participating Contractor Installation Coupons	Editorial change to clarify disbursement	4.1.
06/12/26	2.1	Appliance Coupon	Includes dryer power cord as a redeemable cost	4.2.
06/12/26	3.0	QEP Application Submission	Adds new sections on Applicant submission, includes required documentation and process for Applicants	3.2.1. - 3.6.2.
06/12/26	3.0	Program Measures	Editorial updates to clarify Program requirements; addition of maximum HEAR rebates per Applicant Project Address	3.6.3.

06/12/26	3.0	Required Existing Conditions for Program Measures	Moved to Section 3.; Updates to requirements for Electrical Wiring and Panel Upgrades to clarify existing conditions and scope	All sub-sections within 3.7
06/12/26	3.0	Electrical Panel Upgrade and Electrical Wiring Upgrade – Existing Service Sufficient	Included installation of a smart panel if applicable requirements are met.	3.7.3. and 3.7.5.
06/12/26	3.0	QEP Installation Requirements	Relocated to Section 3; clarified existing status definitions	All sub-sections within 3.8
06/12/26	3.0	QEP Application Approval – Appliance Coupon Receipt	Relocated to Section 4; clarified information included with the Appliance Coupon code	4.1.
06/12/26	3.0	Eligible and Ineligible Appliance Coupon Costs	Included power cords as an eligible Appliance Coupon cost	4.2.3., 4.3.2.
06/12/26	3.0	Appliance Coupon Creation Requirements	Revised Appliance Coupon expiration date range to minimum of 30 and maximum of 60 days; included 30-day notice requirement for withdrawal from the Program	4.3.2.
06/12/26	3.0	Custom Appliance Coupon Creation	Included new Section on the creation of custom Appliance Coupons	4.3.3.
06/12/26	3.0	Inclusion of the Program Appliance Installation Cost	Included new Section to clarify the requirements for Participating Retailers performing Program Appliance Installations	4.3.4.

06/12/26	3.0	Participating Contractor Installation Coupons – for Customers, Participating Contractors, and Regional Clean Energy Hub Representatives	Clarified Installation Coupon requirements and structure; included new Section on receipt of Installation Coupons;	4.4.1. and 4.4.2.
06/12/26	3.0	Retailer Participation Requirements	Included requirement on MyEnergy accounts	5.2.
06/12/26	3.0	Pickup Orders – In-Store and Online	Included requirement from Applicant Attestation for Customers to provide a post-installation geotagged photo upon request	5.2.5.
06/12/26	3.0	Participating Contractor Requirements	Included requirement on MyEnergy accounts	6.2.
06/12/26	3.0	Requirements for Appliance Installers	Clarification of requirements for appliance installers	6.2.1.
06/12/26	3.0	Overview	Included geotagged photo submission requirements for Participating Contractors	8.1.
06/12/26	3.0	Geotagged Photo Requirements for Participating Contractors	Included new Section on geotagged photo requirements for Participating Contractors	8.1.1.
06/12/26	3.0	Post-Installation Requirements – New Program Appliance Specifications and Installation Scope	Removed requirement for haul away of the existing appliance after the Program Appliance Installation	8.2.2.
06/12/26	3.0	Requirements for Electrical Wiring Upgrades	Clarified and updated photo requirements	Section 8.3.

06/12/26	3.0	Requirements for Electrical Panel Upgrades	Clarified and updated photo and documentation requirements	Section 8.4.
06/12/26	3.0	Submission of Customer QEP Invoices	Clarified requirements; included item for permit(s)pulled and labor costs per rate and number of contractors as well as a customer signature	8.5.
06/12/26	3.0	Appliance Returns to Participating Retailer	Updated process for returning and exchanging an appliance	10.1.
06/12/26	3.0	Quality Assurance Records for Participating Retailers	New section on required records Participating Retailers must keep	11.3
06/12/26	3.0	Contractor Status Designations	Included 30-day requirement for withdrawal from the Program; editorial updates	11.5.
06/12/26	3.0	Retailer Status Designations	New section on Participating Retailer QA/QC and statuses	11.6
06/12/26	3.0	General	Editorial changes to clarify requirements or processes	All Sections
09/1/26	3.1	Participating Contractor Incentives	Geographically-based DAC incentives of $200 are no longer available for Participating Contractors	7.1
09/1/26	3.1	Funding Source	Update to QEP definition and text throughout to clarify the use of different funding	1.1, 2.1, 4.2.3, ,6.3, 7.2, , 8.2.1,

			sources depending on QEP scope	

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1. Background

1.1. Program Overview

The U.S. Department of Energy (DOE) has introduced the Home Electrification and Appliance Rebates (HEAR) program using funding from the Inflation Reduction Act (IRA). The IRA established population-based formula grant funding to be provided to State Energy Offices to develop and implement programs under administrative requirements established by the DOE.

The Appliance Upgrade Program (Program) provides rebates to New York State (NYS) residents who meet the State's Area Median Income (AMI) of 150% AMI or less, apply, and are approved by NYSERDA to participate in the Program (Customers) for a pre-defined list of energy efficiency and electrification improvements (Qualified Electrification Projects, QEP). NYS residents must reside in an existing building; new construction is not permitted to participate. The formula grant amount to NYS is $158.4 Million through 2031, with a portion of the total formula grant used for the Appliance Upgrade Program.

Through the Program, NYSERDA offers rebates for QEPs that include the Program Appliance purchase and Installation as well as other Program Measures, which include Electrical Wiring and Panel Upgrades necessary for such Program Appliance Installations. NYSERDA also offers incentives to Participating Contractors for installation of QEPs.

The rebates offered through the Appliance Upgrade Program will further drive adoption of high-efficiency appliances across New York State.

The amount of funding available for Customers to claim and use for an eligible Program Appliance purchase and Program Appliance Installation as well as Electrical Wiring and Panel Upgrade Installations is limited and will be offered on a first-come, first-served basis while funding remains available. The IRA-funded requirements, conditions, procedures, rebates and incentive amounts described in this Program Manual are subject to the approval of the DOE. NYSERDA reserves the right to make changes to the Program, including changes to this Program Manual. NYSERDA will notify Customers, Regional Clean Energy Hubs, Participating Retailers, and Participating Contractors of any modifications to the Program or to this Program Manual in writing. Such changes shall be effective immediately. NYSERDA further reserves the right to pause the Program at any time.

1.2. Program Contacts

Program Participants may contact NYSERDA's hotline at 1-866-NYSERDA (1-866-697-3732) or email AUP@nyserda.ny.gov to report any issues or problems.

2. Program and Project Status Definitions

2.1. Program Definitions

Appliance Coupon – A rebate provided to Customers through the Appliance Upgrade Program for the purchase of a Program Appliance and Program Appliance Installation. The Appliance Coupon is a unique alphanumeric code supplied by a Participating Retailer and is set based on eligible Customer Rebate amounts (as shown in Table 1: Customer Rebates). Upon approval of a QEP Application, the Appliance Coupon is issued to Customers; it is also shared with Program Participants who submit a QEP Application on behalf of Customers.

Applicant – A New York State individual applying to participate in the Program.

Applicant Mailing Address – The address where the Applicant receives mail, such as P.O. Boxes.

Applicant Project Address – The physical address of the existing dwelling unit where the Applicant resides and Program work may be performed.

Area Median Income (AMI) - Refers to the midpoint of the New York State's Area Median Income distribution, meaning that half of the households in a region earn more than the median and half earn less than the median.

Contractor Application – Application by which an interested contractor applies for enrollment as a Participating Contractor in the Appliance Upgrade Program. This application requires the submission of a signed Contractor Participation Agreement.

Contractor Participation Agreement (Contractor Agreement) - An Agreement which establishes the terms and conditions under which NYSERDA-approved Participating Contractors may participate in the Program.

Customer – An income-eligible New York State homeowner, building owner or renter who was an Applicant and has been approved by NYSERDA to participate in the Program, or is a current or former participant in the Program.

Customer Rebate – Credit provided to a Customer to reduce the cost of a Program Measure through their redemption of an Appliance Coupon and/or Participating Contractor Installation Coupon with their selected Participating Retailer and Participating Contractor, respectively.

Electrical Panel Upgrade Installation - A scope of work that is necessary to ensure an operational Electrical Panel Upgrade.

Electrical Panel Upgrade - Increasing the ampacity of the Applicant Project Address (e.g., upgrading existing 100-amp electrical panel to a 200-amp panel), which is the service from the electric utility, when the electrical load from the Program Appliance Installation cannot be supported by the existing ampacity.

Electrical Wiring Upgrade Installation - A scope of work that is necessary to ensure an operational Electrical Wiring Upgrade.

Electrical Wiring Upgrade – Replacing an existing panel, circuit, breaker and/or receptacle when the electrical load from the Program Appliance Installation cannot be supported by the existing electrical equipment.

ENERGY STAR® – A program run by the U.S. Environmental Protection Agency (EPA) and the U.S. Department of Energy (DOE) that promotes energy efficiency by providing information on the energy consumption of products and devices using different standardized methods.

Future Electrification – Electric heating and cooling equipment, as well as high-efficiency cooking equipment, can be installed at the Applicant Project Address to replace existing fossil fuel equipment without the need for an Electrical Panel Upgrade.

Gross Income – Total income from all sources, including wages, dividends, capital gains, business and retirement income before tax and other deductions are taken out.

Home Electrification and Appliance Rebates (HEAR) – A program authorized by section 50122 the IRA (42 U.S.C. § 18795a) that allows states to provide rebates for a range of QEPs to low-to-moderate income (LMI) households defined as households with an income less than 150% of the area median.

Implementation Contractor (IC) – Organization working under contract with NYSERDA to provide administrative and support functions such as project approvals, technical support, reporting, invoicing, and payment management to Participating Retailers and Participating Contractors.

Incentive – Program funds provided by NYSERDA to a Participating Contractor for their installation of Program Measure(s) for their Customer's QEP.

Inflation Reduction Act (IRA) – A 2022 bill that provides nearly $400 billion to support clean energy and address climate change, including $8.8 billion for the Home Energy Rebates.

Manufactured Home – a structure, transportable in one or more sections, which, in the traveling mode, is eight body feet or more in width or forty body feet or more in length, or, when erected on site, is three hundred twenty or more square feet; and is built on a permanent chassis and designed to be used as a dwelling with or without a permanent foundation when connected to the required utilities, and includes the plumbing, heating, air-conditioning, and electrical systems contained therein. Manufactured homes shall not include any self-propelled recreational vehicle.

Maximum Appliance Coupon Amount (MACA) - The maximum amount of HEAR funding available at the Applicant Project Address for the Program Appliance Customer Rebate as determined by NYSERDA.

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, the residential portion of the building is treated as a Multifamily Building.

MyEnergy Portal – NYSERDA's Salesforce-based online platform used to submit QEP Applications, view project status and submit Quality Install documentation. The MyEnergy Portal is also used by Participating Retailers to upload Appliance Coupons and Sales Documentation for the reimbursement of redeemed Appliance Coupons.

New York State Energy Research and Development Authority (NYSERDA) – A state public benefit corporation that works to promote energy efficiency, renewable energy, and emissions reduction across New York State's economy and energy system.

New Construction – A dwelling unit that has never been occupied.

Participating Contractor – A contractor approved by NYSERDA to participate in the Program and perform Appliance and/or Electrical Wiring and Panel Upgrade Installations, submit QEP Applications, and apply the Customer Rebates through the Installation Coupon. Participating Contractors encompass electricians, plumbers and appliance installers.

Participating Contractor Installation Coupon (Installation Coupon) – Refers to the unique alphanumeric coupon code, created by NYSERDA, that is provided to the Customer reflecting the Customer Rebate and redeemed with a Participating Contractor for Electrical Wiring and/or Panel Upgrade Installation(s) for a QEP.

Participating Retailer - A retail entity that has been approved by NYSERDA to participate in the Program by selling Program Appliances to Customers using Appliance Coupons. Participating Retailers must have signed a Retailer Participation Agreement.

Program – NYSERDA's Appliance Upgrade Program.

Program Appliance – A new ENERGY STAR® certified heat pump clothes dryer or all-in-one washer-dryer with a heat pump dryer purchased as part of a QEP, under the Program. Specific models of qualified heat pump clothes dryers will be included on the Qualified Products List (QPL).

Program Appliance Installation – The scope of work necessary to ensure that a Program Appliance is placed in its intended location, plugged in and deemed to be operational for its intended purpose. When applicable in a QEP funded exclusively with NYSERDA-allocated non-IRA funding, the Program Appliance Installation also includes the disconnection/capping of the gas line and the capping/sealing of the existing exhaust vent.

Program Measure(s) – Any of the following: Program Appliance purchase; Program Appliance Installation; Electrical Wiring Upgrade; and Electrical Panel Upgrade performed as a QEP under the Program.

Program Participant – Applicants, Participating Contractors and Regional Clean Energy Hub (Hub) representatives as entities who can submit QEP Applications for participation in the Program under a QEP.

Qualified Electrification Project (QEP) - A project that receives Customer Rebates and meets the requirements and specifications of this Program. A QEP must include the purchase and installation of the Program Appliance and may include other Program Measures. QEPs can be funded exclusively with either IRA funding or with NYSERDA-allocated non-IRA funding. QEPs that include the replacement of a gas appliance with an electric appliance are funded exclusively with NYSERDA-allocated non-IRA funding.

Qualified Electrification Project (QEP) Applications – Submissions made in the MyEnergy Portal or via mail-in paper applications to be considered for Program Rebates.

Quality Install or (QI)– The Appliance and/or Electrical Wiring Upgrade and/or Panel Upgrade Installation(s) performed by a Participating Contractor that conforms to all Program and Quality Assurance requirements as well as applicable municipal and State local laws, codes, regulations and permits.

Qualified Project Cost – Eligible costs that are invoiced to the Customer (or designated entity on their behalf, like a Participating Contractor) for QEPs.

Retailer and Contractor Recruitment Consultant (Recruitment Consultant) – An entity hired by NYSERDA to conduct outreach to, and enroll, eligible contractors and retailers who can apply to participate in the Program via NYSERDA's open-enrollment solicitation (PON 5859). This consultant will evaluate, onboard, and manage Participating Contractors and Retailers to ensure that they meet Quality Assurance (QA) and Program requirements.

