



U.S. DEPARTMENT
of **ENERGY**

Office of Critical Minerals
and Energy Innovation

**HOME ENERGY
REBATES**
U.S. DEPARTMENT OF ENERGY



Sample Application Responses and Guidance

IRA Section 50122: High-Efficiency Electric Home
Rebate Program for Indian Tribes

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Modification Note: This version updates text in accordance with the Home Energy Rebates [Program Notice 26-3](#) modifications to the [Program Requirements & Application Instructions](#). This version makes clerical fixes, including reference corrections, while also updating sample responses to improve clarity and to use new flexibilities from [Program Notice 26-3](#).

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Introduction

This document provides example responses for the Narrative Document and additional guidance to assist a Tribe in applying for and implementing the High-Efficiency Electric Home Rebate (HEEHR) Program in accordance with the requirements of the [Administrative and Legal Requirements Document](#), [Program Requirements & Application Instructions](#), Data Requirements Guide, and Program Notice 26-3.¹ [Program Notice 26-3](#) provides new guidance that supersedes certain existing guidance on the HEEHR Program.

The Tribe's Narrative Document must provide a comprehensive framework and description of all aspects of the proposed rebate program(s). Tribes may use existing programs or infrastructure to implement this work. Tribes may not provide these funds to existing programs to implement work that is not related to the Tribal HEEHR Program.

- Applicants are **not** required to use this document. It is intended to serve as a useful starting point for applicants to frame their responses reflecting DOE program requirements.
- Tribes **are** encouraged to modify the sample responses (blue text) as needed to describe their intended approach. If a Tribe believes the sample response provided by DOE reflects what the Tribe intends to do and submits a verbatim response, DOE will seek confirmation from that Tribe that they fully intend to do what is written. **Tribes that intend to follow the sample approach must include a statement indicating that the Tribe understands and plans to follow the sample approach in addition to including the verbatim sample response.**
- Many questions will have responses that will vary depending on a Tribe's program design, policies, and program objectives. In these cases, DOE provides prompts (RED SMALL CAPS TEXT) that provide guidance on what type of information should be included to fulfill the requirements of the questions.
- Note that certain terms, such as "implementation contractor," are used frequently in the sample responses. In some but not all cases for the sake of brevity, the responses include alternatives such as "other entities." However, it should be clear that Tribes are not expected to use implementation contractors and/or many other specifics noted in the sample responses. **A Tribe should ensure that their applications/responses accurately reflect their proposed approach.**

This document provides example responses to all questions, including questions that can be deferred to the Implementation Blueprint. The Tribal Implementation Blueprint refers to application materials including deferred narrative questions and the Tribe's Fraud, Waste, and Abuse (FWA) Mitigation Plan. An Implementation Blueprint must be submitted after receipt of award funding and a **minimum of 90 days prior to planned program launch** (the point at which a Tribe begins to issue rebates as reimbursements for the costs of

¹ [Administrative and Legal Requirements Document](#) (ALRD) for the Home Energy Rebates Program for Indian Tribes—Issued November 17, 2023. Last updated November 7, 2024. Home Energy Rebates Program for Indian Tribes [Requirements & Application Instructions](#)—Issued November 17, 2023. Last updated November 7, 2024. Home Energy Rebates Program Notice 26-3: High-Efficiency Electric Home Rebate Program for Indian Tribes—Issued May 29, 2026.

home energy upgrades for households or other eligible entities). Responses to deferred questions may constitute the need for changes to previously non-deferred questions. Tribes are expected to provide updates to original responses in those cases when submitting their deferred responses. DOE will then review the Tribe's submitted Implementation Blueprint and provide feedback or required edits. Once these edits are incorporated satisfactorily, DOE will give the Tribe approval to launch its program.

High-Efficiency Electric Home Rebate Program for Indian Tribes (50122)

Program Overview (Optional)

Please provide a brief overview of your HEEHR program design, including your implementation strategy and whether you will provide only certain rebate upgrades or target specific Tribal household types and/or buildings.

Note: This question is optional. Providing a response will allow DOE to quickly understand the goals and intended approach of your program, which will help to provide program support and to review the answers in the application narrative.

THIS RESPONSE IS NOT REQUIRED. IF CHOOSING TO RESPOND TO THIS OPTIONAL PROGRAM OVERVIEW PROMPT, IT WOULD BE MOST HELPFUL TO DOE FOR A TRIBE TO ANSWER THE FOLLOWING QUESTIONS ABOUT THEIR OVERVIEW HEEHR PROGRAM DESIGN:

