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Home Electrification and Appliance Rebates for Indian Tribes (IRA Section 50122): ALRD Application Checklist

November 2024

**VERSION 2**

**March 8, 2024 (Version 1)**

**November 7, 2024 (Version 2)**

Modification Note: This version updates text in accordance with the Version 2 modifications of the [Program Requirements and Application Instructions](https://www.energy.gov/scep/articles/home-electrification-and-appliance-rebates-program-indian-tribes-program-0). This version makes clerical fixes, including reference corrections. Changes to this document are highlighted yellow in the text.

## Instructions:

**This is an optional document that is not required by the Administrative and Legal Requirements Document (ALRD). An eligible Indian Tribe[[1]](#footnote-2) may use this checklist to identify which application requirements must be submitted in their Tribal Application.**

Where there is a checkbox in the Implementation Blueprint Option column, the Tribe may defer the response to its Implementation Blueprint, which must be provided to DOE at least 90 days prior to planned rebate program launch. Tribes should only select either the Narrative Document Template option or the Implementation Blueprint option for each application requirement. This checklist helps Tribes and Program Officers understand and track what responses have been submitted.

When do you plan to launch the Rebates Program?

|  |
| --- |
|  |

### Required Plans Checklist

|  |  |
| --- | --- |
| **Required Plan** | **Date of Planned Submission** |
| Consumer Protection Plan |  |

### Additional Application Package Checklist

|  |  |
| --- | --- |
| **Required Application Documents** | **Status** |
| Standard Form 424 | Completed in PAGE |
| Standard Form 424A | Completed in PAGE |
| Planned Activities | Completed in PAGE |
| Budget Justification Workbook | Uploaded to PAGE |
| Pre-Award Information Sheet | Uploaded to PAGE |
| Narrative Document | Uploaded to PAGE |
| Tribal Council Resolution and/or a final official action by the Tribal governing body. (For a Consortium, the governing body of each Tribe must authorize its participation by a Tribal resolution and/or a final official action by the Tribal governing body that specifies the scope of the Consortium’s authority to act on behalf of the Tribe.) | Uploaded to PAGE |
| If applicable, Other Forms (list below) |  |
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## Table 1. Home Electrification and Appliance Rebates Program for Indian Tribes (Section 50122)