Regional Clean Energy Hub (Hub) – An entity created by NYSERDA to connect people to the clean energy economy through a team of trusted, knowledgeable, community-based organizations in and from various regions of New York State and have experience with clean energy, energy efficiency, workforce and economic development, education, health, and housing.

Retailer Application – Application by which an interested retailer applies for enrollment as a Participating Retailer in the Program.

Retailer Participation Agreement (Retailer Agreement) – An Agreement which establishes the terms and conditions under which NYSERDA-approved Participating Retailers may participate in the Program.

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.

Subcontractor – A person who performs work directly or indirectly for or on behalf of the Participating Contractor (and whether or not in privity of contract with the Contractor) but not including any employees of the Contractor or the Subcontractors.

2.2. Program Process Overview

If applying online, Applicants must first create an account in the MyEnergy Portal, where they will be able to submit QEP Applications online. Applicants may also apply by submitting a paper QEP Application to NYSERDA. The QEP Application and eligibility processes for Applicants are detailed in this section. NYSERDA's Implementation Contractor (IC) reviews, and where appropriate, approves QEP Applications to issue the Appliance and Installation Coupons to Customers. Customers redeem Appliance and Installation Coupons with their selected Participating Retailer and Contractor, respectively. The redemption process for Appliance and Installation Coupons are discussed in Section 4.

3. QEP Application Submission

3.1. Customer Eligibility

An Applicant is approved to participate in the Program as a Customer when the following requirements have been met:

1. The Applicant is a tenant or building owner of an existing NYS Single-family Home, Multifamily Building or Manufactured Home; AND
2. The Applicant submits the required documentation as outlined in Section 3.2.
    a. Per Sections 3.2.3 and 3.5, the Applicant has submitted income documentation and has been deemed as income-qualified, either low- or moderate-income, by NYSERDA. Table 1 details the corresponding rebates that the Customer will be eligible for based on income tier.

For QEP Applications where the Applicant Project Address is a Manufactured Home, Address Line 2 must be completed. Failure to complete this field may result in a delay in application processing.

3.2. Required Information and Documentation

3.2.1. Overview

A QEP Application consists of the required information and documentation detailed in Sections 3.2.2. and 3.2.3., respectively; the MyEnergy Portal and paper version indicate such requirements.

One (1) QEP Application can be submitted per one (1) Applicant Project Address.

QEP Applications may be submitted by Applicants, or Participating Contractors or Hub representatives on their behalf.

Once the QEP Application is received, it takes approximately (7) to (10) business days to review. QEP Applications are processed on a first come, first served basis. Failure to complete required QEP Application fields and provide all required documentation may result in a delay of QEP Application processing.

3.2.2. Required Applicant and Applicant Project Address Information

A QEP Application must include the following information on the Applicant and Applicant Project Address:

- Contact
- Applicant Mailing Address (if different from the Applicant Project Address)
- Existing Appliance (if applicable)

- Ownership and Building Type
- Building Owner (if the Applicant is a renter)
- Utilities (additional requirements listed in Section 3.2.3.)
- Income (additional requirements listed in Section 3.2.3. and detailed in Section 3.6.)

If the Applicant is receiving assistance from a Participating Contractor or Hub representative, or they are applying on their behalf, then the Program Participant's contact information is required to be collected.

3.2.3. Required Applicant Documentation

A QEP Application must include the following documentation:

- One (1) copy of each of the Applicant's most recent utility bills:
  - Itemized electric; and
  - Gas (if applicable); and/or
  - Fuel supplier (if heating by propane, oil, kerosene, wood, or coal)
- One (1) type of income documentation:
  - One (1) form from Section 3.6.1; or
  - At least one (1) form from Section 3.6.2;
    - Applicants shall submit additional forms if they have supplemental income sources
- Building Owner Certification (only for Applicants who are renters)
- Signed QEP Application (DocuSigned in MyEnergy, digitally signed, or wet signed on the paper copy)
- Geotagged photo of the existing appliance (or intended installation location if the Applicant does not currently have one)

3.2.4. Applicant Attestation

The Applicant must complete and sign an Appliance Upgrade Program Applicant Attestation (AUP Attestation) for submission to NYSERDA. The AUP Attestation includes consent for NYSERDA to undertake statutorily authorized or regulatorily approved responsibilities including supporting clean energy market development initiatives, and other clean energy program evaluation and measurement activities.

Additionally, as part of the AUP Attestation, the Applicant acknowledges any electrical wiring or service panel upgrades is contingent upon following all requirements specified in this Program Manual, including the installation of an eligible appliance. The Applicant must further agree to return the total amount of the rebate or assistance for electrical wiring or panel service upgrades received to NYSERDA if an eligible appliance is not installed and to provide NYSERDA with a geotagged photo of any Program Appliance after installation.

Projects completed without an accompanying AUP Attestation are not eligible to receive rebates from NYSERDA.

3.3. Application Submission

3.3.1. Overview

Applicants may submit the QEP Application through the MyEnergy Portal or by mail with the paper application.

Applicants may also work with a Participating Contractor or Hub representative to submit the QEP Application on their behalf. This process is discussed in Section 3.4.

The QEP Application submission method is at the discretion of the Applicant and does not impact eligibility.

Applicants in need of assistance may refer to the NYSERDA contacts in Section 2.

3.3.2. Applicant Submission Process

3.3.2.1. MyEnergy Submission

Residents who have access to an email address and computer, laptop, smartphone or tablet are encouraged to use the MyEnergy Portal for submission. Prior to submission, Applicants need to create an account in the MyEnergy Portal. Creating an account requires the following Applicant information:

- Email address; and
- First name; and
- Last name; and
- Phone number; and
- Username (created by the Applicant)

Once created, Applicants can complete and submit a QEP Application. QEP Applications do not need to be submitted on the date that they were created. Applicants may save their application and return later to complete and submit.

As indicated in Section 3.1, Applicants are required to provide the listed documentation. To submit utility bills, income documentation, and the Building Owner Certification (if applicable), Applicants may upload PDF copies to the MyEnergy Portal when prompted.

Applicants must also take and submit the geotagged photo per Section 3.3.4; MyEnergy provides a prompt to do so. If the Applicant possesses a smartphone, NYSERDA recommends that they use it to take and submit the geotagged photo. If the Applicant does not possess a smartphone, then they may use a laptop, computer, or digital camera to take the geotagged photo, and a laptop or computer to submit the geotagged photo. MyEnergy provides instructions for each option.

3.3.2.2. Paper Submission

Applicants may access the paper version of the QEP Application on the [Program website](). Applicants who do not have access to an email address and computer, laptop, smartphone, or tablet may contact NYSERDA (referenced in Section 2) to request that a copy be mailed to their Applicant Mailing Address.

To complete the paper version of the QEP Application, Applicants must:

- Fill out all required fields (denoted in the paper version); and
- Attach the required documentation (per Section 3.1, excluding the geotagged photo); and
- Sign the QEP Application; and
- Mail to the address listed

The geotagged photo will not be attached with the other documentation listed in Section 3.1. Section I (in the paper version) determines whether the Applicant or an additional contact person (listed in Section A of the paper version) can take and upload the photo from a link sent via email.

If the Applicant or additional contact person can take the photo, then NYSERDA will email a link to do so. The Applicant must take and submit the geotagged photo per Section 3.2.4.

If the Applicant or an additional contact person cannot take the photo, then NYSERDA will contact the Applicant by phone to schedule a visit to take the photo on their behalf. The Applicant's ability to take and upload the photo will not impact eligibility to the Program.

The submission of the geotagged photo (completed by the Applicant or additional contact person or taken by NYSERDA on the Applicant's behalf) is the final required document before the QEP Application is fully processed. Failure to take and submit the photo, or schedule a visit with NYSERDA to take and submit the photo on the Applicant's behalf, will result in an incomplete QEP Application that will not be processed.

3.3.2.3. **Taking and Submitting the Existing Appliance Geotagged Photo**

There are two options to take and submit the geotagged photo of the existing appliance, or intended installation location of the Program Appliance:

Option 1: take and submit with one (1) mobile device (either a smartphone or tablet)

Option 2: take with a digital camera and submit with either a laptop or desktop computer

For both scenarios, instructions are provided on the MyEnergy webpage where the photo is submitted.

To ensure that the photo is geotagged correctly, the photo must be taken and submitted at the Applicant Project Address. Failure to take and submit the photo from the Applicant Project Address may result in a delay in QEP Application processing or a rejected QEP Application.

3.3.3. QEP Application Submission by a PC or Hub Representative

3.3.3.1. Overview

As noted in Section 3.3.1., as Program Participants, Participating Contractors and Hub representatives may submit QEP Applications on behalf of Applicants. Submission may be done through the MyEnergy Portal or the paper application version, but submission is encouraged through the MyEnergy Portal.

Prior to beginning the QEP Application, Participating Contractors and Hub representatives must receive express consent from the Applicant to submit the QEP Application on their behalf. Failure to do so may result in termination from the Program.

After Applicant consent is received, Participating Contractors and Hub representatives must obtain the required documents and information from Section 3.1.

The Program Participant must also work with the Applicant to confirm their ability to take and upload the geotagged photo. The method to take and submit the geotagged photo is dependent on the Applicant’s ability to take and submit the photo, discussed in Sections 3.4.2 and 3.4.3. The submission method does not impact the Applicant’s eligibility to the Program.

3.3.3.2. Geotagged Photo Submission – MyEnergy Portal

The submission of the photo is dependent on whether the Applicant has access to an email address and computer, smartphone or tablet, which is inputted by the Program Participant.

If the Applicant email address is included, then NYSERDA will send an email with a link to take and upload the photo. The Applicant must take and submit the geotagged photo per Section 3.3.4.

If the Applicant email address is not included, then the Applicant may work with their Participating Contractor, or schedule a visit with NYSERDA to take and submit the photo on their behalf. If the Participating Contractor takes and submits the photo, they must do so per Section 3.3.4.

3.3.3.3. Geotagged Photo Submission – Paper Version

To confirm whether the Applicant can take and submit the geotagged photo, the Program Participant will need the Applicant to provide input on Section I (paper application), which determines whether the Applicant possesses an email address.

If the Applicant possesses an email address, then NYSERDA will send an email with a link to take and upload the photo. The Applicant must take and submit the geotagged photo per Section 3.3.4.

If the Applicant cannot access an email address, but included an additional contact person who can, then NYSERDA will email a link to the additional contact person to take and submit the photo on behalf of the Applicant. The additional contact person must take and submit the geotagged photo per Section 3.3.4.

For Participating Contractor submissions only, if the Applicant or additional contact person cannot take the photo, or no additional contact person was listed, then an email with the link to take and upload the photo will be sent to the PC. The Participating Contractor must take and submit the geotagged photo per Section 3.3.4.

If the Participating Contractor cannot take the photo, then NYSERDA will contact the Applicant by phone to schedule a visit to take the photo on their behalf.

3.3.3.4. **QEP Application Submission - MyEnergy**

Once the QEP Application includes all information and documentation per Sections 3.2.2 and 3.2.3, respectively, Program Participants must download a PDF copy of the QEP Application to share with the Applicant for signature. The Applicant must wet sign or digitally sign the QEP Application. Upon upload of the signed QEP Application, the QEP Application will move to “Submitted” status in the MyEnergy Portal; this status will put the QEP Application in queue for processing. Until the signed copy of the QEP Application is uploaded to the MyEnergy Portal, the QEP Application will remain in the “Unsubmitted” status and will not be reviewed.

3.3.3.5. QEP Application Submission – Paper Application

Once the QEP Application includes all required information, and documentation is prepared for attachment (listed Sections 3.2.2 and 3.2.3, respectively), the Program Participant must mail the application to the listed address. Once received, the link to collect the geotagged photo will be sent per Section 3.4.3., or a visit will be scheduled by NYSERDA to take the photo on behalf of the Applicant. After the geotagged photo is received, the QEP Application will be processed for eligibility to the Program. Upon QEP Application approval, the Customer’s Appliance Coupon will be mailed to the Applicant Mailing Address.

3.4. Income Eligibility Documentation

3.4.1. Overview

To establish income eligibility to participate in the Program, Applicants must provide income documentation from those list in Section 3.4.1 to establish categorical eligibility OR from the form(s) listed in 3.4.2 to establish standard eligibility; the selection is at the Applicant’s discretion.

Additionally, Applicants must provide the number of household members who reside at the Applicant Project Address.

All proof of income must have an address that matches the Applicant Project Address.

Applicants who provide fraudulent documentation and/or information will be excluded from receiving Customer Rebates through participation in the Program.

3.4.2. Categorical Eligibility

To be considered categorically eligible, Applicants need to provide one (1) benefit letter from the following New York State programs servicing low-income residents. The benefit letter must be dated within the last 12 months to be accepted.

- Home Energy Assistance Program (HEAP)
- Supplemental Nutrition Assistance Program/Food Stamps (SNAP)/SNAP NYC
- Supplemental Security Income (SSI)
- Temporary Assistance for Needy Families (TANF)
- Public Assistance
- Public Housing (housing owned and operated by Public Housing Authorities)/Federal Public Housing Assistance
- Privately owned multifamily buildings receiving project-based assistance (Section 8, Section 202, Section 811)
- Low Income Housing Tax Credit (LIHTC)
- Weatherization Assistance Program (WAP)
- Lifeline Support for Affordable Communications (Lifeline)
- Medicaid
- Federal Public Housing Assistance

3.4.3. Standard Income Documentation

Applicants may also demonstrate income eligibility by providing standard income documentation by submitting the income source form(s) per Table 1 for all sources of income earned during the year for which they are seeking to demonstrate eligibility. Table 1 includes the calculation methodology included for each income source, so Applicants can determine the Annual Income and Gross Income.

