



## Assisted Home Performance with ENERGY STAR® Application

To be eligible for the Assisted Home Performance with ENERGY STAR work scope subsidy, applicants must fully complete this application and provide the requested documentation.

APPLICANT NAME				Project #		
APPLICANT ADDRESS	Street	City	County	Zip Code	Apt# or Floor	
TELEPHONE NUMBERS						
Day ( )			Evening ( )			
DIRECTIONS TO THE HOME						
TYPE OF RESIDENCE <input type="checkbox"/> Owner Occupied <input type="checkbox"/> Single Family Home <input type="checkbox"/> Mobile Home <input type="checkbox"/> Rental Unit						
# of units _____ Age of Home _____ If Rental Unit, Electricity Paid By: <input type="checkbox"/> Owner <input type="checkbox"/> Tenant						
OWNER'S NAME						
Owner's Address (if different from address listed above)						
Total Number of Household Members: _____		TOTAL INCOME: Complete the following table listing the income received by each household member 16 or older who is not a full-time student; and the names and ages for all members of the household.				
Name	SEX	AGE	SOURCE(S) OF INCOME	AMOUNT IN DOLLARS		
				WEEKLY	MONTHLY	YEARLY
			TOTALS			

**Salaried Applicants and Salaried Household Members**

- Copy of 1<sup>st</sup> two pages of previous year's Federal Income Tax Return (Tax Returns must be signed). If previous year's Federal Income Tax Return have not been completed, please submit prior year's W2's.
- Copy of most recent paycheck stub indicating year-to-date income.
- Proof of Social Security/Disability/Pension (Award Letters), Child Support, Alimony

**Applicants/Household Members who are Self-Employed or Receive Rental Income**

- Copy of previous year's Federal Income Tax Return, (signed) including all schedules and attachments. If previous year's Federal Income Tax Return have not been completed, please submit a signed year to date Profit and Loss Statement.

HOMEOWNER CONTRIBUTION

The maximum work scope incentive available from Assisted Home Performance with ENERGY STAR is 50% of the approved work scope. The maximum work scope incentive is \$5,000 for a single family home and \$10,000 for 2-4 family residences. Where other public funds are available to defray the homeowner contribution, the homeowner contribution must not be less than 10% of the approved Assisted Home Performance with ENERGY STAR work scope or \$500 whichever is less. The Assisted Home Performance with ENERGY STAR work scope incentives may not be combined with the federally funded Weatherization Assistance Program.

Identify the source and amount of the homeowner contribution:

\_\_\_\_\_  
\_\_\_\_\_

ENERGY SUPPLIER INFORMATION RELEASE AUTHORIZATION

I hereby authorize the energy suppliers named below to release information on my energy use to NYSERDA for two years prior to and two years after completion of the work.

Electricity Supplier: \_\_\_\_\_ Account Number: \_\_\_\_\_

Heating Fuel Supplier: \_\_\_\_\_ Account Number: \_\_\_\_\_

SITE VISITS

NYSERDA reserves the right to make a reasonable number of visits during the installation and for up to 24 months following project completion. Such visit(s) will be at a time convenient to the Applicant. The purpose of the visit(s) is to provide NYSERDA with an opportunity to ensure that the eligible energy efficient measures are installed consistent with the program standards and to assess the energy savings.

APPLICANT AFFIRMATION

I certify, under the penalties of law, that the statements made in this application (including statements made in any accompanying papers) have been examined by me and are true and complete. I understand that by signing this application, I consent to any other inquiry to verify or confirm the information I have given.

I understand that this application does not guarantee that assistance will be granted but will be used in determining eligibility for the program. Whether or not an eligible applicant will be provided assistance will depend in part upon the number of applications received, the remaining funds available and the priorities to be met by the program.