- WHO WILL IMPLEMENT YOUR PROGRAM? (EXAMPLES INCLUDE A TRIBAL HOUSING AUTHORITY, A TRIBALLY-DESIGNATED HOUSING ENTITY, A TRIBAL UTILITY, ETC.)
- HOW WILL YOUR TRIBE DISTRIBUTE REBATES? (EXAMPLES INCLUDE REBATES TO TRIBAL HOUSEHOLDS WITH PRIVATELY-OWNED HOMES, REIMBURSEMENTS FOR THE TRIBAL HOUSING AUTHORITY FOR UPGRADES TO TRIBALLY-OWNED OR MANAGED HOUSING, REBATES TO TRIBAL HOUSEHOLDS THROUGH A PARTNERSHIP WITH A STATE OR UTILITY PROGRAM, ETC.)
- WHAT UPGRADES WILL BE PROVIDED? (EXAMPLES INCLUDE ALL ELIGIBLE UPGRADES OR A SUBSET, SUCH AS ONLY ELECTRIC WIRING AND ELECTRIC LOAD SERVICE CENTER UPGRADES)
- WHICH HOUSEHOLD TYPES WILL BE PRIORITIZED FOR REBATES?
- WHICH BUILDING TYPES WILL BE TARGETED FOR UPGRADES?
- WILL THIS PROGRAM BE INTEGRATED WITH OTHER PROGRAMS, SUCH AS UPGRADES FUNDED BY INDIAN HOUSING BLOCK GRANT FUNDS OR ENERGY EFFICIENCY INCENTIVES FROM AN ELECTRIC UTILITY?
- WHAT OTHER INFORMATION WOULD BE MOST HELPFUL FOR DOE TO UNDERSTAND THE GOALS AND DESIGN OF YOUR PROGRAM?

Use of Funds and Rebate Eligibility

Section 3.1.1 Use of Funds

1. Please provide the types of allowable costs the Tribe proposes within the category of **administrative funds**.

Note: These responses should correspond with the Standard Form 424, Standard Form 424A, and Budget Justification Workbook. Please note that a maximum of 20% of the grant can be used for administrative funds.

[ENTER NAME OF TRIBE/CONSORTIUM LEAD OR THIRD-PARTY AGENT THAT WILL ADMINISTER THE PROGRAM] will administer the program over the lifecycle of the Grant. Per the SF-424, SF-424A, and Budget Justification Workbook, the Tribe plans to use **administrative funds** to cover the following types of activities, for a total administrative funds budget of [ENTER NUMBER: \$X] (see also 1a for annual costs):

- Tribal program staff [ENTER TOTAL \$X]
 - The Tribe plans to hire or pay for [ENTER NUMBER OF FULL-TIME EQUIVALENT EMPLOYEES (FTEs)] full-time staff members or FTEs to support this program. Some of the paid Tribal staff will also split their time between this program and other programs. Our accounting systems can separately track these different funding sources and internal policies are in place to ensure the time is accurately tracked.
- Development and maintenance of tools and systems for program administration, including websites, applications, rebate processing, and reporting [ENTER TOTAL \$X]
 - The Tribe plans to fund a program implementation contractor or a separate qualified entity to develop user interfaces and systems for households, contractors, and others to use to apply for rebates, submit required documentation, etc., including income verification. In addition, the Tribe plans to fund the implementation contractor or other qualified entity to submit the required rebate transaction reporting data to DOE on a semiannual basis.

[TRIBES ARE NOT REQUIRED TO USE A PROGRAM IMPLEMENTATION CONTRACTOR OR OTHER PARTNER. IF YOUR TRIBE PLANS TO ADMINISTER THE PROGRAM THROUGH A TRIBAL GOVERNMENT AGENCY, PLEASE DESCRIBE HOW THE AGENCY WILL USE THIS FUNDING FOR PROGRAM ADMINISTRATION, DEVELOPING HOUSEHOLD APPLICATION MATERIALS, REBATE PROCESSING, AND FULFILLING DOE REPORTING REQUIREMENTS.]

- Implementation costs not including rebates and costs for activities directly related to delivery of rebates [ENTER TOTAL \$X]

- The implementation contractor(s) will use administrative funds for data review and reporting, and to fulfill other programmatic management requirements.
- Tribal oversight of implementation contractor and other service provider costs/contract management; data review and reporting.
- Fraud, Waste, and Abuse (FWA) mitigation functions including, where applicable, resolution procedures, data review, contractor management, installation standards, and continuous improvement [ENTER TOTAL \$X]
 - In response to findings from periodic assessments of program performance (as well as any identified problems that arise throughout implementation), the Tribe or its implementation contractor(s) will institute changes to address deficiencies in program delivery (or design).
 - The Tribe will develop FWA mitigation guides or one-pagers that will be provided to all rebate applicants as one part of the FWA mitigation strategy.
 - The Tribe will also either create a separate hotline and email inbox or dedicate staff to respond to consumer questions and/or complaints.
 - Tribal staff will fulfill contractor management needs with regular reviews of program implementer/other contractor data submissions.
- Program monitoring and audits [ENTER TOTAL \$X]
 - In addition to Tribal staff monitoring program delivery and overseeing the implementation contractor(s), the Tribe may require outside assistance to respond to Tribal or federal inquiries. The implementation contractor(s) and other providers (e.g., income verification services) will also be required to fulfill data reporting and analysis per the contract(s) in response to program monitoring and audit requests.