Table 1: Accepted Income Documentation

Income Source	Form	Time Period	Calculation
Alimony	Court Award Letter or Printout from Domestic Relations	Within the last 12 months	(Monthly Benefit) X 12 = Annual Income
Annuities	Statement	Within the last	Assumed one-time payment

		12 months	
Business or Farm Income	Use business records for three months prior to the date of the application	Within the last 12 months	Assumed one-time payment
Disability (Short Term or Long Term)	Benefit Statement	Within the last 12 months	(Monthly Benefit) X 12 = Annual Income
Estates or Trusts, as a regular source of income	Fiduciary statement or current statement from bank or brokerage firm.	Within the last 12 months	Assumed one-time payment
Gambling or Lottery Winnings (Net)	Statement of net winnings.	Within the last 12 months	Assumed one-time payment
Insurance Proceeds or Dividends, as regular source of income	Statement from insurance company (note: one-time insurance payments or compensation for injury are not considered income.)	Within the last 12 months	Assumed one-time payment
Interest Income	Statement	Within the last 12 months	Assumed one-time payment
Pension or Retirement	Statement or Pension check stub showing gross amount or letter from Pension Board	Within the last 12 months	(Monthly Benefit) X 12 = Annual Income
Rental Income	Income tax form; rent receipts; notarized statement from applicant	Within the last	Assumed one-time payment

	listing each apartment and the rent received per month, as well as the description and amount of deductible expenses. When the tenant is a family member and is paying no rent to the owner, a notarized statement should be received from the tenant and signed by the owner stating that no rents are being collected.	12 months	
Royalties	Income tax return; current statement from company issuing checks	Within the last 12 months	Assumed one-time payment
Salaries/Wages	Pay Stubs from last (4) consecutive weeks	Dated in the last 60 days	Weekly: (weekly income) X 4.3 = Month Total Bi-Weekly: (2 weeks income) X 2.15 = Month Total Twice Monthly: (Income) X 2 = Month Total (Month Total) X 12 = Annual Income
Self-Employment **Income**	Business records for 3 months prior to the date of application; IRS form for income from previous year; notarized statement of gross adjusted income, including list of deductions and amounts, for previous 3 months.	Within the last 12 months	Assumed one-time payment
Social Security	Award Letter, Benefit Statement, 1099 Social Security Benefit Statement, 1099-R	Within the last 12 Months	(Monthly Benefit) X 12 = Annual Income

Social Security Disability (SSD)	Award Letter, Benefit Statement	Within the last 12 Months	(Monthly Benefit) X 12 = Annual Income
Tax Documentation	1040, 1040 A, 1014-SR, 1040-EZ, W2	Within the last year (until May)	For 1040, 1040 A, 1014-SR, and 1040-EZ use Adjusted Gross Income. For W2 use Box 1 – Wages, Tips, and Other Compensation.
Veteran's Benefits	Award letter from Veterans Administration of Department of Defense; copy of check.	Within the last 12 months	Assumed one-time payment
Worker's Compensation	Formal letter from insurance company	Dated in the last 60 days	(Monthly Benefit) X 12 = Annual Income

3.4.4. Program Measures

Customer Rebates are available to Customers for Program Measures, which include the purchase and Installation of Program Appliance as well as Electrical Panel Upgrades and Electrical Wiring Upgrades necessary for such Program Appliance Installations. The table below summarizes the available Customer Rebates.

Table 1: Customer Rebates

Program Measure	Maximum Customer Rebate Amount Per Dwelling Unit	80-150% AMI	<80% AMI
Program Appliance purchase and Installation[1]	$840	**50% of the Qualified Project Cost**	

[1] The Customer Rebate always includes the Program Appliance purchase. However, the inclusion of Installation is dependent upon the Participating Retailer, which is discussed in Section 4.3.4.

Electrical Service Upgrade	$4,000		**100% of the Qualified Project Cost**
Electrical Wiring Upgrade	$2,500		
Maximum per Applicant Project Address under the Program	**$7,340**		
Maximum per Applicant Project Address under HEAR	**$14,000**		

3.4.5. Changes to Customer Rebates or Incentive Amounts

NYSERDA reserves the right to make changes to the incentive and rebate offerings, including but not limited to amount, timing, recipient, structure, incentive caps and total budget available. Any changes to the rebate and incentive offerings will be done via a modification to this Program Manual with notice provided to Program Participants.

3.5. Required Existing Conditions for Program Measures

This section details the required existing conditions to receive Customer Rebates for Program Measures through Appliance and Installation Coupons.

As discussed in Sections 3.5.2. and 3.5.5., Electrical Wiring and Panel Upgrades are only permitted by the Program when they are required for the Program Appliance Installation. Electrical Wiring and Panel Upgrade Installations performed without a Program Appliance Installation are not permitted and may result in a loss of Customer Rebates or recoupment of such Installation costs and Incentives from the Customer and/or Participating Contractor.

3.5.1. Program Appliance - Heat Pump Clothes Dryers

This Program Measure is permitted only as:

- A replacement for a non-electric dryer; or
- A replacement for an electric resistance dryer; or
- A first-time purchase of a heat pump clothes dryer for the dwelling unit (includes dwelling units which have no clothes dryer).

The purchase of a heat pump clothes dryer to replace an existing heat pump clothes dryer in the dwelling unit or to install in new construction is not eligible for Customer Rebates under this Program Measure.

3.5.2. Electrical Wiring Upgrade – Overview

A Customer is eligible for an Electrical Wiring Upgrade where the existing panel at the Applicant Project Address:

- Does not have an existing circuit for the Program Appliance Installation; AND/OR

- Existing receptacle; AND/OR
- The existing panel is non-operational or violates the National Fire Protection Association (NFPA) 70 or National Electric Code (NEC) (e.g., NEC 110.12.B), which cannot support the Program Appliance Installation.

An Electrical Wiring Upgrade is not permitted where the Customer does not intend to install a Program Appliance or where the Program Appliance Installation does not necessitate an Electrical Wiring Upgrade. Customers may work with a Participating Contractor to determine whether an Electrical Wiring Upgrade is necessary for the Program Appliance Installation. The scope of the Electrical Wiring Upgrade is determined by Sections 3.5.3. and 3.5.4.

3.5.3. Electrical Wiring Upgrade – Existing Service Sufficient

At the Applicant Project Address, if the ampacity of the existing service **can** support the new load from the Program Appliance, then the scope of the Electrical Wiring Upgrade includes all wiring load side (downstream) from the service entrance cables. Depending on the existing conditions at the Applicant Project Address, the Electrical Wiring Upgrade will include at least one item from the following scope.

1. For the new Program Appliance circuit and breaker:
    1. The replacement of an existing circuit and breaker in an existing panel box; OR
    2. The installation of a new circuit and breaker in an existing, or new, panel box;
2. The installation of a new receptacle for the Program Appliance Installation
3. The installation of a new panel for the Program Appliance Installation

If the existing panel does not have enough space for a new circuit or the conditions per Section 3.5.2., then the Electrical Wiring Upgrade may include a replacement panel box and breaker(s); the manufacturer does not need to be the same as the previous panel box. This replacement panel may include line work with respect to the service entrance cables, which is permitted as part of this scope. A smart panel is permitted as a replacement panel if the existing ampacity is a minimum of 100-amps.

3.5.4. Electrical Wiring Upgrade – Existing Service Insufficient

At the Applicant Project Address, if the ampacity of the existing service **cannot** support the new load from the Program Appliance, then an Electrical Panel Upgrade is necessary.

If the Qualified Project Cost of the Electrical Panel Upgrade exceeds the Electrical Panel Upgrade Customer Rebate, then the Electrical Wiring Upgrade may also include the replacement of the panel and line side wiring work, in addition to the items in Section 3.5.3.

The Electrical Wiring Upgrade may not include any line side work without the Electrical Panel Upgrade included in the scope at the Applicant Project Address.

3.5.5. Electrical Panel Upgrade

An Applicant Project Address is eligible for an Electrical Panel Upgrade when the existing ampacity of the Applicant Project Address cannot support the electrical load from the Program Appliance Installation.

The scope of an Electrical Panel Upgrade may include the following:

1. Replacement of the main electrical panel
    a. A smart panel is permitted
    b. Use of the existing panel box and breakers is not permitted
2. Replacement of the meter base
3. Replacement of line side components such as wiring and conduit
4. Required permit(s) per the municipality of the Applicant Project Address
5. Utility coordination and costs
6. Trenching (if applicable)

Per Section 3.5.4, when an Electrical Wiring Upgrade is also necessary for the Program Appliance Installation, then the scope of the Electrical Wiring Upgrade may also include the new panel box and line side wiring depending on the Qualified Project Cost of the Electrical Panel Upgrade.

The upgraded ampacity must allow for the Future Electrification of the Applicant Project Address.

An Electrical Panel Upgrade is not permitted where the Customer does not intend to install a Program Appliance or where the Program Appliance Installation does not necessitate an Electrical Panel Upgrade. Electrical Panel Upgrade Installations performed by a Participating Contractor must adhere to Section 3.8.

3.6. QEP Installation Requirements

3.6.1. Program Measure Installations Performed by a Participating Contractor

Program Appliance and/or Electrical Wiring Upgrade and/or Electrical Panel Upgrade Installations performed by a Participating Contractor must adhere to:

- Applicable State and local laws, codes, regulations, and permits; and
- Utility specifications and requirements (for Electrical Panel Upgrade Installations); and
- Licensure requirements documented in accordance with Section 6.

Program Appliances may not be installed outside (including porches and patios) and in areas subject to freezing temperatures and weather conditions.

3.6.2. Program Measure Installations Performed by a Customer

Customers are not eligible for Rebates or Incentives for any Program Measure that is self-installed or installed by anyone other than a Participating Contractor.

Customers are permitted to perform Program Appliance Installations if they adhere to the applicable municipal and State local law, codes, regulations and permits.

Customers shall provide a geotagged photo of the installed Program Appliance upon request by NYSERDA.

3.7. QEP Application Statuses

Once a Program Participant begins a QEP Application on the MyEnergy Portal, that QEP Application is assigned a status in accordance with the definitions provided in section. Following QEP Application approval, different statuses are assigned and used by the Implementation Contractor to track and approve QEPs at the appropriate stages. Program Participants have visibility into the status of their QEP Application by logging into the MyEnergy Portal. Participating Retailers will not have visibility into the QEP Application stages, only the Appliance Coupon statuses. The QEP Application Statuses will consist of the following:

Unsubmitted – incomplete QEP Application.

Submitted – Applicant has submitted a QEP Application to the MyEnergy Portal.

Under Review – QEP Application is under review for accuracy, eligibility and completeness by the Implementation Contractor.

Pending Approval – QEP Application requires additional confirmation from the IC or NYSERDA.

Approved – QEP Application has been approved by the IC; Appliance Coupon is issued to the Customer.

Rejected – The IC has completed the QEP Application review and determined that the Applicant is not eligible to participate in the Program.[2]

3.7.1. Appliance Coupon Statuses

Appliance Coupons are generated by the selected Participating Retailers. Please refer to Section 4.3 for Appliance Coupon requirements. Appliance Coupon statuses consist of the following:

Unassigned – Appliance Coupon has been created and available in the MyEnergy Portal, but has not yet been assigned to a QEP.

Approved –Appliance Coupon has been assigned to a QEP and issued to the Customer by the IC.

Cancelled – (1) the Appliance Coupon has expired; or (2) the Customer has requested that their QEP be cancelled; or (3) the submitted QEP Application is a duplicate.

Rejected – Appliance Coupon has been in the **Cancelled** status for more than thirty (30) days. The Customer no longer has access to Program funds under this QEP. The Applicant may submit a new QEP Application at this time.

[2] This status is also shared by Appliance and Installation Coupons that have been issued to the Customer, see Sections 3.9.1 and 3.9.2.

Terminated – Either (1) an **Unassigned** Appliance Coupon has exceeded its expiration date; or (2) the Appliance Coupon has been terminated by the IC because of a change to the Customer's selected Participating Retailer.

Sales Documentation Submitted – the Participating Retailer has submitted Sales Documentation for the Program Measure, and it is awaiting approval by the IC. See Section 9.1. for requirements.

Documentation Denied – the submitted Sales Documentation has been rejected by the IC and requires revision by the Participating Retailer.

Completed – the submitted Sales Documentation has been approved by the IC and the Appliance Coupon is ready for reimbursement by NYSERDA.

Closed – the Participating Retailer has been reimbursed for the Appliance Coupon by NYSERDA.

3.7.2. Installation Coupon Statuses

The Installation Coupon will consist of a unique alphanumeric code generated by NYSERDA. Please refer to section 4.4 for Installation Coupon requirements. Installation Coupon Statuses consist of the following:

Approved – Installation Coupon has been issued to the Customer by the IC; this status allows a PC to submit QI documentation.

Cancelled – the Customer has requested that their Installation Coupon be cancelled.

Rejected – the Installation Coupon has expired.

Quality Install Documentation Submitted - the Participating Contractor has submitted Quality Install documentation for the Program Appliance Installation and/or Electrical Wiring and/or Panel Upgrade Installation, and it is awaiting approval by the IC. See Section 8 for requirements.

Documentation Denied - the submitted Quality Install documentation has been rejected by the IC and requires revision by the Participating Contractor.

Completed – the submitted Quality Install documentation has been approved by the IC and the Installation Coupon, as well as applicable Participating Contractor incentives (see Section 7.), are ready for reimbursement by NYSERDA.

Closed – the Participating Contractor has been paid for the Installation(s) and applicable Installation Incentives by NYSERDA.

4. Appliance and Participating Contractor Installation Coupons

4.1. QEP Application Approval - Appliance Coupon Receipt

Upon QEP Application approval, Customers and/or Participating Contractors or Hub representatives who applied on their behalf, will receive an email with the Appliance Coupon. The Appliance Coupon is a unique and printable alphanumeric code generated by the Customer's selected Participating Retailer.

In addition to the Appliance Coupon code, the email to the Program Participant(s) will also include the following information:

- Appliance Coupon:
  - Range: 50% or 100% off
  - Amount: MACA
  - Expiration date: between 30 and 60 days from date of receipt
- Instructions for redemption at a Participating Retailer
- Instructions for working with a Participating Contractor(s)
- A link to the QPL detailing the eligible Program Appliance models
- A link to the Program's Participating Contractor list

Once the Appliance Coupon has been emailed, NYSERDA will send automated email reminders to the Program Participant(s) at 30 days, 7 days, and one day prior to expiration, or until the Appliance Coupon has been redeemed.

4.2. Appliance Coupons - for Customers, Participating Contractors, and Regional Clean Energy Hub Representatives

4.2.1. Overview of Appliance Coupon Usage

The Appliance Coupon may be used in-store or online, depending on the selected Participating Retailer at any point between the issuance of the Appliance Coupon and on or before the expiration date. The Appliance Coupon will be worth 50% or 100% off the Qualified Project Cost with a maximum amount of available HEAR funding (as defined by the Maximum Appliance Coupon Amount). This code is non-transferable. The Appliance Coupon code will be active for a minimum of 30 days. Extensions may be granted on a per QEP basis by NYSERDA.