| **Program Requirements Section No.** | **Narrative Document Template Question** | **Requirement** | **Implementation** **Blueprint** | **Narrative Document Template** |
| --- | --- | --- | --- | --- |
| 3.1.1 | 1 | Identify the specific types of allowable costs the Tribe proposes within 1) administrative funds and 2) rebate funds.  Provide an estimate of the total amount of administrative funds to be expended annually and the estimated annual project-related costs as a portion of the total rebate funds. |  |  |
| 3.1.2 | 2 | Confirm that the Tribe will ensure that rebate conditions, levels, and ~~the caps on specific rebates~~ the administrative funds are adhered to over the duration of the program, using technical assistance from DOE. |  |  |
| ~~3.1.2~~ | ~~3~~ | ~~Confirm that the Tribe will monitor contractor costs and ensure that costs are not artificially inflated compared with market averages, using technical assistance from DOE.~~ | ~~☐~~ | ~~☐~~ |
| 3.1.2 | 3 | Identify the maximum rebate amounts that will be offered to eligible entities and eligible entity representatives if lower than the amounts allowed in the law. |  |  |
| 3.1.2 | 4 | List the project cost documents that the Tribe will require from eligible entities and eligible entity representatives. |  |  |
| 3.1.2 | 5 | Identify the ~~budget set-aside within~~ rebate budget for the installation incentives (up to $500 in total per dwelling unit ~~QEP~~). |  |  |
| 3.1.2 | 6 | Confirm that the Tribe will inform all contractors, Tribally- designated housing entities, and households participating in the rebate program that eligible entities cannot receive other Federal rebates or grants for the same qualified electrification project. |  |  |
| 3.1.2 | 7 | Confirm that the Tribe will provide information via use of the Application Programming Interface (API) available in the DOE Rebate Tracking and Reporting Tool (if applicable), DOE-provided spreadsheet, or work with DOE to determine appropriate transfer of information to DOE to ensure that rebates limited to a single product or a combination of products are tracked and managed, and no duplicate rebates are awarded. |  |  |
| 3.1.3 | 8 | Identify the portion of the rebate funds the Tribe will reserve for low-income households. |  |  |
| 3.1.3 | 9 | Confirm that tenant protection requirements will attach to rental property owners who claim rebates. |  |  |
| 3.1.4 | 10 | Confirm that the Tribe will verify that rebates are provided only for qualified electrification projects, including that each of the following conditions are met for each project:   * Project includes the purchase and installation of a qualifying product, as described in Section 3.1.4; * The qualifying product is installed as part of new construction; or to replace a non-electric appliance; or as a first-time purchase with respect to that appliance; and, * The installation occurs at a single-family home or eligible multifamily building. |  |  |
| 3.1.4 | 11 | Describe how the Tribe will collect and retain documentation to demonstrate how each criterion in Section 3.1.4 was met for each installation, using DOE guidelines and technical assistance. |  |  |
| 3.1.6 | 12 | Confirm that either the Tribe will use a DOE table to compare a household’s income with the 80% and 150% AMI levels associated with the home’s location and number or occupants for income verification or ensure that up-to-date AMI levels are correctly referred to as points of comparison, own intake system for users to provide income information will compare household income to 80% and 150% AMI values associated with that household's area and household size to determine specific rebate levels prior to users signing statements regarding their income. |  |  |
| 3.1.6 | 13 | If the Tribe does not use the DOE Rebate Tracking and Reporting Tool, describe what types of systems will be used for tracking and processing rebates, including a plan to allow for the ability to apply rebates at point of sale or as part of an invoice. |  |  |
| 3.1.6 | 14 | Describe how the Tribe will ensure processing of rebates within 12 weeks[[2]](#footnote-3) of receipt (e.g., through a processing company, through program implementers, or other entities or methods) subject to exceptions for barge or air shipment. Include potential remedies that the Tribe can provide in the event of lengthier processing times. |  |  |
| 3.1.7 | 15 | For single-family households, how will claimants be able to establish their household income for income qualification? Tribes may select from the following options:   1. Documentation of household income (for example, IRS 1040) 2. Documentation of enrollment in a pre-qualifying program 3. Self-attestation of either income level of enrollment in pre-qualifying program |  |  |
| 3.1.7 | 16,17 | For multifamily buildings, describe what combination of methods will be used to verify that at least 50% of dwelling units consist of households with incomes less than 80% AMI. For multifamily buildings, describe what combination of methods will be used to verify that at least 50% of dwelling units consist of households with incomes less than 150% AMI (but not less than 80% AMI). |  |  |
| 3.1.7 | 18 | Confirm:   * Claimant will be required to note the number of individuals who occupy the dwelling unit at the time of application. * Claimant will be required to sign an affidavit attesting to the validity of all information provided (e.g., enrollment documents, household income, number of full-time occupants, irrespective of the method of income qualification (e.g., categorical eligibility, self-attestation). |  |  |
| 3.1.7 | 19 | Confirm that the 80% AMI and 150% AMI levels for each location will be kept up to date. Provide additional information if proposing NOT to use a federally provided data link or API. Confirm that these levels will correspond to (a) the address of the dwelling unit at which rebates will be applied and (b) the applicable number of dwelling unit occupants. For any applications for heating/cooling systems, the claimant will be required to note the number of households living in the dwelling unit. |  |  |
| 3.1.7 | 20 | Confirm that the Tribe will:   1. Review information provided to support income eligibility for all applicants applying for rebates; 2. Take steps to verify income eligibility for at least 3% of those applicants that use self-attestation to support income eligibility (e.g., confirm enrollment in at least one program that the applicant asserted enrollment in); and 3. Report the results of its verification efforts from carrying out steps to verify income eligibility least 3% of those applicants that use self-attestation to DOE no longer than 15 months after program launch. |  |  |
| 3.1.7 | 21 | Confirm that the Tribe will coordinate with DOE’s project officer as needed to resolve any concern regarding its income verification process |  |  |
| 3.1.7 | 22 | Describe how the Tribe will resolve instances when rebates are provided to those who have falsified their incomes. |  |  |
| 3.1.7 | 23 | If proposing to allow self-attestation as a means for initial income qualification, describe how and when this approach will be used. Include statements, language, and detailed information regarding follow-up steps that will be used for this process. In addition:   * Describe how those applying for rebates will be warned of potential liability associated with falsifying information. * Explain how signed statements of self-attestation will be securely stored. |  |  |
| 3.1.7 | 24 | Describe how the Tribal program will verify, where applicable, that at least one member of a household has been enrolled in a program in the past 12 months within the [Federal Programs Approved for Categorical Eligibility](https://www.energy.gov/scep/articles/ira-50121-50122-home-energy-rebates-categorical-eligibility-list) document, or other Tribe- proposed program whose income eligibility criteria is equal to or stricter than 80% AMI. |  |  |
| 3.1.7 | 25 | If applicable, propose any additional Federal and other programs to be considered for categorical eligibility. For any programs not already approved, describe how the program’s eligibility aligns with the Section 50122 income requirements. |  |  |
| 3.1.7 | 26 | Identify whether the Tribe will request authorization to use categorical eligibility determinations based on program participation outside of a one-year period (e.g., proof of enrollment within the past 12 months). |  |  |
| 3.1.8 | 27 | Confirm that the Tribe will collect required data and cooperate in program evaluation processes as listed in Section 3.1.8. |  |  |
| 3.2.2 | 28 | Confirm that the Tribe will develop a Consumer Protection Plan in accordance with the requirement. |  |  |

1. IRA Section 50122, “Indian Tribes” has the meaning given the term in Section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 5304). 42 U.S.C. 18795a(d)(3). [↑](#footnote-ref-2)
2. Section 3.1.6. of the Program Requirements and Application Instructions currently states that the rebate processing period is 8 weeks: this is an administrative oversight that will be corrected for this document. The correct period is 12 weeks as noted in this document. [↑](#footnote-ref-3)