[If the Tribe's allocation is relatively large, the Tribe may also want to budget administrative funds for the following activities:]

- Program planning, design, and implementation (beyond work completed by the program staff identified above) [ENTER TOTAL \$X]
 - The Tribe will contract with an organization with expertise in designing and delivering energy efficiency programs, with proven success in market uptake, sound installations, income verification, and delivering benefits to low-income households. [DESCRIBE MORE ABOUT THE SPECIFIC ROLE(S) THE CONTRACTED ORGANIZATION WILL PLAY IN DESIGNING AND IMPLEMENTING THE PROGRAM]
- Marketing, education, and outreach [ENTER TOTAL \$X]

- The Tribe [CHOOSE ONE: WILL HOLD/HAS HELD] [ENTER NUMBER: X] community engagement session(s) to better understand Tribal community interests and inform the program design.
- The Tribe will conduct separate outreach to retailers, manufacturers, and distributors.
- The Tribe, potentially with assistance from its implementation contractors or outside experts and partners, will develop marketing and education information for homeowners, tenants, retailers, contractors, and others as needed.
- Contractor training [ENTER TOTAL \$X]
 - Contractor training and/or review of a contractor's certification(s) will be required before a contractor is placed on the qualified contractor list.
 - Training will be provided to specifically to assist contractors in participating in the rebate program.
- Activities to improve access to rebates, facilitating leverage of private funds and financing mechanisms (e.g., loan loss reserves, interest rate reductions) where beneficial to home energy upgrade projects [ENTER TOTAL \$X OR \$X PER PROJECT]
 - Depending on availability of resources, the Tribe will engage financing organizations (e.g., Tribal Community Development Financial Institutions) to assist in providing low-cost financing (or other incentives including the potential to establish and apply loan loss reserves) to rebate applicants and providers (e.g., contractors).
- Technical assistance [ENTER TOTAL \$X]
 - Depending on availability of resources, the Tribe and/or its implementation contractor(s) may provide technical assistance to assist Tribal households and building owners in completing home upgrade projects that are eligible to receive rebates.

- a. Provide the total amount of estimated administrative funds to be expended annually:

Note: The total annual administrative funding over the grant period of performance cannot exceed 20% of the grant award amount.

[THIS RESPONSE SHOULD CORRELATE AND ALIGN WITH THE ADMINISTRATIVE COSTS TAB OF THE BUDGET JUSTIFICATION WORKBOOK.

CHOOSE ONE OF THE FOLLOWING:

OPTION 1: ENTER \$X BASED ON 20% OR LESS OF THE TRIBE'S REBATE FUNDS FOR 50122 DIVIDED BY THE EXPECTED NUMBER OF YEARS FOR PROGRAM

IMPLEMENTATION (NO GREATER THAN 5 YEARS, SINCE THE AWARD'S PERIOD OF PERFORMANCE MUST END BY SEPTEMBER 30, 2031))

The Tribe expects to spend [ENTER NUMBER \$X (THIS SHOULD BE NO MORE THAN 20% OF THE TRIBE'S ALLOCATION) / 5 YEARS)] in administrative funds each year.

[OR

OPTION 2: PROVIDE A FORECAST OF EXPECTED ADMINISTRATIVE COSTS EACH YEAR OF THE PROGRAM IMPLEMENTATION IF IT IS NOT EXPECTED TO BE THE SAME EACH YEAR. WHEN FORECASTING COSTS, CONSIDER THAT THERE MAY BE ADDITIONAL UPFRONT STARTUP COSTS THAT WILL NOT PERSIST THROUGH THE DURATION OF THE PROGRAM, AND THAT THE 20% MAXIMUM IS A CAP THAT APPLIES OVER THE DURATION OF THE ENTIRE PROGRAM (NOT FOR AWARD SPENDING EACH YEAR).]

The Tribe expects to spend the following in administrative funds (THE SUM TOTAL SHOULD EQUAL THE FULL BUDGET FROM QUESTION 1) each year:

- 2027: [ENTER NUMBER \$X]
- 2028: [ENTER NUMBER \$X]
- 2029: [ENTER NUMBER \$X]
- 2030: [ENTER NUMBER \$X]
- 2031: [ENTER NUMBER \$X]

2. Please provide the types of allowable costs the Tribe proposes within the category of **rebate funds**.

Note: [Program Notice 26-3](#) Section 3.3 creates new options for this answer, including using rebate funds to include warranties or accessories necessary for installation and operation and to cover appropriate state, local, or Tribal taxes.

These responses should correspond with the Standard Form 424, Standard Form 424A, and Budget Justification Workbook. Rebate funds indicate the remaining amount of grant funds after subtracting the 20% of the grant that is reserved for administrative funds.

The Tribe plans to use **rebate funds** to cover the following types of activities, for a total rebate fund cost of [ENTER NUMBER: \$X]:

- Rebates for allowable products [ENTER TOTAL \$X OR \$X PER PROJECT]
- Installation incentives for allowable projects [ENTER TOTAL \$X OR \$X PER PROJECT]

- **Project-related activities, which are listed below [ENTER TOTAL \$X OR \$X PER PROJECT – ENTER \$0 IF THE TRIBE DOES NOT PLAN TO USE REBATE FUNDS FOR PROJECT-RELATED ACTIVITIES].**

- a. If requesting additional funds for project-related activities, describe and justify each activity and associated budget in the Budget Justification Workbook as well as below.

Note: [Program Notice 26-3](#) Section 3.3 creates new options for this answer, including using rebate funds to cover shipping and contractor travel costs.

[IF THE TRIBE IS NOT BUDGETING FOR PROJECT-RELATED COSTS, USE THE FOLLOWING ANSWER:] The Tribe is not allocating any funding for project-related costs.

[IF THE TRIBE IS BUDGETING FOR PROJECT-RELATED COSTS, USE THE FOLLOWING ANSWER:] The Tribe plans to use this amount of rebate funds to cover project-related activities over the course of the award: [ENTER TOTAL \$X (THIS NUMBER SHOULD MATCH THE TOTAL NUMBER INCLUDED IN TAB J “REBATE DELIVERY FUNDS JUSTIFICATION” IN THE BUDGET JUSTIFICATION WORKBOOK.)]