The Appliance Coupon is only eligible for the purchase of a new Program Appliance, which includes an ENERGY STAR® certified heat pump clothes dryer (including an all-in-one washer-dryer with a heat pump dryer); specific models will be included on the Qualified Products List (QPL). This QPL will be developed from the ENERGY STAR® Qualified Product List and updated regularly by the Recruitment Consultant. The QPL will be available on NYSERDA's website.

4.2.2. Appliance Coupon Redemption – In-Store and Online

To understand the potential Customer Rebate, Program Participants may visit the QPL to review the Program Appliance models, then estimate the Qualified Project Cost based on a particular model, and apply the Coupon range and MACA.

If a Customer has included the purchase of the Program Appliance in their Participating Contractor scope, then they may provide the Participating Contractor with the Appliance Coupon to do so, on their behalf, at the selected Participating Retailer.

In a brick-and-mortar store, the Participating Retailer will redeem the Appliance Coupon by manually entering the alphanumeric code at checkout. Similarly, in an online shopping experience, the Customer (or Participating Contractor on their behalf) will enter the alphanumeric code at the Participating Retailer's online checkout. Both use cases will apply the correct discount based on the eligible Customer range and automatically void the Appliance Coupon code. Please refer to the statuses in Sections 3.9.1. for further details.

Program Appliances purchased using the Appliance Coupon must be delivered to the Customer's address from the QEP Application. If the appliance is not delivered to that address, and the IC is not notified of the change, then the Customer risks the potential loss of the Customer Rebate. To the extent that it is possible, Participating Retailers shall ensure that orders are delivered to a New York State address.

If delivery is not needed, then Customers and/or Participating Contractors may select store-pickup (if offered by the Participating Retailer).

4.2.3. Eligible and Ineligible Appliance Coupon Costs

Appliance Coupons may not be redeemed for the following products and/or services provided by the Participating Retailer: equipment accessories (e.g., hose) and extended warranties.

Appliance Coupons may be redeemed for the following services and costs: dryer power cord, delivery, Program Appliance Installation (see Section 4.3.4 for requirements), haul away and sales tax.

For the Program Appliance Installation, the inclusion of the disconnection and capping of the existing appliance gas line, if applicable, is dependent upon the Applicant Project Address municipal requirements, and whether the service is offered (as part of the installation) by the Participating Retailer. This would be funded exclusively with NYSERDA-allocated non-IRA funding, if applicable.

4.3. Appliance Coupons - for Participating Retailers

4.3.1. Overview

As noted in Section 3.2, the Appliance Coupons created by the Participating Retailer will be assigned, based on the MACA, to a QEP upon approval of an Applicant's QEP Application. The Applicant will receive the Appliance Coupon via email and present it at the Participating Retailer (in-store or online) where it must be validated, redeemed, and voided immediately after use for the purchase of the Program Appliance. Other than Appliance Coupon creation, Participating Retailers will perform all work in the MyEnergy Portal. An account in the MyEnergy Portal is required to participate. Retailers may use their preferred method of coupon generation as long as the requirements in section 4.3.2. are met.

4.3.2. Appliance Coupon Creation Requirements

Appliance Coupons must be structured based on the following criteria:

- Within each batch, there must be two sets of Appliance Coupons, one worth 50% off the Qualified Project Cost (Program Appliance purchase) and the other worth 100% with a maximum amount of $840 for both, consistent with the DOE allowed rebate amounts (see Table 1).
  - Appliance Coupons must have the functionality to be entered in the retailer's point-of-sale system and worth the specified range with the $840 maximum.
  - The first batch of Appliance Coupons uploaded into the MyEnergy Portal must contain no fewer than 50 Appliance Coupons (25 for each range).
- Appliance Coupons must expire no less than 30 days and extended no more than 30 days thereafter.
- A new batch of Appliance Coupons must be uploaded once there are no less than ten (10) Appliance Coupons of each income range or the Appliance Coupons in the MyEnergy Portal expire in less than 60 days.
- Appliance Coupons must be identifiable by a retailer-specific unique alpha-numeric coupon code that is valid for one-time use only.
  - Minimum ten (10)-character length, no maximum
  - Aside from the minimum, the length and format of the alphanumeric codes are at the discretion of the retailer, but the order of the alphanumeric characters should be randomized and complex (e.g., r1i30dlo59d)
  - The retailer name, or characters related to it, are not required in the coupon code
  - Coupons that require the use of barcodes, QR codes, or other non-alpha-numeric code redemption are not compatible with the Program.
  - Appliance Coupons must be structured such that they cannot exceed the QEP Customer Rebate structures detailed herein and are only redeemable for appliance model numbers on the Qualified Products List (QPL).
  - Appliance Coupons must be prohibited from applying to the following retailer products and/or services: extended warranties and equipment accessories, like hoses.
- Retailers are responsible for ensuring that there is no duplicate Coupon codes between batches.
- In the event that a Retailer withdraws from the Program, they are responsible for honoring Approved Appliance Coupons during the 30-day notice window.
- Appliance Coupons must be provided in the NYSERDA template (.csv file) available in the MyEnergy Portal.

4.3.3. Custom Appliance Coupon Creation

To the extent that it is possible, Participating Retailers are also responsible for the creation of custom Appliance Coupons, where the MACA is specific to the Applicant Project Address. To create the custom Appliance Coupon, Participating Retailers will receive a link to a webpage in MyEnergy indicating the specific Coupon range and MACA. In their point-of-sale system, Participating Retailers will need to create a custom Coupon code and corresponding expiration date to match such Coupon range and MACA; then, the Participating Retailer will enter the code into the webpage. Participating Retailer's will receive an automatic email per request with instructions to enter the Coupon code into MyEnergy.

Participating Retailers that are unable to create custom Appliance Coupons will be ineligible to provide Appliance Coupons to Customers with a MACA that is less than $840. Customers that have previously selected such a Participating Retailer will be instructed by the IC to change their selection.

4.3.4. Inclusion of the Program Appliance Installation Cost

If Participating Retailers offer the Program Appliance Installation, then they must be enrolled as a Participating Contractor to include the cost of the Program Appliance Installation in the Qualified Project Cost and Customer Rebate.

4.4. Participating Contractor Installation Coupons - for Customers, Participating Contractors, and Regional Clean Energy Hub Representatives

4.4.1. Installation Coupon Structure

The Installation Coupon shall consist of a unique alphanumeric code generated by NYSERDA; the Customer's chosen Participating Contractor will redeem the Installation Coupon in the MyEnergy Portal for the following Program Measures: Program Appliance Installations, including capping of the existing appliance gas line, if applicable, and Electrical Wiring Upgrade Installations and Electrical Panel Upgrade Installations. The redemption of this Installation Coupon is discussed in Section 4.4.4.

4.4.2. Installation Coupon Receipt

The Installation Coupon shall be provided to the Customer upon request. To receive the Installation Coupon, the Customer shall follow the below instructions:

1. Browse the Participating Contractor List, then select an electrical PC(s) who serves the Applicant Project Address.
    a. If the fuel type of the existing appliance is either natural gas or liquid propane (LP), then select a plumber as well.
2. Schedule a consultation with the electrical PC(s) to determine whether an Electrical Wiring and/or Panel Upgrade is needed to complete the Program Appliance Installation.

3. If an Electrical Wiring and/or Panel Upgrade is needed, then the Customer shall contact AUP@nyserda.ny.gov or 866-NYSERDA with the name and company of the PC whom they have selected to perform the Electrical Wiring and/or Panel Upgrade Installation.
    a. This step shall apply even if the PC or Hub representative submitted QEP Application on behalf of the Customer.

4.4.3. Installation Coupon Instructions – Prior to Redemption

The Customer shall work with their Participating Contractor to determine the QEP scope. If the scope of work agreed upon by the Customer and Participating Contractor includes work outside of the QEP scope, or if the Installation Coupon does not cover the full cost of the work to be performed (e.g., where the Customer is only eligible for 50% of the Qualified Project Costs), the Customer and the Participating Contractor should enter into a separate agreement whereby the Customer hires the Participating Contractor to perform work not covered by the Installation Coupon. This separate agreement occurs outside of the MyEnergy Portal and is not covered by, guaranteed, or otherwise endorsed by NYSERDA or the Program.

Customers may hire contractors who are not Participating Contractors to perform Program Appliance, and Electrical Wiring and Panel Upgrade Installations and related work, but those non-Participating Contractors may not redeem Installation Coupons. As such, the work performed by anyone other than a Participating Contractor will not be covered by a Customer Rebate.

Prior to performing work, the Participating Contractor shall confirm whether the Electrical Wiring or Electrical Panel Upgrades are necessary for the Program Appliance Installation. The Participating Contractor shall not perform Electrical Wiring Upgrade or Electrical Panel Upgrade Installations where such work is unnecessary for the Program Appliance Installation. Prior to performing work, the Participating Contractor shall use the MyEnergy Portal to confirm that the Installation Coupon provided by the Customer is valid for redemption on behalf of the respective Customer.

If more than one Participating Contractor is necessary for the Program Appliance and/or Electrical Wiring Upgrade and/or Electrical Panel Upgrade Installations, then the Participating Contractors shall work with the Customer to determine a primary Participating Contractor who will be responsible for redeeming the Installation Coupon and submitting the Quality Install documentation for the entire QEP scope (see Section 8.). Only one primary Participating Contractor shall be selected. Changes to the designation of primary Participating Contractor must be sent to the IC. Reimbursement for the Installation Coupon shall only be sent to the primary Participating Contractor, and it is their responsibility to disburse the reimbursement and incentives to the other Participating Contractors working on the QEP.

Prior to redemption, Participating Contractors shall use the MyEnergy Portal to calculate the rebates for the Electrical Wiring Upgrade and/or Electrical Panel Upgrade Installations, depending on the QEP scope. Participating Contractors do not need to redeem the Installation Coupon to perform such calculations.

4.4.4. Installation Coupon Redemption Requirements

Participating Contractors shall redeem the Installation Coupon in the MyEnergy Portal when the QEP scope of work has been completed, which includes the Program Appliance and/or Electrical Wiring and/or Electrical Panel Upgrade Installations, and they are prepared to provide the Customer invoice and submit the Quality Install documentation. Instructions for submitting Quality Install documentation are found in Section 8.

Upon Installation Coupon redemption, the Participating Contractor will be prompted to select the applicable, and entire, QEP scope, so it must be confirmed with the Customer and installed prior to Installation Coupon redemption.

NYSERDA may extend Installation Coupons by a maximum of 60 days. The extension of the Installation Coupon is evaluated on a per QEP basis.

5. Retailer Program Eligibility and Requirements

5.1. Retailer Enrollment

NYSERDA offers interested retailers the opportunity to participate in the Program by responding to the Program Opportunity Notice (PON 5859).

Retailers must apply, meet the minimum requirements in Section 5.2, and sign a Retailer Participation Agreement. NYSERDA's Recruitment Consultant will assist with the enrollment and onboarding to ensure all requirements and necessary qualifications are met.

5.2. Retailer Participation Requirements

5.2.1. Requirements Overview

The requirements for a retailer, manufacturer or distributor to participate in the Program are listed here. Aside from explicit references to manufacturers or distributors (that sell direct to consumer), the use of Retailer includes both manufacturers and distributors who are participating in the Program as Retailers. All Participating Retailers must:

- Currently sell ENERGY STAR® certified: heat pump clothes dryers and/or all-in-one washer-dryers (with heat pump clothes dryer) at point-of-sale through brick-and-mortar stores and/or online.
    - Manufacturers and distributors are eligible for enrollment if they sell direct-to-consumer (DTC) online and/or in brick-and-mortar stores.

- Retailers must ensure available stock of the respective appliance types for purchase in October 2024 (aside from induction stoves/cooktops/ranges).[3] Provide the option for delivery
    - Retailers must adhere to the requirements in Sections 5.2.2. through 5.2.4.
- Possess desktop or laptop or tablet computers with access to the internet and a modern browser as well as the ability to create and upload .csv files.
    - All desktop and/or laptop and/or tablet computers must be equipped with an antivirus software that is kept to the most level necessary.
- Possess (or create if not yet available) active email accounts for the Participating Retailer point-of-contact (applicant) and all users intended to access the MyEnergy Portal.
    - Accounts must be created before enrollment is finalized.
- Sign a NYSERDA Appliance Upgrade Program Retailer Participation Agreement.
- Participate in periodic Participating Retailer meetings for training and program updates.
- Meet relevant consumer protection requirements in NYSERDA's Consumer Protection Plan.[4]
- Adhere to all applicable provisions of this Program Manual.

Participating Retailers are prohibited from creating Applicant accounts in the MyEnergy Portal to submit QEP Applications. Participating Retailers found to have created and submitted QEP Applications through Applicant MyEnergy accounts may be terminated from the Program. Participating Retailers who are also enrolled as Participating Contractors in AUP may submit QEP Applications on behalf of Applicants as Participating Contractors ONLY. See Section 6.4 for further requirements on participating as both a Participating Contractor and Retailer.

If a Participating Retailer can no longer meet one or more the requirements in this section, they must notify the Recruitment Consultant immediately. Failure to adhere to the Participating Retailer Program requirements outlined in this Program Manual, including but not limited to the Consumer Protection and Quality Assurance procedures outlined in Section 11, may result in termination from the Program.

5.2.2. Brick-and-Mortar Store Participation

If the retailer prefers to limit the number of brick-and-mortar stores for Program participation, they may do so at their own discretion. The Participating Retailer shall submit a list of stores for Program participation to the Recruitment Consultant for NYSERDA's record. Stores for participation are not limited to New York State.

5.2.3. Overview of Online Order Requirements

[3] Retailers who only sell induction stoves/cooktops/ranges/ovens will be inactive in October 2024 until this measure is added to the Program.
[4] The Consumer Protection Plan was submitted and approved by the DOE. The Participation Agreement reflects the requirements of the Consumer Protection Plan. To request a copy of the Consumer Protection Plan, please contact NYSERDA's Recruitment Consultant.

Retailers with in-store and/or online shopping experiences may apply for enrollment as Participating Retailers, which includes online only retailers. Participating Retailers unsure about the eligibility of online orders should contact the Recruitment Consultant for assistance.