Applicant's Signature \_\_\_\_\_

Date \_\_\_\_\_

Co-Applicant's Signature \_\_\_\_\_

Date \_\_\_\_\_

OFFICE USE ONLY

INCOME GUIDELINES FOR A HOUSEHOLD OF \_\_\_\_\_ MEMBERS: \$ \_\_\_\_\_  DOCUMENTATION ATTACHED  
ON THE BASIS OF THE ABOVE INFORMATION, HOUSEHOLD  IS  IS NOT INCOME ELIGIBLE

Intake Worker's Signature: \_\_\_\_\_

Date \_\_\_\_\_

<b>INCOME SOURCE</b>	<b>ACCEPTABLE DOCUMENTATION</b>
<b>Alimony</b>	Court order; pertinent pages of separation agreement or divorce decree that identify client and amount of alimony. (If court ordered payments are not being received by the client, a notarized statement to this effect will be accepted.)
<b>Annuities</b>	Statement from issuing organization.
<b>Child Support</b>	Court order; pertinent pages of agreement that identify the client and amount of support. (If court ordered payments are not being received by the client, a notarized statement to this effect from the Court, the Child Support Collection Unit, or the spouse required to pay will be accepted.)
<b>Direct Deposits</b>	Copy of two or more bank statements listing the date and amount of deposit; letter from local bank stating source and amount of direct deposit income; verification of income from benefit source.
<b>Dividends and Interest, as Regular Source of Income</b>	Statement from bank or brokerage firm.
<b>Estates and Trusts, as Regular Source of Income</b>	Fiduciary statement or current statement from bank or brokerage firm.
<b>Insurance Proceeds or Dividends, as Regular Source of Income</b>	Statement from insurance company.
<b>Joint Legal Custody</b>	In cases where a divorce decree establishes true-shared legal and physical custody of the minor children of the marriage (i.e., sole custody or a custodial parent was not established) the minor children are to be included as members of both households for the purpose of establishing eligibility for Assisted Home Performance.
<b>HUD FORM 50059</b>	Copy of the current form for the tenant.
<b>Pensions, Government or Private</b>	Award letter; copy of checks; a letter from administrative agency.
<b>Rents</b>	Income tax form; rent receipts; notarized statement from applicant 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.
<b>Royalties</b>	Income tax return; current statement from company issuing checks.
<b>Self Employment Income</b>	Business records for three 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 three months.  <b>Note:</b> Losses incurred in the pursuit of income cannot be deducted from your adjusted gross household income.

<b>Social Security Benefits</b>	Award letter; checks; statement from bank or brokerage firm (if direct deposit); SSA form 2458 (Report of Confidential Social Security Benefit Information.)
<b>Strike Benefits</b>	Award letter; copy of checks; letter from union.
<b>Training</b>	Award letter, copy of checks; letter from appropriate administrative agency.
<b>Unemployment</b>	Notice of Benefit Rate letter (Form Benefits L0403x).
<b>Veterans Benefits</b>	Award letter from Veterans Administration or Department of Defense; copy of check.
<b>Wages and Salaries Before Deduction</b>	Letter from employer on company's stationary; wage, earnings, or pay stubs; any combination of the above to document total earnings for the 4 weeks prior to date of application.
<b>Workers Compensation</b>	Award letter from Workers Compensation Board; current check.

## **ELIGIBILITY- INCOME EXCLUSIONS**

The following income sources should not be included in total monthly income for purposes of determining eligibility:

### **Cash Over Which the Household Has No Control:**

Cash including, but not limited to, reimbursement for expenses incurred in connection with employment (e.g., gas mileage provided), and reimbursement for medical expenses (e.g., Medicare payment for doctor bills.)

### **Loans:**

All except reverse-annuity mortgage and home-equity conversion payments.

### **Dependent Student Income:**

Earnings of full-time high school students aged 18 or younger should not be included in the household's income, however, the income of dependent students over the age of 18 and enrolled for at least 12 credit hours in an institution of higher education should be treated in the following manner.