(NOTE: THE TOTAL BUDGET FOR REBATE FUNDS, MEANING THE SUM OF FUNDS RESERVED FOR QUALIFYING PRODUCTS AND INSTALLATION INCENTIVES PLUS THE FUNDS RESERVED TO COVER PROJECT-RELATED ACTIVITIES, MUST BE AT LEAST 80% OF THE TRIBE’S GRANT AWARD.)

IF THE TRIBE PLANS TO USE REBATE FUNDS FOR PROJECT-RELATED ACTIVITIES, IT SHOULD DESCRIBE THOSE PROJECT-RELATED COSTS BELOW. A TRIBE SHOULD ALSO LIST THE AMOUNT OF FUNDING BUDGETED FOR EACH ACTIVITY IT CHOOSES TO FUND. THESE ACTIVITIES SHOULD MATCH THE ACTIVITIES DESCRIBED IN TAB J “REBATE DELIVERY FUNDS JUSTIFICATION” IN THE BUDGET JUSTIFICATION WORKBOOK. ALL PROPOSED ACTIVITIES MUST FALL UNDER ONE OF THE 7 CATEGORIES LISTED IN THE REBATE DELIVERY FUNDS JUSTIFICATION TAB OF THE BUDGET JUSTIFICATION WORKBOOK.

FOR THE PURPOSES OF THIS SAMPLE RESPONSE, EACH OF THE 7 ALLOWABLE CATEGORIES ARE LISTED BELOW; HOWEVER, ONLY INCLUDE THOSE CATEGORIES THAT YOUR TRIBE INTENDS TO CARRY OUT WITH REBATE FUNDS.

FOR EACH RELEVANT CATEGORY PROVIDE:

- **ANTICIPATED SPENDING LEVEL;**
- **DESCRIPTION OF THE PROPOSED WORK; AND**
- **JUSTIFICATION (FOR EXAMPLE, HAVE YOU EXPLORED OTHER OPTIONS FOR SUPPORTING THESE ACTIVITIES SUCH AS LEVERAGING INCENTIVES AND/OR INFRASTRUCTURE OF EXISTING PROGRAMS? (E.G., QUALIFIED CONTRACTOR LISTS, ASSESSMENTS, QUALITY ASSURANCE)).**

ONLY INCLUDE PROJECT-RELATED COSTS PROPOSED TO BE PAID WITH REBATE FUNDING. DO NOT INCLUDE ANY PROJECT-RELATED COSTS THAT WILL BE PAID BY HOUSEHOLDS, BUILDING OWNERS, ELIGIBLE ENTITY, OR OTHER ACTORS.]

The Tribe plans to use rebate funds to cover the following types of project-related activities:

- (1) Equipment, tools, models, and procedures used to assess a home and estimate energy savings [ENTER NUMBER: \$X]
- (2) Equipment, tools, models, and procedures used to verify installations and perform quality control including inspections and reporting [ENTER NUMBER: \$X]
 - The Tribe needs to procure [ENTER SPECIFIC TYPE OF EQUIPMENT] to verify quality installation.
- (3) Customer service support [ENTER NUMBER: \$X]
- (4) Consumer protection functions including consumer feedback, project verification, and inspections [ENTER NUMBER: \$X]
- (5) Income eligibility [ENTER NUMBER: \$X]
 - Depending on the level of interest of other Tribal, state, or local agencies with low-income programs that serve Tribal members, the Tribe would like to fund the development and use of an API that can allow automated look-up of enrollees in programs that provide categorical eligibility. This could dramatically reduce the time and effort associated with income verification as well as the possibility of granting rebates to ineligible applicants.
 - The Tribe would like to set aside funds in the event that carrying out income verification is more costly than anticipated OR if a greater percentage of applications require review due to higher levels of falsified applications.
- (6) Travel expenses for qualified contractors associated with installing approved qualified projects [ENTER TOTAL \$X OR \$ PER PROJECT] and shipping costs for qualified products associated with approved rebate applications [ENTER TOTAL \$X OR \$ PER PROJECT].
- (7) Integration with existing programs, home energy assessments, and project scoping [ENTER NUMBER: \$X]

- b. Provide the total amount of estimated project-related costs that will be paid from rebate funds to be expended annually:

[IF THE TRIBE IS NOT BUDGETING FOR PROJECT-RELATED COSTS, USE THE FOLLOWING ANSWER:] The Tribe is not allocating any funding for project-related costs.

[IF THE TRIBE IS BUDGETING FOR PROJECT-RELATED COSTS, USE THE FOLLOWING ANSWER:] The Tribe expects to spend [ENTER NUMBER \$X] annually on project-related costs, which is [ENTER TOTAL PROJECT-RELATED ACTIVITIES FUNDS / 5 YEARS].

[ALTERNATIVELY, A TRIBE CAN PROVIDE A FORECAST OF EXPECTED PROJECT-RELATED COSTS EACH YEAR OF THE PROGRAM IMPLEMENTATION IF IT IS NOT EXPECTED TO BE THE SAME EACH YEAR. WHEN FORECASTING COSTS, CONSIDER THAT THERE MAY BE ADDITIONAL UPFRONT STARTUP COSTS THAT WILL NOT PERSIST THROUGH THE DURATION OF THE PROGRAM.]