5.2.4. Orders for Delivery – In-Store and Online

To the extent that it is possible, Participating Retailers shall validate that the delivery address for a Program Appliance is a residence in NYS. Should a Participating Retailer find that an order has been placed for delivery outside of New York State, they shall notify the Recruitment Consultant and cancel that order, if possible.

5.2.5. Pickup Orders – In-Store and Online

Customers, or their Participating Contractor, who have placed an order for pickup must complete the Program Appliance purchase pickup with a NYS billing address; the designated pickup person must have a valid New York State ID to complete pickup. To the extent that it is possible for the Participating Retailer, orders placed with redeemed Appliance Coupons that have billing addresses outside of New York State must immediately be canceled upon receipt. As noted in Section 5.2.3., if a Participating Retailer is unsure about the eligibility of an online order, they should promptly contact the Recruitment Consultant upon receipt. Per the Applicant Attestation, Customers must provide a geotagged photo of the installed Program Appliance if requested by NYSERDA.

6. Contractor Program Eligibility and Requirements

6.1. Contractor Enrollment

Interested contractors may enroll in the Program by applying to the Program Opportunity Notice (PON 5859).

Contractors must apply through the Contractor Application and meet the minimum requirements in Section 6.2. NYSERDA's Recruitment Consultant will assist with the enrollment and onboarding to help ensure all such Program requirements and necessary qualifications are met.

6.1.1. Existing NYSERDA-Qualified Contractors

Contractors that currently participate under the following NYSERDA programs may access a fast-tracked version of the Contractor Application where customer references are not required. These contractors must otherwise meet all the Program Participating Contractor requirements in Section 6.2.

- Multifamily Building Solutions Network
- Comfort Home Contractor
- EmPower+ Contractor

- FlexTech Contractor

Contractors that are currently in a probationary status will be evaluated on a case-by-case basis for enrollment as a Participating Contractor in the Program.

6.1.2. Existing Contractors in Utility-Run Programs

Contractors currently participating in utility-run programs shall refer to Section 6.2. for requirements as enrollment into the Program cannot be fast-tracked. Utility-run programs include, but are not limited to, New York State Clean Heat and the New York State Affordable Multifamily Energy Efficiency Program (AMEEP).

6.2. Participating Contractor Requirements

The requirements to enroll as a Participating Contractor are separated by trade and municipal requirements, listed below in Sections 6.2.1. through 6.2.3. Contractors may apply for enrollment in more than one of the Participating Contractor categories. All interested contractors must submit a signed Contractor Application, which includes:

1. Signed Contractor Participation Agreement
2. Certificate of Insurance (COI)
3. Company W-9 (latest form version March 2024)
4. Two (2) customer references (new contractors only)
5. Trade-specific requirements outlined below

For contractor trades where licenses are required, the contractor must submit valid license(s) for municipalities where they are actively licensed to perform the respective work; expired or inactive licenses are not accepted.

The user guide for the Contractor Application can be found here, which details the instructions and documentation required for the Application. Newly onboarded Participating Contractors will be subject to the statuses detailed in Section 11.5.1. All Participating Contractors will be required to adhere to all Program requirements applicable to Participating Contractors described in this Manual, including but not limited to, the consumer protection and Quality Assurance requirements in Section 11. Failure to adhere to applicable Program requirements may result in termination from the Program.

Participating Contractors who are approved as licensed installers shall ensure that the applicable license(s) remains active and that the Participating Contractor is in good standing while performing work (including Appliance and Electrical Wiring Upgrade and Panel Installations) under the Program. The Participating Contractor shall immediately notify the Recruitment Consultant in the event of license expiration or failure to maintain good standing. License expiration or revocation of the license may result in removal from the list of Qualified Contractors.

All Participating Contractors are prohibited from performing work without necessary licenses. Work performed without a required license may result in termination from the Program and/or referrals to the appropriate enforcement authority. See Section 6.2.3 for unlicensed electricians who perform work in municipalities or jurisdictions that do not require an electrical license for electrical work.

Participating Contractors are prohibited from applying Customer Rebates to dwelling units that are not the Applicant Project Address. Participating Contractors are prohibited from applying Customer Rebates to their own home. Those who are found to have applied Customer Rebates in this manner will be terminated from the Program.

Participating Contractors are prohibited from creating Applicant accounts in the MyEnergy Portal to submit QEP Applications. To submit QEP Applications on behalf of Applicants, Participating Contractors shall only access the MyEnergy Portal with the account created by the IC. Participating Contractors found to have created and submitted QEP Applications through Applicant MyEnergy accounts may be terminated from the Program.

6.2.1. Requirements for Appliance Installers

Appliance installers must enroll as a Participating Contractor to perform Appliance Installations and receive the Installation Incentive. Outside of the requirements listed above in Section 6.2., the signed Application, Participation Agreement, and Certificate of Insurance (COI) noted above, there are no additional requirements to enroll as a Participating Contractor in the appliance installer category.

Appliance installers enrolled as Participating Contractors shall not perform QEP work in municipalities where a licensed plumber and/or electrician is required for installation.

Where Participating Retailers directly employ appliance installers who deliver and install the appliance, the Participating Retailer shall apply for enrollment as a Participating Contractor (see Section 6.4 below) for the Installation Incentive. See Section 4.4.3 for requirements regarding Participating Retailers that are not Participating Contractors.

6.2.2. Requirements for Licensed Electricians

In addition to the requirements outlined in Section 6.2., licensed electricians are required to provide a copy of their license for each municipality where they are licensed to perform Electrical Wiring Upgrade and Panel Upgrade Installations and intend to serve as a Participating Contractor. Participating Contractors, who are licensed electricians, shall only perform Electrical Wiring Upgrade and Panel Upgrade Installations within the scope of their license type (e.g., Master Electrician).

Participating Contractors shall only perform Electrical Wiring Upgrade and Panel Upgrade Installations where an electrician license is required in the municipalities where they hold such license(s) or where the municipality does not require a license for such work.

Non-licensed electricians can only perform Electrical Wiring Upgrade and Panel Upgrade Installations in the municipalities that do not require a license.

6.2.3. Requirements and Instructions for Unlicensed Electricians

Some municipalities in the State do not license electricians.[5] Unlicensed electricians are permitted to be enrolled as Participating Contractors, but may only perform Electrical Wiring Upgrade and Panel Upgrade Installations in the municipalities that do not require a license for such work.

When navigating the Contractor Application, unlicensed electricians must select the option "Unlicensed Electrician" from the dropdown menu of categories.[6] Failure to do so may result in a delay of application review and enrollment as a Participating Contractor.

6.2.4. Requirements for Licensed Plumbers

In addition to the requirements outlined in Section 6.2., licensed plumbers are required to provide a copy of their license for each municipality where they are licensed to perform plumbing work (including Appliance Installations) and intend to serve as a Participating Contractor; all such licenses shall be submitted to NYSERDA upon application. Participating Contractors, who are licensed plumbers, shall only perform plumbing work within the scope of their license type (e.g., Master Plumber).

6.3. Requirements for QEPs with Existing Gas Appliances (Funded Exclusively With NYSERDA-allocated Non-IRA Funding)

6.3.1. Municipalities without Requirements for Licensed Plumbers and/or Permits

Some municipalities do not require a licensed plumber and/or do not require a permit to disconnect/cap the gas line, which may be necessary for Appliance Installations that involve fuel conversion, gas to electric. In such municipalities, some retailers may train their appliance installers to assess whether the gas line adheres to the applicable local or State code. If the gas line does adhere to respective code, then the appliance installer will proceed with the disconnection/capping of the gas line to perform the appliance installation. This practice is permitted under the Program if the appropriate party is enrolled as a Participating Contractor (discussed in Sections 6.2.1 and 6.4).

6.3.2. Municipalities with Requirements for Licensed Plumbers and/or Permits

For QEPS in a municipality where a licensed plumber and/or permit is required to perform an Appliance Installation (e.g., those that involve a fuel conversion of gas to electric), the Participating Contractor must be a licensed plumber in such municipality and adhere to the applicable municipal or State code to perform the disconnection/capping of the gas line. The Participating Contractor must meet the requirements discussed in Section 6.2.4. Failure to adhere to such requirements may result in termination from the Program.

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[5] In municipalities where electrical licenses are not required, electrical work is typically performed by unlicensed electricians followed by an inspection with a third-party inspector approved by the respective municipality.

[6] This addition will be added in a future version of the application for Participating Contractor enrollment.

6.4. Participating Retailers as Participating Contractors

As noted in Section 4.3.4., Participating Retailers must be enrolled as Participating Contractors to include the Program Appliance Installation cost as an eligible Appliance Coupon cost.

Participating Retailers may employ contractors such as appliance installers, licensed and unlicensed electricians and/or plumbers. Participating Retailers with such employees are required to enroll as a Participating Contractor to perform Program Appliance Installation, and Electrical Wiring Upgrade and/or Panel Upgrade Installations. Failure to enroll as a Participating Contractor may result in termination from the Program.

Participating Retailers with contracted staff who perform Appliance and/or Electrical Wiring Upgrade and/or Panel Upgrade Installations, are not required to enroll, but NYSERDA strongly encourages the retailer's third-party contractors to apply for enrollment as a Participating Contractor.

7. Participating Contractor Incentives

7.1. Participating Contractor Incentives Schedule

Participating Contractors can receive the following Incentives shown in Table 2 for performing the Program Appliance and/or Electrical Wiring Upgrade and/or Panel Upgrade Installations for a QEP.

NYSERDA will establish the following Incentive schedule:

- $150 per dwelling unit for the installation of one measure in the chart below; OR
- $300 per dwelling unit for the installation of two or more measures in the chart below.

Participating Contractors can receive a maximum of up to $500 per dwelling unit for each QEP.

Table 2: Participating Contractor Incentives

Qualifying Activity	Participating Contractor Incentive
Installation of one electric heat pump clothes dryer	$150
Installation of one or more electrical panel	$150
Installation of electric wiring per dwelling unit	$150

Maximum Total incentive per dwelling unit (lifetime HEAR cap)	**$500**

7.2. Receipt of Participating Contractor Incentives

Participating Contractors are eligible to receive Incentives when they have performed the Program Appliance and/or Electrical Wiring Upgrade and/or Panel Upgrade Installations. Incentives apply to the Program Measures shown in Table 2.

For the Program Appliance Installation, Participating Contractors shall not receive Incentives for the disconnection/capping of the gas line, if applicable, or delivery if the Program Appliance Installation was not also done by the respective Participating Contractor.

Per Section 4.4.1., Participating Contractors are responsible for disbursing the Incentives if more than one Participating Contractor is contracted with the Customer for a QEP. The entire Incentive shall be paid to the primary Participating Contractor who has submitted the QI documentation and redeemed the Installation Coupon.

8. Quality Install Documentation

8.1. Overview

Participating Contractors are required to submit Quality Install (QI) documentation when they, or their subcontractors, have performed Program Appliance and/or Electrical Wiring Upgrade and/or Panel Upgrade Installations. Participating Contractors shall submit all QI documentation through the MyEnergy Portal for review by the IC.

In the MyEnergy Portal, all Participating Contractors are required to validate and redeem the Installation Coupon, then select the applicable QEP scope items and Program Measures. All documents must be verified by the Recruitment Consultant before reimbursement and Incentives can be paid to the primary[7] Participating Contractor. Failure to submit all required items for the respective QEP scope may result in a delay in payment.

Additionally, all QEPs where Participating Contractors (or their subcontractors) performed Program Appliance and/or Electrical Wiring Upgrade and/or Panel Upgrade Installations will be subject to the consumer protection and Quality Assurance policies outlined in Section 11.

QEPs where Participating Contractors are not procured by the Customer and do not perform any Program Appliance and/or Electrical Wiring Upgrade and/or Panel Upgrade Installations (i.e., Customer performed all work and Installations as part of the QEP) do not need to submit QI documentation and are not eligible for Incentives.

[7] See Section 4.4.3. for details on determining the primary Participating Contractor.

8.1.1. Geotagged Photo Requirements for Participating Contractors

QI documentation includes photo requirements. All photos submitted to the Program must be geotagged.

1. The PC shall capture and transfer the geotagged photos per the following requirements from the Pacific Northwest National Laboratory (PNNL); OR

- Capturing Geotagged Photos
- Transferring Geotagged Photos (Option 2 only)

2. Capture photos on a smartphone with a third-party application that geotags the photo upon capture. Such application **must not** allow the user to modify the coordinates of the location after the photo has been captured, and the photo must include the following information:

- Time and date that the photo was taken
- Latitude and longitude of the location where the photo was taken.

Failure to submit geotagged photos, or including photos that have been modified to appear as those they meet Program requirements, will result in termination from the Program.

8.2. Quality Install Documentation Requirements for Appliance Installations

The items listed below in Table 4 are required for any Program Appliance Installation performed by a Participating Contractor. The "Description" column includes the type of input required by the Program (e.g., text input). Depending on the item, there may be an accompanying photo requirement, which is included in the accompanying Table. These items will be entered into their designated fields in the MyEnergy Portal.

8.2.1. Pre-Installation Requirements for QEPs with Existing Gas Appliances (Funded Exclusively With NYSERDA-allocated Non-IRA Funding)

For QEPs where fuel conversion (gas to electric) is included in the Program Appliance Installation, Participating Contractors are required to submit a pre-installation photo in accordance with Table 3. This photo will be concurrently submitted with all QI documentation in Section 8.

Table 3: Pre-Installation Documentation Requirements

Item Number	Required Input	Description
1	Existing Gas Line	Photo of the existing gas line **before** it is disconnected and capped

8.2.2. Post-Installation Requirements – New Program Appliance Specifications and Installation Scope

Per Table 4, the post-installation requirements include MyEnergy inputs for all items below as well as accompanying photo requirements for items 5 and 6 detailed in Table 5.

Table 4: Post-Installation Written Requirements

Item Number	Required Input	Description	Accompanying Photo Requirement (Yes/No)?
1	New Program Appliance Make	Input Program Appliance make	No
2	New Program Appliance Model	Input Program Appliance model	No
4	Original Equipment Manufacturer (OEM) Manual	Attestation (in the form of a checkbox) that the OEM Manual was left with the Customer	No
5	Existing Dryer Exhaust Vent Sealed	Attestation (in the form of a checkbox) that the existing dryer vent was sealed (if applicable)	Yes
6	Condensate Setup	Drop down menu with the following options for selection: 1. Built-in (Tank or Reservoir), 2. Drainage Hose into Sink 3. Plumb into Drain	Yes

8.2.3. Post-Installation Documentation – Photos

From Table 4, items 5 and 6 have been expanded into the following photo requirements detailed below in Table 5.