- Income received by students from State and/or Federal grants and/or loans is excluded as income (e.g., TAP, Pell, NYSHEA).
- Earnings of a student living at home are excluded as income in determining a household's eligibility; however, students living at home are included in the household count.
- Earnings of a student enrolled at an institution of higher education and living away from home during normal periods of class attendance and recess are excluded as income in determining a household's eligibility. Such students are, however, included in the household count. A student's status may be further tested by whether the student lives at home during normal vacation periods, or is claimed as a deduction on the household's income tax.

### **Farm and Business Expenses:**

Allowable deductions for farms and businesses include only the cost of doing business. If the enterprise is a partnership, the percentage owned by the applicant should be established by documentation. The adjusted gross income figure listed on an applicant's income tax return should not be used in determining income from small businesses/farms since the IRS allows deductions for depreciation, personal business and entertainment expenses, income tax, personal transportation, purchase of capital equipment, and payments on the principal of loans. Business records required by law should be used to document gross income and business costs for the three calendar months prior to the month of application and pro-rated for an average gross monthly income.

#### **Note:**

Losses incurred in the pursuit of income cannot be deducted from your adjusted gross household income.

### **Rental Property Costs:**

The following costs for rental property maybe deducted from the owner's income, if documented:

- Interest paid to purchase income-producing property.
- Insurance premiums.
- Taxes paid on income-producing property.
- Heating and/or utility costs paid for income-producing property where rent includes heat and/or utilities.
- Improvements and/or repairs necessary to maintain the property as income producing.

**Note:** To determine the allowable deduction for an improvement, use the life expectancy of the improvement and pro-rate the cost (e.g., a new roof costs \$5,000 and has a life expectancy of 15 years). The \$5,000 roof would be pro-rated at \$333 per year or \$27.75 per month. To determine the allowable deduction for a repair, divide the cost of the necessary repair by 12 months, e.g., a \$500 repair to a roof would be \$41.67 per month.

If the owner/applicant also resides in the income-producing property, the applicant's allowable costs should, also, be prorated. For example, an applicant with a three-unit dwelling who resides in one of the units would receive two thirds of the allowable costs deducted from his/her gross rental income. Applicants who do not reside in the income-producing property would have 100 percent of their documented allowable costs deducted from their gross rental income.

Depreciation, payments on the principal of income-producing property, and net loses are not allowable deductions in determining income for eligibility.

### **Lump Sum Payments:**

Non-recurring lump-sum payments which are to be excluded from income in determining eligibility include, but are not limited to: income tax refunds, rebates, or credits; retroactive lump-sum insurance settlements; and, lump-sum income from the sale of property.

### **Special Energy Assistance Payments:**

Home energy assistance, either in cash or in-kind, provided by a private non-profit organization or by an entity whose revenues are primarily derived on a rate of return basis and regulated by a State of Federal government body, is not to be considered as income.

### **Payment for Foster Children and Foster Care Adults:**

Payments provided for care and maintenance of foster children or adults are not considered income. Foster children and foster-care adults (e.g., individuals 18 years of age or older, who are socially, physically, or mentally handicapped and placed in a community-based care setting approved by appropriate State agencies or local social services agencies) are not counted as members of an applicant's household.

### **Roomer and/or Boarder Payments:**

Roomers and Boarders are not counted as household members, and their gross income is excluded from the household's income. However, payments made by the Roomer/Boarder to the household are included in the household income.

The eligibility of Roomers or Boarders is dependent upon whether the building in which they live is commercial enterprise, or a non-commercial enterprise, however, in no case is the spouse of an applicant or a dependent child under the age of 18 to be considered a lodger/boarder.

Individuals residing in a non-commercial enterprise (private home) are not eligible to apply for Home Performance as individuals apart from the host household. This applies to relatives and children over the age of 18, as well as to non-related individuals who pay for room only, board only, or room-and-board in private homes. If the host household applies for Home Performance, the roomer/boarder's weekly or monthly payments to the household must be included in the household's income, however, the roomer/boarder is not included in the household count, and the roomer/boarder's income is not included in the household's income.