The Tribe expects to spend the following for project-related costs [THE SUM TOTAL SHOULD EQUAL THE FULL BUDGET FROM QUESTION 2A] each year:

- 2027: [ENTER NUMBER \$X]
- 2028: [ENTER NUMBER \$X]
- 2029: [ENTER NUMBER \$X]
- 2030: [ENTER NUMBER \$X]
- 2031: [ENTER NUMBER \$X]

3. Certify that costs will not be duplicated on other awards and are not duplicative from costs captured in the Indirect Rates.

☒ Yes, the Tribe confirms the above statement.

Section 3.1.2 Rebate Conditions and Levels

4. Confirm that the Tribe will ensure that rebate conditions, levels, and administrative funds are adhered to over the duration of the program.

☒ Yes, the Tribe confirms the above statement.

5. Identify the maximum rebate amounts that will be offered to eligible entities and eligible entity representatives if lower than the allowed amounts.

Note: The DOE welcomes Indian Tribes to design their HEEHR program in a way that best meets their local Tribe's needs. This includes the ability to choose to provide rebates for only certain technologies or residential building types.

[CHOOSE ONE:]

- (a) The Tribe will use the maximum rebate amounts allowed by the federal law (as defined in the table below).

[OR]

(b) Below are the maximum rebate amounts and maximum percentage of costs that the Tribe will apply:

[ENTER \$ AMOUNTS AND/OR % IN RIGHT COLUMN OF ONE OR BOTH OF THE FOLLOWING TABLES]

NOTE: DOE RECOMMENDS CONSIDERING SETTING LOWER LIMITS TO REBATE AMOUNTS IN THE CASE THAT THE FULL STATUTORY REBATE AMOUNTS, WHEN COMBINED WITH TRIBAL, STATE, UTILITY, AND OTHER PROGRAMS, MAY EXCEED THE FULL COST OF REBATED PRODUCTS.]

Qualified Product	Statutory Limit/ Rebate Amount Not to Exceed	Tribe Proposed Limit: Rebate Amount Not to Exceed (Include any conditions related to tiers, size, fuel type etc.)
Heat Pump Water Heater	\$1,750	
Heat Pump for Space Heating and Cooling	\$8,000	
Heat Pump Clothes Dryer or Combination Washing Machine/Heat Pump Dryer	\$840	
Electric Stove, Cooktop, Range, or Oven	\$840	
Electric Load Service Center	\$4,000	
Insulation, Air Sealing, and Ventilation	\$1,600	
Electric Wiring	\$2,500	
Maximum Rebate	\$14,000	

Income Level	Rebate Amount Not to Exceed	Tribe Proposed Limit
Less than 80% Area Median Income (AMI)	100% of qualified project cost	
80%-150% AMI	50% of qualified project cost	

At least 50% of residents with income less than 80% AMI	100% of qualified project cost		
At least 50% of residents with income of 80%-150% AMI	50% of qualified project cost		

6. Describe the documentation requirements related to project costs from eligible entities and eligible entity representatives.²

Note: [Program Notice 26-3](#) Section 3.3 also emphasizes that an eligible entity representative must deduct the total eligible rebate amount from the total project cost prior to calculating the final cost to the eligible entity; the total project cost, rebates applied, and remaining project cost documentation must be provided to both the eligible entity and building owner, if different.

[RESPONSE SHOULD DESCRIBE THE PROJECT COST DOCUMENTATION REQUIREMENTS FOR ELIGIBLE ENTITIES AND ELIGIBLE ENTITY REPRESENTATIVES, INCLUDING BUT NOT LIMITED TO: PROJECT INVOICE, FINAL PROJECT COST, EQUIPMENT AND MATERIALS COST, INSTALLATION COSTS]

For each project, the contractor or eligible entity representative (EER) must provide an invoice with the following information:

- The specific work performed
- The address where the work was performed
- The name and contact information for the contractor(s) performing the work
- The date on which the work was completed
- Product descriptions and model numbers, AHRI reference numbers, or universal product codes (UPC) for all rebated equipment
- Line-item costs of rebated equipment and materials
- Line-item costs for any audits, inspections, testing, and/or modeling
- Labor costs of the specific work performed
- The total project cost prior to the rebate, the rebate amount, and the remaining project cost

² The term “eligible entity representative” comes from the underlying IRA Section 50122 statute. The term is defined in the [Program Requirements and Application Instructions](#) as “A governmental, commercial, or nonprofit entity carrying out a qualified project on behalf of an eligible entity.”

- Other project costs necessary for the base installation if applicable (e.g., permitting, shipping, warranties, contractor travel costs, and/or accessories necessary for installation and operation)
- Appropriate Tribal, local, and/or state taxes

The invoice must be signed and dated by the homeowner or building owner and must include rebates applied to the bill.

7. List the installation incentives the Tribe will provide eligible entity representatives for each eligible product or service up to \$500 (in total per project).

Note: Eligible entity representatives (governmental, commercial, or nonprofit) that install qualifying upgrades shall receive an incentive payment in addition to the available rebate. Tribes must provide meaningful installation incentives that reflect the scale of the upgrades installed. Incentives cannot exceed \$500 (in total per project). Tribes may not eliminate the requirement to provide a contractor incentive.

Below are the installation **incentive** amounts the Tribe will apply. [ENTER \$ AMOUNTS IN RIGHT COLUMN OF THE FOLLOWING TABLE.]