Table 5: Post-Installation Photo Requirements

Item Number	Required Input	Photo Description
1	Installed Program Appliance Photo	Photo of the operational Program Appliance (i.e., showing the appliance screen turned on)

2	Installed Program Appliance Photo	Photo clearly showing the entire Program Appliance and the required manufacturers clearances on all sides (required if not captured in Table 4 item 1)
3	Installed Program Appliance Nameplate Photo	Photo of the Program Appliance nameplate/tag/sticker detailing the serial number
4	Installed Program Appliance Condensate Setup	Photo clearly detailing the condensate setup per the selection above in Table 4 item (6)
5	Existing Dryer Vent	Photo of the existing dryer exhaust vent (both inside and outside the household) after it has been sealed (if applicable to the QEP scope)
6	Permit	If required by the AHJ, PDF or photo of the permit pulled for the disconnection and capping of the gas line, if applicable

8.3. Requirements for Electrical Wiring Upgrades

Table 6 details the pre-installation requirements for any QEPs where an Electrical Wiring Upgrade Installation is performed by a Participating Contractor. MyEnergy inputs are required for items 1 and 2.

Table 6: Pre-Installation Requirements

Item Number	Required Input	Description	Accompanying Photo Requirement?	Photo Description
1	Existing Electrical Panel Size	Input size of existing panel amps	No	N/A
2	Existing Breaker Slots	Input number of open breaker slots	Yes	Photo of the existing electrical panel clearly detailing the number of open breaker slots
3	Existing Wiring and Receptacle	Provide photo(s) of existing wiring and receptacle, that may be	Yes	See Description

		removed and/or planned to remain, to confirm the necessity of the Electrical Wiring Upgrade		
4	Existing Electrical Panel – Cover On	Provide photo(s) of the existing electrical panel with the cover on and door open, showing the directory labeled	Yes	See Description
5	Existing Electrical Panel – Cover Off	Provide photo(s) of the existing electrical panel with the cover off	Yes	See Description

8.3.1. Post-Installation Documentation – Photos

Table 7 details the post-installation photo requirements for any QEPs where an Electrical Wiring Upgrade Installation is performed by a Participating Contractor.

Table 7: Post-Installation Photo Requirements

Item Number	Required Input	Description
1	New Wiring and Receptacle	Photo(s) of the receptacle (with the cover off) showing the grounded and ungrounded conductor connections to the receptacle
2	New Receptacle	Photo(s) of the receptacle (with the cover on) to confirm the NEMA configuration
4	Electrical Panel – Number of Breaker Slots	Photo(s) of the electrical panel clearly detailing the number of open breaker slots and directory labeled, note if new circuit for the Program Appliance.
5	Electrical Panel – Cover Off	Photo(s) of the electrical panel with the cover off **after** the new wiring is complete
6	Electrical Panel – Back Cover	Photo(s) of the electrical panel back cover listing make and of compatible circuit breaker(s)

7	New Receptacle	Photo(s) of the energized receptacle
8	Inspection Certificate (if applicable)	Inspection certificate or sticker from the Authority Having Jurisdiction (AHJ).
9	Permit	If required by the AHJ, PDF or photo of permit pulled for the Electrical Wiring Upgrade Installation

8.4. Requirements for Electrical Panel Upgrades

8.4.1. Pre-Installation Documentation

For QEPs where an Electrical Panel Upgrade Installation is included in the work scope, Participating Contractors are required to submit the pre-installation requirements in Table 8. Photo requirements are also included in Table 8. Both items listed will be entered into their designated fields in the MyEnergy Portal. MyEnergy inputs are required for items 1 and 2.

Table 8: Pre-Installation Requirements

Item Number	Required Input	Description	Accompanying Photo Requirement?	Photo Description
1	Existing Electrical Panel Size	Input size of existing panel (max amps.)	No	N/A
2	Existing Electrical Panel – Number of Breaker Slots	Input number of open breaker slots	Yes	Photo of the existing electrical panel clearly detailing the number of open breaker slots. Include photo(s) of any service equipment planned to be replaced.
3	Electrical Load Calculations	Provide electrical load calculations (in Excel or PDF file) per National Electrical Code (NEC) 2023 to confirm necessity of the	No	N/A

		Electrical Panel Upgrade.		
4	Electric Panel and Service Equipment	Provide photo(s) of the panel(s), meter enclosure, and service disconnect	Yes	See Description
5	Existing Electrical Panel – Cover On	Provide photo(s) of the existing electrical panel with the cover on and door open, showing the directory labeled	Yes	See Description
6	Existing Electrical Panel – Cover Off	Provide photo(s) of the existing electrical panel with the cover off	Yes	See Description

8.4.2. Post-Installation Documentation

For QEPs where an Electrical Panel Upgrade Installation is included in the work scope, Participating Contractors are required to submit the post-installation information in Table 9. Photo requirements are also included in Table 9. Both items listed will be entered into their designated fields in the MyEnergy Portal. MyEnergy inputs are required for items 1 and 2.

Table 9: Post-Installation Requirements

Item Number	Required Input	Description	Accompanying Photo Requirement?	Photo Description
1	New Electrical Panel Size	Input size of new panel (max amps.)	No	N/A
2	New Electrical Panel – Number of Breaker Slots	Input number of open breaker slots	Yes	Photo of the new electrical panel that clearly shows the number of open breaker slots
3	New Electrical Panel – Cover Off	Panel cover off must be taken off **after** the new wiring is complete	Yes	Provide photo(s) to show the new panel installed and wiring completed as part of this scope

4	New Electrical Panel – Cover Off	Panel cover must be left on and with the door open showing the directory labeled	Yes	Provide photo(s) to show the directory for each breaker; spares can be blank
5	New Electrical Panel – Back Cover	Includes labels on the back cover listing make and model of compatible circuit breakers	Yes	See Description
6	New Electrical Service – Utility Service	Provide photo(s) of the service conductors (overhead or underground), utility meter and enclosure.	Yes	See Description
7	New Electrical Service – Service Disconnect	Provide photo(s) of the service disconnect, if not a main circuit breaker (MCB) in the new panel	Yes	See Description
8	New Electrical Service – Inspection Certificate	Inspection certificate or sticker from the Authority Having Jurisdiction (AHJ).	Yes	See Description
9	Receptacle	Provide photo(s) of the receptacle with the cover off to show the conductors and terminations.	Yes	See Description
11	Receptacle	Provide photo(s) of the receptacle powered on.	Yes	See Description
12	New Electrical Panel – New Circuit	Provide photo(s) of the new circuit breaker for the Program Appliance.	Yes	See Description
13	Permit(s)	If required by the AHJ, provide PDF(s) or photo(s) of the permit(s) pulled for the	Yes, PDF(s) or Photo(s)	See Description

		Electrical Panel Upgrade Installation		

8.5. Submission of Customer QEP Invoices

At the time of QI documentation submission, Participating Contractors must also submit the invoice from the Customer's QEP. Participating Contractors do not need to indicate "paid in full" on the invoice.

The submitted invoice must include the following items:

- Invoice date
- Applicant Project Address
- Installation date(s)
- Project scope clearly indicating Program Measures:
    - Appliance Installation (include gas capping and exhaust vent sealing/capping, if applicable)
    - Electrical Wiring Upgrade Installation
    - Electrical Panel Upgrade Installation
- Customer Name and Site Address
- Material and labor costs
    - For labor costs: include the rate and number of contractors
- Permit(s) pulled and cost(s)
- Qualified Project Costs (see Section 2.1)
- Total cost invoiced to Customer (after rebate)
    - Include the rebate amounts (e.g., $1,000 Electrical Wiring Upgrade rebate)
- Customer signature
    - After the QEP scope has been installed

Submitted invoices that do not include such information may result in a delay of reimbursement and installation incentive payment remittance. The PC shall not include the Contractor Incentive on the invoice.

The Customer Rebate shall be calculated in the MyEnergy Portal by the Participating Contractor prior to the invoice and QI documentation submission as per Section 4.4.1.

9. Rebate Distribution Process

9.1. Participating Retailer Reimbursement Process

Participating Retailers shall submit sales documentation within 30 days of Appliance Coupon redemption in a .csv template available on the MyEnergy Portal. The .csv file headers will include:

- Retailer Name
- Coupon Code
- Store Location
- Qualified Project Cost
- Rebate Amount
- Appliance Make
- Appliance Model Number
- Estimated Annual Energy Use (kWh/yr)
- Purchase Date
- Delivery Method
- Delivery Date
- Delivery address (Street Address, City, State, Zip Code)
- Appliance was Labeled as ENERGY STAR® certified Heat Pump Clothes Dryer
- Proof of Delivery

For the last two items, “Appliance was Labeled as ENERGY STAR® certified Heat Pump Clothes Dryer” and “Proof of Delivery”, NYSERDA requests that the Participating Retailer confirm adherence to Program requirements by inputting “TRUE” in both fields for each transaction listed in the .CSV file.

The Participating Retailer will upload this data into the MyEnergy Portal, where it will be reviewed by the IC. The IC will review the sales documentation to ensure that it is accurate and complete. If the Implementation Contractor finds an issue with the data, the project status will show a **Sales Documentation Denied** status with a reason field. The Implementation Contractor will notify the Participating Retailer that the sales documentation is incomplete or incorrect via email notification. If the sales documentation is complete and accurate, then the Participating Retailer will be provided a report of the redeemed or **Completed** Appliance Coupon rebates, which will include any data associated with the sales records in the MyEnergy Portal. See Section 2. for further information on Appliance Coupon statuses.

9.2. Participating Contractor Reimbursement Process

Participating Contractors shall submit Quality Install documentation at the time of Installation Coupon redemption through the MyEnergy Portal per the requirements in Section 8. The IC will review the Quality Install documentation to ensure that it is accurate and complete. The targeted project review will be three to five business days.

If the IC finds an issue with the documentation, the project status will show a **Quality Install Documentation Denied** status with a reason field. The IC will notify the Participating Contractor that the Quality Install documentation is incomplete or incorrect via email notification. If the documentation is complete and accurate, then the Participating Contractor will be provided a report of the redeemed or **Completed** Installation Coupons, which will include any data associated with the sales records in the MyEnergy Portal. Participating Contractors can also check the status of payments through the MyEnergy Portal.

9.3. Prompt Payment Policy – for Participating Retailers

Once all Sales Documentation (see Section 9.1.) is received from the Participating Retailers, NYSERDA will manage the payment process and ensure a timely project review. The targeted project review will be three to five business days.

In accordance with NYSERDA's prompt payment policy, NYSERDA will reimburse Participating Retailers for Appliance Coupon redemptions within 30 days from sales documentation approval.

9.4. Prompt Payment Policy – for Participating Contractors

Once Quality Install documentation is received from the Participating Contractor for the Appliance and/or Electrical Wiring Upgrade and/or Panel Upgrade Installation and approved by the IC, NYSERDA will manage the payment process and ensure a timely project review. The targeted project review will be three to five business days.

In accordance with NYSERDA's prompt payment policy, NYSERDA will reimburse Participating Contractors for Appliance Coupon and/or Installation Coupon redemptions within 30 days from QI documentation approval.

10. Purchased Program Appliances

10.1. Appliance Returns to Program Retailer

Customers may return or exchange a Program Appliance in accordance with the Participating Retailer's return and exchange policy if they get prior approval from NYSERDA to return the Program Appliance. Participating Retailers must confirm NYSERDA return approval prior to processing a Program Appliance return. For exchanges only, NYSERDA approval is not required prior to processing a Program Appliance exchange; upon submission of the new Program Appliance Sales Documentation, Participating Retailers must notify NYSERDA via email that an exchange has occurred.

Customers where their Participating Contractors have submitted Quality Install documentation or have initiated the Electrical Wiring Upgrade or Electrical Panel Upgrade Installation are not permitted to return the Program Appliance.

The following steps must be taken to process an exchange or a return where a Customer or Participating Contractor has already redeemed an Appliance Coupon and wishes to return or exchange the Program Appliance to the Participating Retailer.

For NYSERDA return approval:

I. The Customer or Participating Contractor contacts NYSERDA through AUP@nyserda.ny.gov, or IRAretail@nyserda.ny.gov, respectively to request approval of the Program Appliance return. Alternatively, the Customer or PC may contact NYSERDA by phone at 866-NYSERDA.
II. NYSERDA, or the IC, determines if the return is allowed per the Program requirements and contacts the Customer or Participating Contractor.

To process a return or exchange:

1. The Customer or PC proceeds with visiting the Participating Retailer for the return or exchange. The Participating Retailer processes the return or exchange in accordance with their standard policies and confirms that an Appliance Coupon was previously applied to the original sale.
    I. If an exchange is requested, the Participating Retailer must confirm that the replacement appliance is an eligible Program Appliance and listed on the QPL.
2. The Participating Retailer informs the IC of the return or exchange.
3. After the IC is notified of the return or exchange, the next Step is dependent on the QEP status:
    I. If the QEP is in Completed or Closed status, a negative invoice in the Customer Rebate Amount is created by the IC and disbursed to the Participating Retailer.
    II. If the QEP is in Approved status, no action is needed in this Step.
    III. If the QEP is in Documentation Denied status, this status will remain until the Participating Retailer submits new Sales Documentation (in the case of an **exchange**), or the Program Measure is cancelled (in the case of a **return**).
    IV. If the QEP is in Sales Documentation Submitted status, the IC will move the status to Documentation Denied status, which will remain until the Participating Retailer submits new Sales Documentation (in the case of an **exchange**), or the Program Measure cancelled (in the case of a **return**).
4. **To complete the exchange or return:**
    I. **For exchanges only**, the Participating Retailer will be required to submit new Sales Documentation for the reimbursement of the new appliance.
    II. **For returns only**, once the return has been completed by the Customer andParticipating Retailer, the Customer may be issued a new Appliance Coupon, but they will be required to provide NYSERDA with their proof of return before issuing a new Appliance Coupon.

In the event that of a Program Appliance return, the Participating Retailer shall not provide the Customer with cash nor merchandise credit worth the Appliance Coupon amount. If the Appliance Coupon did not cover the entire cost of the Program Appliance, then the Customer is entitled to a refund of that difference in the original form of payment.