### **Holocaust Survivors Payment:**

Restitution payments from foreign governments to survivors of the Holocaust are excluded as income.

### **Income Committed to Health Care/ Homemaker Services:**

The amount which an applicant pays an employee for household work or health care is not an allowable deduction from gross income except in the following cases:

- *Health Care Services:* Income used to pay for in-patient hospital care, in-patient care in a skilled nursing facility, or home health care, which is also counted toward Medicaid eligibility, is exempted as income.
- For income exclusion purposes, home health care means payments made for home nursing services rendered by a person (other than a family member) who is qualified to provide services such as assistance with personal hygiene, dressing, feeding or household tasks, and who has been appropriately trained and is supervised by a registered professional nurse.
- *Housekeeper/ Homemaker Services:* Reimbursements for housekeepers or homemakers under Title XX of the Social Security Act are not considered as income for eligibility purposes. Those services include assessing the need for, arranging for, providing and evaluating the provision of personal care, home management and incidental household tasks by a professionally trained homemaker.
- *In-Kind Services:* When an applicant has an employee residing in the household to assist in household work and health care, the employee's income should not be considered in determining the household's eligibility nor is the employee included in the household count. No monetary value may be attached to any in-kind contribution which the employee provides to the household.

### **Student Head of Household:**

For the purpose of receiving Assisted Home Performance in his/her own right, a "student" shall mean a person who has completed his/her K-12 education, and who is now enrolled for at least 12 credit hours in an institution of higher education, and is living separate and apart from his/her family, and is not claimed by his/her family as a dependent. In the case of students age 21 and under, documentation (such as the income tax form of the applicant's parents) must be obtained to establish financial independence. No student living in a dormitory is eligible for Home Performance. Gifts, scholarships, grants and loans, which are used specifically for tuition and other educational expenses, are excluded from income in determining eligibility for Assisted Home Performance. Income from any source which is used for living expenses must be included in the household's income. Documentation of student status will be collected and kept in the client file.

### **Dependent Students:**

Full-time college students who remain dependents are counted as members of their family's household, regardless of their temporary absence during school terms. Their income (except Social Security Income or Veteran's Survivor's Benefits) is exempted from consideration in determining the family's total income. Full time high school student's age 18 or younger and who is temporarily living away from their principal residence in order to attend school should be included in their family's household count. Documentation of student status will be collected and kept in the client file.

### **Unemployed, Strikers, Seasonal Workers:**

For applicants whose regular, recurring income would render them ineligible for Assisted Home Performance, but who are laid off or unemployed for three months or less during the year, eligibility for Assisted Home Performance subsidies would be based upon this average monthly income amount. The applicant's total annual income should be divided by 12 to yield an average monthly income figure. Examples of this type of worker are those workers who have a reasonable expectation of returning to work within a three-month period and include but are not limited to, seasonal construction employees, teachers and other contract employees, and strikers. This provision does not apply to individuals who have been fired from their jobs, or whose jobs have been abolished, or who are in a permanent lay-off status.

### **Self-Employed:**

In determining income eligibility for self-employed applicants, "earned income" means the net profit from a business enterprise, a business operated from out of the home, or farming. Net profit is the gross income received, less the business expenses (e.g., total cost of the production of the income). To compute income eligibility, this net profit should be averaged for the three calendar months prior to the month of application.

Such income includes earnings over a period of time for which settlement is made at one given time, as in sales of farm crops, livestock or poultry, or lump sum payments for services rendered over a period of more than one month. Such income should be pro-rated over the period covered by the income, (e.g., sale of an annual farm crop should be divided by 12 to yield an average monthly figure, and this amount added in to each of the three months used to determine average monthly income).

Those expenses directly related to producing the goods or services and without which the goods or services could not be produced, must be deducted from the total income. However, depreciation, personal business, entertainment expenses, income tax, personal transportation, purchase of capital equipment and payments on the principal of loans must not be deducted.

Losses incurred in the pursuit of income cannot be deducted from your adjusted gross household income.