Qualifying Activity	Incentive Proposed by Tribe
Installation of electric heat pump water heaters per dwelling unit	
Installation of electric heat pumps for space heating and cooling per dwelling unit – ducted	
Installation of electric heat pumps for space heating and cooling per dwelling unit – non-ducted	
Installation of electric stove, cooktop, range, or oven per dwelling unit	
Installation of electric heat pump clothes dryer or combination heat pump washer and dryer per dwelling unit	
Installation of electric load service center per dwelling unit	
Installation of insulation per dwelling unit	
Installation of air sealing and materials to improve ventilation per dwelling unit	
Installation of electric wiring per dwelling unit	
Maximum incentive per dwelling unit	

8. Confirm that the Tribe will inform all contractors, other eligible entity representatives, households, and building owners participating in the rebate

program that eligible entities cannot receive multiple federal rebates or grants for the same Qualified Electrification Project (QEP).

☒ Yes, the Tribe confirms the above statement.

Section 3.1.3 Low-Income Households

9. Confirm that the Tribe will attach the following tenant protection requirements to rental property owners who claim rebates for at least two years following the receipt of the rebates by the owner of the tenant-occupied building:

- The owner agrees to rent the dwelling unit to a low-income tenant.
- The owner agrees not to evict a tenant to obtain higher rent tenants based upon the improvements.
- The owner agrees not to increase the rent of any tenant of the building as a result of the energy improvements, with exception of increases to recover actual property tax increases or justified operating and maintenance cost increases.
- The owner agrees to provide tenants with written notice of their rights and their building owner's obligations that are listed here within 30 days of receiving the rebate.
- In the event the owner does not comply, the owner must refund the rebate.

☒ Yes, the Tribe confirms the above statement.

Section 3.1.4 Qualified Electrification Projects

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 [Program Notice 26-3](#) and Section 3.1.4 of the [Program Requirements & Application Instructions](#) document
- The installation occurs at a single-family home or eligible multifamily building

Note: [Program Notice 26-3](#) Section 3.3 removes program allowances for upgrades for fuel-switching (i.e., replacement of non-electric appliances) and instead allows rebates for upgrading HVAC and appliances only from existing electric equipment to more efficient electric equipment. HVAC and electric appliances in new construction continue to be allowable. Program Notice 26-3 also allows dwellings to retain existing fossil-fuel HVAC systems when installing a heat pump, even if the heat pump will not become the primary source of heating and cooling.

☒ Yes, the Tribe confirms the above statement.

11. Confirm that ENERGY STAR certification will be required for all rebated products, if applicable. If the Tribe decides to seek approval for alternative standards, confirm that the Tribe will provide detailed justification for proposed deviations from ENERGY STAR certification and will not use these alternatives unless they are approved by DOE.

Note: DOE can grant approvals to Tribes to use an alternative approach to ENERGY STAR certification in certain situations, such as when ENERGY STAR certification does not exist for a product category. To receive approval, a Tribe must submit a request to DOE that includes the product category, the rationale for a deviation, the proposed alternative efficiency criteria/standard, and their plan to verify the performance of products to that alternative standard. Such exemptions typically require that the exempted product achieves a similar level of performance to ENERGY STAR, are granted for a limited period (up to one year), and will be revoked if ENERGY STAR products for that appliance category become available to the Tribe.

If a Tribe wants to request approval for an alternative to ENERGY STAR, it should provide DOE with the information specified in the “Requesting Alternatives to ENERGY STAR for HEEHR” program support resource. DOE recommends that a Tribe submit this request for an alternative to ENERGY STAR separately and at a later time than this application narrative, as it is not required for narrative approval and could slow review of this application and subsequent approval of a full funding award for the Tribe.

- ☒ The Tribe confirms that ENERGY STAR certification will be required for all rebated products, if applicable. If the Tribe decides to seek approval to use alternative efficiency standards (non-ENERGY STAR) for select products, the Tribe will provide its list of product categories, rationale for a deviation, proposed alternative efficiency criteria, and verification of program requirements for DOE to review.
12. Describe how the Tribe will collect and retain documentation to demonstrate how each criterion in Section 3.1.4 of the [Program Requirements & Application Instructions](#) document and [Program Notice 26-3](#) was met for each installation.
- ☐ Defer response to Tribal Implementation Blueprint.

The Tribe or its program implementation contractor will create a standard data collection form for all required inputs from the rebate applicant and the installer. This standard data collection form will link to a centralized database for tracking rebate reservations, household/dwelling unit qualifications, and final payments. This standard data collection form will be used to track all the information required for rebate transaction reporting for DOE, as defined in the PRAI, Appendix B. These data points are also outlined in DOE-provided rebate

reporting spreadsheets and reporting documentation developed by the Pacific Northwest National Laboratory (PNNL).

The Tribe will work with DOE/PNNL to make sure that its standard data collection form includes all required data elements and that the data that must be reported to DOE is structured such that it can be readily reported through the PNNL Rebate Tracking and Reporting Tool.

In addition to the data fields, additional documentation to be collected will include:

- An invoice that includes a list of the upgrades in the qualified electrification project for which a rebate was applied.
- A signed attestation by homeowner or contractor that the appliance installed did not exist in the home (unless upgrading from an existing electric appliance to more efficient equipment).
- For the appliance installations made by contractors, geotagged photos of installations.