11. Consumer Protection and Quality Assurance (QA)

11.1. Consumer Protection for Participating Retailers

Retailers that sign the Participation Agreement attest to following the consumer protection requirements outlined by the Federal Trade Commission Bureau of Consumer Protection.

Based on the Manufacturer's Suggested Retail Price (MSRP), NYSERDA's Implementation Contractor will be reviewing QEPs to check if pricing deviates significantly from the MSRP. If the IC identifies pricing deviations well above the MSRP, the Participating Retailer will be contacted by NYSERDA's IC to determine the reason for the high cost. If the Participating Retailer's justification is not considered valid and it is apparent that the Participating Retailer is price-gouging, the Implementation Contractor will take punitive action and work with the Participating Retailer to adjust their pricing. Since most retailers strive to offer competitive prices, it is expected that instances of price-gouging will be rare.

The Agreement also requires the Participating Retailer to adhere to the FTC's Holder In Due Course Rule (16 CFR Part 433) so consumer protections are not lost. If NYSERDA determines these requirements are not being met by the Participating Retailer, NYSERDA will give the Participating Retailer ten (10) business days to comply. If the Participating Retailer is still non-compliant, NYSERDA reserves the right to terminate the Retailer Participation Agreement and suspend or altogether terminate the Participating Retailer from offering HEAR rebates under the Program.

11.2. Consumer Protection for Participating Contractors

Contractors who sign the Participation Agreement attest to the following the consumer protection requirements outlined by the Federal Trade Commission Bureau of Consumer Protection and the Consumer Protection Plan. Furthermore, the Participating Contractor also agrees to adhere to the FTC's Holder in Due Course Rule (16 CFR Part 433). If NYSERDA determines that consumer protection requirements are not adhered to by the Participating Contractor, NYSERDA will give the Participating Contractor notice, and the Participating Contractor will have ten (10) business days to comply. If the Participating Contractor is still non-compliant at the end of the notice period, NYSERDA reserves the right to terminate the Contractor Participation Agreement and suspend or altogether terminate the Participating Contractor from the Program.

NYSERDA's IC will review each set of QI documentation submitted by the Participating Contractor to ensure that the QEP costs are comparable to the market rate for labor and materials for the Appliance and/or Electrical Wiring and Panel Upgrade Installation, If QEP costs deviate significantly from similar Program-related work, the IC will reach out to the Participating Contractor for justification on how the labor and material costs were estimated. NYSERDA understands that each QEP will be different and include different challenges, but the IC will do their due diligence to ensure there is no risk for Customer price-gouging and may request the Participating Contractor to further breakdown the QEP costs to determine the rationale for the price difference as compared to QEPs with similar work scopes. If a Participating Contractor cannot justify their QEP costs as necessary to meet Program requirements, NYSERDA, in coordination with their Recruitment Consultant, will take punitive action that could lead to Program suspension or termination from the Program altogether. See Section 11.4 for more information on Disciplinary Statuses.

11.3. Quality Assurance Records for Participating Retailers

Participating Retailers are required to submit Sales Documentation for the Appliance Coupons redeemed by Customers. This data will be used to confirm that the Participating Retailer is adhering to such requirements.

Participating Retailers will be removed from the Program and the Participating Retailer list if they fail to comply with the terms outlined in the Retailer Participation Agreement such as:

- Instances of fraud
- Applying Appliance Coupons to ineligible products (e.g., non-ENERGY STAR® certified)
- Failure to uphold the correct Appliance Coupon amount at the point-of-sale to a Customer’s appliance purchase.

Participating Retailers should refer to the Retailer Participation Agreement for more details on the terms and conditions under which to participate. Any updates will be issued to the QA contact for all Participating Retailers as necessary to comply with changing standards or meet the goals of the Program.

11.4. Quality Assurance Records for Participating Contractors

Participating Contractors must keep records of each QEP, specifically Quality Install documentation. See Section 8. for the QI documentation requirements for each Program measure.

11.5. Contractor Status Designations

The Participating Contractor shall be classified in one of the participation status designations listed below. Each status designation shall be subject to limitations or requirements associated with that classification, as detailed below. NYSERDA reserves the right to modify the definition, limitations, and requirements of the participation status designations at any time. NYSERDA retains sole discretion for determining the Participating Contractor’s progression into and through each status designation. In all cases, NYSERDA’s written decision is final.

1. **Provisional Status**
   a) Minimum Period of Performance
   The Participating Contractor shall have the participation status of ‘Provisional’ during, at a minimum, the first 6 months of participation. During this time, NYSERDA may limit the number of QEP Applications a Provisional Contractor can submit to the Program, and Installation Coupons a Provisional Contractor can redeem as determined based on reported and founded Program Participant complaints or failed Quality Assurance (QA) field inspections, or other compliance issues deemed by NYSERDA as cause for limitation.
   b) Program Benefits

The Participating Contractor will be eligible for Installation Incentives for the installation of Program Measures under QEPs and their customers will have access to the Customer Rebates offered through the Program.

c) Quality Assurance/Quality Control (QA/QC)
Additionally, the Provisional Participating Contractor should have no Program Participant complaints reported to the Program during their provisional period. NYSERDA will review all concerns regarding a provisional contractor before determining a status change to 'Full'. Alternatively, the Participating Contractor must have consistently delivered quality QEPs for a period of greater than one year with an average score of all completed QEPs exceeding the minimum standard QA requirements, have no more than three (3) failed QA inspections at any time during the 12-month period, and have a positive correlation of performance over 12 months. Status may proceed to 'Full,' be extended as 'Provisional' or the Participating Contractor may be terminated from further participation. At any time during, or at the end of a Participating Contractor's Provisional period, NYSERDA can change the Participating Contractor's status to Probation, Suspension, or Termination for any reason including, but not limited to poor workmanship, lack of responsiveness, Program Participant complaints, unprofessional behavior, or failure to meet consumer protection and Program requirements of the Program. In addition to QA, Contractors will be subject to Quality Control (QC) for in-progress work. QC inspections can include desktop reviews and/or in-person site visits.

2. Full Status

A Participating Contractor who is not operating under any of the other status designations described herein, abides by the conditions of the Contractor Participation Agreement and Program Manual, and provides quality services utilizing industry best practices shall have the status designation of Full Status Contractor. Full Status Contractors are entitled to all applicable Program Benefits. Full Status Contractors may have different QA/QC inspection rates based upon prior demonstrated experience.

3. Inactive Status

Includes Contractors voluntarily deciding to end participation in the Program and Contractors terminated by the Program for disciplinary reasons. A Contractor with an Inactive status will relinquish all privileges associated with participation, including access to Installation Incentives. The Contractor must immediately remove any reference to the Program and NYSERDA from any of the Contractor's materials or website.

a) Inactive-Voluntarily Withdrawal
Contractors voluntarily deciding to end participation in the Program will be placed in Inactive status. To resume participation, the Contractor may return to the Program, at the Program's sole discretion, within 30 days without penalty, providing there have been no significant changes to the Contractor's staff, licenses, or certifications. After 30 days the Contractor will need to apply to the Program as a new Contractor and if accepted, will have a "Provisional" status.

b) Inactive-Terminated
Contractors designated with the 'Terminated' status are prohibited from participation in the Program for the remainder of the Participation Agreement term. A Terminated

Contractor shall be removed from the NYSERDA website and shall not represent themselves as a Participating Contractor, accept any QEP Applications for, nor access the MyEnergy Portal, except in the execution of remedial action, as approved by NYSERDA. A Terminated Contractor forfeits its eligibility for Installation Incentives and its customers will not have access to incentives, Customer Rebates offered through the Program. All references to NYSERDA must be removed from all marketing materials, vehicles, and advertising including vehicle clings and websites, as applicable. Terminated Contractors are prohibited from working as a sub-contractor in the program without prior written approval from NYSERDA. Customers with incomplete QEPs at the time of Contractor termination will be notified that the Contractor is no longer participating in the Program and may be offered such remedies as NYSERDA deems appropriate. If appropriate, NYSERDA may notify the New York State Attorney General, the New York State Inspector General, the New York State Department of Labor, the Better Business Bureau, or others of NYSERDA's findings and decision to terminate the Participating Contractor. Further, a Participating Contractor who hires the officers, owners, or other staff of a Terminated Contractor risks disqualification from the Program at NYSERDA's sole discretion. In the event a Terminated Contractor's company is sold to new owners, the company must reapply; the use of the terminated Company's name, or similar derivations, in Program activities will be allowed at NYSERDA's discretion. Termination of a Participating Contractor does not remove the Contractor's responsibility to fulfill any remaining obligation to the Program, or Program participants. NYSERDA has sole discretion in determining whether to terminate a Participating Contractor. A Participating Contractor may be terminated from participation in the Program for any of the following reasons:

i. Maintaining a suspended status for more than 30 days and is unresponsive to or failed to adequately fulfill the terms of their suspension
ii. Failure to maintain minimum credentials for participation
iii. Submits falsified documents or unauthorized signatures to the Program
iv. Commits illegal actions while participating in the Program
v. Is convicted or has a principal who is convicted of a criminal charge that casts the Program in negative light or calls the integrity or workmanship of the Participating Contractor into question
vi. Is in gross violation of Program standards
vii. Repeatedly bills for uninstalled Program Measures
viii. Fails to meet the terms of the Provisional period
ix. Fails to meet the terms of probation

4. **Disciplinary Action**

A Full Status Contractor who fails to comply with any of the terms of the Contractor Participation Agreement, any related amendments, etc. or the Program Manual, or who provides fraudulent or misleading Program documentation, is subject to disciplinary action. Participating Contractors under disciplinary action will be notified in writing by the Program and will be under disciplinary action for a set time frame or until the conditions of their disciplinary action notice have been met. NYSERDA reserves the right to impose any of the following disciplinary measures at any time. In addition, NYSERDA reserves the right to hold Quality Install documentation approvals and payment of Installation

Incentives in question on all submissions while investigating alleged issues. In all cases involving a Participating Contractor's disciplinary status or denial of Installation Incentives, NYSERDA's written decision is final.

a) Probation

Probationary Status is reserved for Participating Contractors that have failed to meet the requirements of the Program. Probation is prescriptive in nature with both a specific list of results to be achieved and a time frame for achieving those results.

i. Minimum Period of Performance- A Probation period will last no less than 90 days with terms outlined in the disciplinary action letter to the Program.

ii. Program Benefits- Under the Probation Status, the Participating Contractor will be eligible for Installation Incentives, its customers will have access to redeem Installation Coupons through its company for Customer Rebates offered through the Program,. Contractors with probationary status may participate in NYSERDA pilots at the discretion of program staff and/or pilot participation guidelines.

iii. Quality Assurance/Quality Control (QA/QC)- Under the Probation Status, the Participating Contractor may be subject to increased QA/QC inspection rates that, if applicable, will be defined in the terms of their disciplinary letter from the Program. A Participating Contractor may be placed on Probation for any of the following reasons:

  a. Violation of Program Policies and Procedures or Ethical Standards-The Participating Contractor has failed to adhere to Program policies and procedures as outlined in the Consolidated Residential Participation Agreement or Program Manual. This includes but is not limited to poor or unclear contract documents, misrepresentation of available Program Customer Rebates, Installation Incentives, poor quality of work, repeated submissions of inaccurate, incomplete, illegible or otherwise faulty documentation, including Quality Install documentation, performing work in municipalities they are not licensed to work in, failure to submit overpayment reimbursements in a timely manner, and not obtaining proper building permits before the project start date.
  b. Failure to meet Quality Requirements- Failure to consistently deliver completed QEPs which pass the QA standard required for 'Full' status.
  c. Health and Safety and other Critical Violations- Failure to take effective corrective action on a critical deficiency.
  d. Unprofessionalism- Contractors exhibits repeated unprofessionalism in interactions with Program Staff, Implementation Contractor, Recruitment Consultant or Program Participants.
  e. Unresponsive to Open-Fail Report Resolution- Three (3) or more Open-Fail reports that have not been responded to or remain unresolved for more than 30 days.
  f. Program Participant Complaints- NYSERDA and its designees have received one or more valid Program Participant complaints per quarter, the Participating Contractor is unresponsive or slow in resolving Program

Participant issues, exhibits poor quality workmanship or unprofessional manner on one or more projects.

g. Contractor is Not Licensed/Not Obtaining Proper Permits- The Program is informed that the Participating Contractor performed work in a municipality they are not licensed to work in. The Participating Contractor performs work without obtaining the proper permits as required by the governing municipality.
h. Failure to Follow Program Procedure- The Participating Contractor continuously submits incorrect or incomplete documentation or requires an excessive amount of administrative or technical support.

While on Probation, the Contractor must continue to put work through the Program and meet minimum production requirements. In the event a contractor is placed on probation and fails to meet the terms of the Probation within six months of the issuance date of the letter, the Program, at its discretion, may elect to Suspend or Terminate the Participating Contractor for failure to meet the terms of Probation.

b) **Suspension**

A Suspended Participating Contractor shall be removed from the NYSERDA website and shall not represent themselves as a Participating Contractor, accept any QEP Applications for, nor access the MyEnergy Portal, except in the execution of remedial action as approved by NYSERDA. A Suspended Participating Contractor forfeits its eligibility for Installation Incentives and Customers will need to select a different Participating Contractor through the Program NYSERDA has sole discretion in determining whether to suspend a Participating Contractor. With Program permission, a Suspended Contractor may be allowed to close out in-progress QEPs. QEPs may be subject to increased QA/QC inspection rates that, if applicable, will be defined in the terms of their disciplinary letter from the Program. NYSERDA has sole discretion in determining the length of the Suspension Period. Grounds for suspension shall include, but are not limited to, the following:

A) Unresponsive-Probation- The Participating Contractor is on Probationary status and has either been unresponsive to, or failed to adequately fulfill, the terms of their probation.
B) Unresponsive-Other- The Participating Contractor is unresponsive to addressing outstanding Program Participant concerns, Field Inspection Report, incentive over payment reimbursements or requests from Program, Implementation Contractor, or Recruitment Consultant.
C) Violation of Program Policy and Procedures or Ethical Standards- The Participating Contractor has failed to adhere to Program policies and procedures as outlined in the Program Manual, or any subsequent changes made to either document through a Program Announcement, thereby putting the Program, NYSERDA, and Program Participants at risk. This includes but is not limited to poor or unclear contract documents, misrepresentation of available Customer Rebates, poor quality of work, repeated submissions of inaccurate, incomplete,

illegible or otherwise faulty documentation, billing for uninstalled Program Measures, performing work in municipalities they are not licensed to work in, and not obtaining proper building permits.

D) Contractor Staffing- The Participating Contractor has staffing changes or staffing certification status changes resulting in the contractor not maintaining the minimum Program certification requirements.

E) Misrepresentation- The Participating Contractor has submitted false or fraudulent documentation to the Program at any time, during any phase of participation in the Program. This includes, but is not limited to, forging Program Participant signatures, falsifying existing onsite and geotagged conditions, submission of photo documentation that does not correspond to the QEP for which it was submitted.

Following execution of the Contractor Participation Agreement, and any subsequent updates, the Participating Contractor agrees to be an active contributor to the Program by providing high quality services to Program Participants. As a condition for ongoing Program participation and associated Benefits, each Participating Contractor understands and agrees to the terms and conditions outlined in the Program Manual or any subsequent changes made through a Program Announcement.

Withdraw from the Program

Participating Contractors who no longer wish to participate in the Program must provide notice to NYSERDA least 30-days prior to withdrawal. Prior to withdrawal, they must remove all references to NYSERDA, the Program, and Program Financing and Installation Incentives from any marketing materials. Participating Contractors must also honor Installation Coupons that have been issued to Customers where there is a contract in-place to perform work as part of a QEP under the Program. Participating Contractors who leave the Program are not permitted to use NYSERDA logos after termination. Re-entry is permitted by emailing IRAretail@nyserda.ny.gov.

11.6. Retailers Status Designations

The Participating Retailer shall be classified in one of the participation status designations listed below. Each status designation shall be subject to limitations or requirements associated with that classification, as detailed below. NYSERDA reserves the right to modify the definition, limitations, and requirements of the participation status designations at any time. NYSERDA retains sole discretion for determining the Participating Retailer’s progression into and through each status designation. In all cases, NYSERDA’s written decision is final.

1. **Provisional Status**
   a) Minimum Period of Performance

The Participating Retailer shall have the participation status of ‘Provisional’ during, at a minimum, the first 6 months of participation. During this time, NYSERDA may limit the number of Appliance Coupons a Provisional Retailer can submit to the Program as determined based on reported and founded Program Participant complaints, or other compliance issues deemed by NYSERDA as cause for limitation.

b) Program Benefits

The Participating Retailer will be eligible to provide Appliance Coupons for Customers to redeem at their brick-and-mortar store locations or online (if applicable) for Customer Rebates offered through the Program.

c) Performance

Additionally, the Provisional Participating Retailer should have no Program Participant complaints reported to the Program during their Provisional period. NYSERDA will review all concerns regarding a Provisional Participating Retailer before determining a status change to ‘Full’. Alternatively, the Participating Retailer must have consistently delivered quality Sales Documentation for a period of greater than one year, and have a positive correlation of performance over 12 months. Status may proceed to ‘Full,’ be extended as ‘Provisional’ or the Participating Contractor may be terminated from further participation. At any time during, or at the end of a Participating Retailer’s Provisional period, NYSERDA can change the Participating Retailer’s status to Probation, Suspension, or Termination for any reason including, but not limited to poor workmanship, lack of responsiveness, Program Participant complaints, unprofessional behavior, or failure to meet consumer protection and Program requirements of the Program. As determined by NYSERDA, Participating Retailers will be requested to provide receipts for the Program Appliance purchase. Participating Retailers will be subject to Quality Control (QC) for in-progress work, which can include desktop reviews of Program Appliance purchase receipts and/or in-person site visits.

2. Full Status

A Participating Retailer who is not operating under any of the other status designations described herein, abides by the conditions of the Retailer Participation Agreement and Program Manual, and provides quality services utilizing industry best practices shall have the status designation of Full Status Participating Retailer. Full Status Participating Retailer are entitled to all applicable Program Benefits. Full Status Contractors may have different QC inspection rates based upon prior demonstrated experience.

3. Inactive Status

Includes Participating Retailers voluntarily deciding to end participation in the Program and Participating Retailers terminated by the Program for disciplinary reasons. A Participating Retailer with an Inactive status will relinquish all privileges associated with participation,. The Contractor must immediately remove any reference to the Program and NYSERDA from any of the Participating Retailer’s materials or website.

c) Inactive-Voluntarily Withdrawal

Participating Retailers voluntarily deciding to end participation in the Program will be placed in Inactive status. To resume participation, the Participating Retailer may return to the Program, at the Program's sole discretion, within 30 days without penalty, providing there have been no significant changes to the Participating Retailer's staff and ability to meet the requirements in Section 5. After 30 days the Participating Retailer will need to re-apply to the Program as a new Participating Retailer and if accepted, will have a "Provisional" status.

d) <u>Inactive-Terminated</u>

Participating Retailers designated with the 'Terminated' status are prohibited from participation in the Program for the remainder of the Participation Agreement term. A Terminated Participating Retailer shall be removed from the NYSERDA website and shall not represent themselves as a Participating Retailer, upload any Appliance Coupons, nor recruit access the MyEnergy Portal as approved by NYSERDA. A Terminated Participating Retailer forfeits its eligibility for its customers to access to Customer Rebates, through Appliance Coupons redeemed at its brick-and-mortar stores or online. All references to NYSERDA must be removed from all marketing materials, vehicles, and advertising including vehicle clings and websites, as applicable. Terminated Participating Retailers are prohibited from working as a sub-contractor in the Program without prior written approval from NYSERDA. Customers with Approved Appliance Coupons at the time of Participating Retailer termination will be notified that the Participating Retailer is no longer participating in the Program and may be offered such remedies as NYSERDA deems appropriate. If appropriate, NYSERDA may notify the New York State Attorney General, the New York State Inspector General, the New York State Department of Labor, the Better Business Bureau, or others of NYSERDA's findings and decision to terminate the Participating Contractor. Further, a Participating Retailer who hires the officers, owners, or other staff of a Terminated Participating Retailer risks disqualification from the Program at NYSERDA's sole discretion. In the event a Terminated Participating Retailer's company is sold to new owners, the company must reapply; the use of the terminated Company's name, or similar derivations, in Program activities will be allowed at NYSERDA's discretion. Termination of a Participating Retailer does not remove the Participating Retailer's responsibility to fulfill any remaining obligation to the Program, or Program Participants. NYSERDA has sole discretion in determining whether to terminate a Participating Retailer. A Participating Retailer may be terminated from participation in the Program for any of the following reasons:

x. Maintaining a suspended status for more than 30 days and is unresponsive to or failed to adequately fulfill the terms of their suspension
xi. Failure to maintain minimum credentials for participation
xii. Submits falsified documents or unauthorized signatures to the Program
xiii. Commits illegal actions while participating in the Program
xiv. Is convicted or has a principal who is convicted of a criminal charge that casts the Program in negative light or calls the integrity or workmanship of the Participating Retailer into question
xv. Is in gross violation of Program standards
xvi. Repeatedly bills for incomplete Program Appliance Installations
xvii. Fails to adhere to consumer protection requirements
xviii. Fails to meet the terms of the Provisional period
xix. Fails to meet the terms of probation

4. **Disciplinary Action**
A Full Status Participating Retailer who fails to comply with any of the terms of the Retailer Participation Agreement, any related amendments, etc. or the Program Manual, or who provides fraudulent or misleading Program documentation, is subject to disciplinary action. Participating Retailer under disciplinary action will be notified in writing by the Program and will be under disciplinary action for a set time frame or until the conditions of their disciplinary action notice have been met. NYSERDA reserves the right to impose any of the following disciplinary measures at any time. In addition, NYSERDA reserve the right to hold approvals and reimbursement of Sales Documentation in question on all submissions while investigating alleged issues. In all cases involving a Participating Retailer's disciplinary status, NYSERDA's written decision is final.

c) Probation
Probationary Status is reserved for Participating Retailers that have failed to meet the requirements of the Program. Probation is prescriptive in nature with both a specific list of results to be achieved and a time frame for achieving those results.

iv. Minimum Period of Performance- A Probation period will last no less than 90 days with terms outlined in the disciplinary action letter to the Program.

v. Program Benefits- Under the Probation Status, the Participating Retailer will be eligible for all Program Benefits. Participating Retailers with probationary status may participate in NYSERDA pilots at the discretion of program staff and/or pilot participation guidelines.

vi. Quality Assurance/Quality Control (QA/QC)- Under the Probation Status, the Participating Contractor may be subject to increased QA/QC inspection rates that, if applicable, will be defined in the terms of their disciplinary letter from the Program. A Participating Retailer may be placed on Probation for any of the following reasons:

a. Violation of Program Policies and Procedures or Ethical Standards-The Participating Retailer has failed to adhere to Program policies and procedures as outlined in the Program Manual. This includes, but is not limited to, poor or unclear contract documents, misrepresentation of available Program Customer Rebates, poor quality of work, repeated submissions of inaccurate, incomplete, illegible or otherwise faulty documentation, including Sales Documentation, performing work in municipalities where their employees are not licensed to work in, and failure to submit overpayment reimbursements in a timely manner.
b. Failure to meet Quality Requirements- Failure to consistently deliver completed projects which pass the QA standard required for 'Full' status.
c. Unprofessionalism- Participating Retailers exhibits repeated unprofessionalism in interactions with Program Staff, Implementation Contractor, Program Participants, or Recruitment Consultant.
d. Unresponsive to Open-Fail Report Resolution- Three (3) or more Open-Fail reports that have not been responded to or remain unresolved for more than 30 days.

e. Program Participant Complaints- NYSERDA and its designees have received one or more valid Program Participant complaints per quarter, the Participating Retailer is unresponsive or slow in resolving Program Participant issues, exhibits poor quality workmanship or unprofessional manner on one or more QEPs.
f. Employee(s) are
g. Failure to Follow Program Procedure- The Participating Retailer continuously submits incorrect or incomplete documentation or requires an excessive amount of administrative or technical support.

While on Probation, the Participating Retailer must continue to put work through the Program and meet minimum production requirements. In the event a Participating Retailer is placed on probation and fails to meet the terms of the Probation within six months of the issuance date of the letter, the Program, at its discretion, may elect to Suspend or Terminate the Participating Retailer for failure to meet the terms of Probation.

d) **Suspension**

A Suspended Participating Retailer shall be removed from the NYSERDA website and shall not represent themselves as a Participating Retailer. They shall not upload any Appliance Coupons, nor access the MyEnergy Portal, the Program except in the execution of remedial action as approved by NYSERDA. A Suspended Participating Contractor forfeits its eligibility for its customers to access Customer Rebates through Appliance Coupons redeemed at the Participating Retailer's brick-and-mortar stores or online. NYSERDA has sole discretion in determining whether to suspend a Participating Retailer. With Program permission, a Suspended Participating Retailer may be allowed to close out in-progress Sales Documentation. Sales Documentation may be subject to increased QA/QC inspection rates that, if applicable, will be defined in the terms of their disciplinary letter from the Program. NYSERDA has sole discretion in determining the length of the Suspension Period. Grounds for suspension shall include, but are not limited to, the following:

A) Unresponsive-Probation- The Participating Retailer is on Probationary status and has either been unresponsive to, or failed to adequately fulfill, the terms of their probation.
B) Unresponsive-Other- The Participating Retailer is unresponsive to addressing outstanding Program Participant concerns, Field Inspection Report, overpayment reimbursements or requests from Program, Implementation Contractors, or Recruitment Consultant.
C) Violation of Program Policy and Procedures or Ethical Standards- The Participating Retailer has failed to adhere to Program policies and procedures as outlined in the, Program Manual, thereby putting the Program, NYSERDA, and Program Participants at risk. This includes but is not limited to poor or unclear contract documents, misrepresentation of available Customer Rebates, poor quality of work, repeated submissions of inaccurate, incomplete, illegible or otherwise faulty documentation, billing for uninstalled or incomplete Program

Appliance Installations, performing work in municipalities they are not licensed to work in.

D) Misrepresentation- The Participating Contractor has submitted false or fraudulent documentation to the Program at any time, during any phase of participation in the Program. This includes, but is not limited to, forging Program Participant signatures, falsifying existing onsite conditions, submission of photo documentation that does not correspond to the QEP for which it was submitted.

Following execution of the Retailer Participation Agreement, and any subsequent updates, the Participating Retailer agrees to be an active contributor to the Program by providing high quality services to Program Participants. As a condition for ongoing Program participation and Program Benefits, each Applicant and Participating Contractor understands and agrees to the terms and conditions outlined in the Program Manual or any subsequent changes made through a Program Announcement.

Withdraw from the Program

Participating Retailers who no longer wish to participate in the Program must provide notice to NYSERDA least 30-days prior to withdrawal. Prior to withdrawal, they must remove all references to NYSERDA, the Program, Appliance Coupons, and Customer Rebates from any marketing materials. Participating Retailers must also honor Appliance Coupons that have been issued to Customers, submit Sales Documentation for such Appliance Coupons and resolve Rejected Sales Documentation. Participating Retailers who leave the Program are not permitted to use NYSERDA logos after termination. Re-entry is permitted by emailing IRAretail@nyserda.ny.gov.

11.7. NYSERDA IT and Security Policies

The NYS Office of Information Technology Services (ITS) establishes and regularly updates policies, standards, and guidelines for information classification and security (collectively referred to as “ITS Policies”) to uniformly protect information entrusted to State Entities, including NYSERDA. All Information Assets collected and stored by, or on behalf of, NYSERDA are classified and managed per the policies and procedures outlined in the New York State Information Classification Policy (NYS-S14-002). In addition, the New York State Information Security Policy (NYS-P03-002) sets forth the minimum requirements, responsibilities, and accepted behaviors to establish and maintain a secure environment to achieve the State's information security objectives. NYSERDA’s Data Governance Office reviews the ITS Policies as needed in conjunction with NYSERDA’s Information Security Officer and Chief Information Officer to ensure compliance.

Appendix A: Terms and Conditions

NYSERDA reserves the right to revise the Program throughout the duration of the funding period.

NYSERDA reserves the right to make changes upon notice to the Participating Retailer, Participating Contractor and Program Participants. Programmatic changes announced through Program announcements will supersede policies and procedures in this Program Manual. Such notifications shall be communicated via email and posted in accordance with the Program Manual.