The Tribe or its program implementation contractor will review each project submission to ensure it has all the required data elements and documents and that all program requirements are met (e.g., proof-of-income at the correct income level, first time appliance purchase, etc.). Given that installers applying to be reimbursed for rebates taken off at the point of sale or installation must provide all the required data points, proper documentation, and geotagged photos prior to being reimbursed, the Tribe will have data to prove that each rebate project fulfills the requirements as stated in the PRAI and Program Notice 26-3.

For all appliance upgrades (including heat pumps), the Tribe will collect geotagged photos, whenever possible of the existing equipment that will be replaced (if applicable) to verify that the installation is allowable. The Tribe will also collect post-installation geotagged photo(s) of all rebated appliances to verify installation. To address potential instances where geotagged photographs may not be able to be obtained due to technical limitations, the Tribe will reserve the right to conduct onsite inspections by requiring all eligible entity and tenants (if required) to agree to a potential onsite verification during the application process. In instances where technical limitations impact the ability of installers to obtain geotagged metadata, the Tribe will also request additional non-geotagged photographs along with map coordinates to verify location using tools such as readily available GPS imagery and map street-views of the properties along with additional photographs of the equipment packaging, detailed product photos, and installation processes.

[ONLY TRIBES THAT PLAN TO PROVIDE REBATES THROUGH RETAILER PARTNERS OR THROUGH MAIL-IN REBATES SHOULD CONSIDER THE FOLLOWING TEXT:]

In all do-it-yourself (DIY) installations where a household purchases qualifying equipment and receives a rebate via a retailer or via mail-in rebate, the Tribe will comply with this requirement by collecting and retaining (1) photo(s) of delivery arranged by the retailer or distributor, as available, and (2) an agreement by the

household receiving the rebated equipment to provide photos upon request. The Tribe will also randomly select a portion of these rebate projects for quality assurance to ensure that the purchased equipment is installed at the appropriate address. The Tribe plans to randomly select and conduct quality assurance on [ENTER NUMBER: X%] of all claims submitted for the first year through both remote and in-person inspections. Through this quality assurance process, the Tribe will verify what equipment was installed, where it was installed, and request documentation of any equipment that was replaced. If more than [ENTER NUMBER: X%] of the randomly selected claims prove to be accurate, then the Tribe may choose to decrease the percentage of randomly selected claims downward over time.

13. For eligible new construction rebates, describe the required documentation to confirm that the eligible entity representative and eligible entity ensure operational and consumer cost effectiveness.

Note: [Program Notice 26-3](#) Section 3.3 requires for eligible new construction rebates that the eligible entity representative and eligible entity must ensure operational and cost effectiveness.

- ☐ Defer response to Tribal Implementation Blueprint.
- ☐ N/A. The Tribe does not plan to offer rebates for new construction.

[RESPONSE SHOULD DESCRIBE PROCEDURES AND PROCESSES THE TRIBE USES TO ENSURE OPERATIONAL AND CONSUMER COST EFFECTIVENESS.]

To ensure operational cost effectiveness for new construction projects that receive rebates, the Tribe will require: [SELECT ONE, MULTIPLE, OR DESCRIBE AN ALTERNATIVE OPTION]

[OPTION 1:] The eligible entity representative will conduct and provide documentation of integrated design analysis that compares the code baseline system and the efficient electric package and demonstrates that the builder selected the package that minimizes lifecycle cost for occupants, not developer first cost.

[OPTION 2:] The eligible entity representative will provide documentation describing how they defined a code-compliant baseline home, then use an energy model to estimate energy use for both the baseline and an upgraded design, calculated incremental energy savings and incremental costs for each measure or package. The EER will then calculate a discounted lifetime energy cost savings to present value and compute a Savings-to-Investment Ratio ($SIR = PV \text{ savings} \div \text{incremental cost}$). Selected individual measures or optimized packages will meet $SIR \geq 1.0$, with typical evaluation of cost-effectiveness occurring at the package level to capture interaction effects.

[OPTION 3:] To minimize operational costs, the eligible entity representative will attest that insulation levels for new construction meet applicable Tribal and/or state building energy codes, and that all rebated products are ENERGY STAR–certified. For heating and cooling installations, the representative will provide documentation demonstrating that proper system sizing was conducted through either (1) building energy modeling or (2) load calculations, supporting long-term affordability and reduced utility costs.

[OPTION 4:] [DESCRIBE TRIBE’S APPROACH FOR ACHIEVING OPERATIONAL AND CONSUMER COST EFFECTIVENESS AND REQUIRED DOCUMENTATION.]

14. For existing homes receiving a heat pump upgrade, specify what level of insulation and air sealing is required such that a home does not need to utilize rebates for insulation and air sealing prior to installing a heat pump.

Note: [Program Notice 26-3](#) Section 3.3 requires that homes utilize rebates for insulation and air sealing prior to installing heating and cooling upgrades, unless they are already appropriately insulated and sealed to a DOE approved, Tribally specified level, to ensure upgrades do not increase consumer energy costs.

☐ Defer response to Tribal Implementation Blueprint.

☐ N/A. The Tribe will not provide HEEHR rebates for heating and cooling upgrades.

[DESCRIBE THE TRIBALLY SPECIFIED LEVELS OF INSULATION AND AIR SEALING THAT ENABLE HOMES TO INSTALL A HEAT PUMP WITHOUT UTILIZING REBATES FOR INSULATION AND AIR SEALING. CONSIDER THAT DIFFERENT TYPES OF HOMES/BUILDINGS CAN HAVE DIFFERENT REQUIREMENTS BASED ON BUILDING MATERIALS OR OTHER FACTORS.]

Homes receiving a heat pump upgrade can meet the Tribally specified level of insulation or air sealing through the following options: [SELECT ONE, MULTIPLE, OR DESCRIBE AN ALTERNATIVE OPTION]

[OPTION 1:] The home meets current Tribal or state building energy code requirements for insulation and air sealing. [DESCRIBE TRIBAL CODE REQUIREMENTS]

[OPTION 2:] The Tribe will require all homes receiving HEEHR rebates for a heat pump provide documentation that the home received a weatherization upgrade within the past [ENTER NUMBER OF YEARS, E.G., “FIVE”] years through a Tribal, state, utility, or federal program [IDENTIFY PROGRAMS, E.G., HOMES, WAP, ETC.].

[OPTION 3:] The Tribe will require all homes receiving HEEHR rebates for a heat pump also utilize HEEHR rebates for insulation and air sealing.

[OPTION 4:] The Tribe will allow for HEEHR rebates for a heat pump without additional documentation for all homes built after [INSERT YEAR].

[OPTION 5:] The local climate in [INSERT TRIBAL AREA] is [DESCRIBE LOCAL CONTEXT RELATED TO NEED TO INSULATE AND AIR SEAL HOMES]. Most homes [DESCRIBE BUILDING TYPES] in [INSERT TRIBAL AREA] are built [DESCRIBE HOW HOMES ARE BUILT WITH STRONG INSULATION AND AIR SEALING (E.G., LOCAL BUILDING CODES, BUILDING MATERIALS, ETC.)]. [DESCRIBE HOW THIS CONSTRUCTION METHOD CREATES STRONG THERMAL PERFORMANCE AND MEETS TRIBAL LEVELS FOR INSULATION AND AIR SEALING.]

[OPTION 6:] [DESCRIBE ANY OTHER TRIBAL SPECIFIC LEVEL CONSIDERING LOCAL CONTEXT]

In addition, in cases of emergency heat pump replacement, applicants may wait to utilize rebates for insulation, air sealing, ventilation, or electrical wiring until after heat pump installation. Applicants will be able to utilize these rebates on an incremental basis, up to the maximum allowable amounts for insulation, air sealing, ventilation, or electrical wiring. The Tribe will follow up with households that receive emergency replacement equipment within 30 days of the installation to ensure they have a plan to utilize additional rebate funding for insulation or air sealing. Within three months of the installation, the Tribe or its implementation contractor will ensure that the household has scheduled an upgrade or home assessment with a qualified installer for air sealing and/or insulation.

15. For existing homes receiving ventilation upgrades, describe how the Tribe will verify that ventilation materials are eligible only if homes also receive air sealing services or otherwise achieve low air leakage rates.

Note: Eligible ventilation materials include ENERGY STAR-certified range hoods and in-line (single and multi-port), bathroom, and utility room fans. Products must be installed in the configuration certified by ENERGY STAR. A range hood that is installed such that the exhaust air is recirculated into the dwelling unit is not eligible to receive rebates.

- ☐ Defer response to Tribal Implementation Blueprint.
- ☐ N/A. The Tribe will not provide rebates for materials to improve ventilation.

[RESPONSE SHOULD DESCRIBE PROCEDURES AND PROCESSES DEMONSTRATING HOMES ARE ELIGIBLE FOR RECEIVING VENTILATION UPGRADES, E.G.,

- VENTILATION MATERIALS ARE ENERGY STAR-CERTIFIED AND INSTALLED IN THE CONFIGURATION CERTIFIED BY ENERGY STAR
- HOMES HAVE RECEIVED AIR SEALING SERVICES OR HOMES ACHIEVE LOW LEAKAGE RATES]

The Tribe will require the eligible entity representative to attest that, for all ventilation upgrades:

- Ventilation materials are ENERGY STAR-certified

- Materials have been installed in accordance with ENERGY STAR specifications
- Materials have been installed in a home that has received air sealing services OR the home meets IECC code for low leakage OR the Tribe will ensure that the home's achieved low air leakage rate is less than [ENTER SPECIFIC LOW LEAKAGE RATE VALUE LESS THAN 3.0 ACH50] through testing method [ENTER SPECIFIC TEST METHOD].

Section 3.1.6 Processing and Delivering Rebate Funds to Eligible Rebate Recipients

16. Describe what types of systems will be put into place to allow effective processing of rebates, including ensuring the ability to apply rebates at point of sale and/or as part of an invoice. Confirm that the system will link to the DOE's federal database through regular data submissions (check all that apply):

☐ Yes, the system will link to the federally provided system via real-time connection to the API. *[Note by checking this box, the Tribe is agreeing to report data elements in accordance with the State and Territory Data and Tools Requirements Guide³ as there is no Tribal specific real-time connection associated with the Tribal specific reporting elements documented in the [Program Requirements and Application Instructions](#)].*

☐ Yes, the system will link to the federal provided system via after-the-fact reporting via API endpoint.

☒ Yes, information will be submitted via DOE-provided spreadsheet template.

☐ Defer response to Tribal Implementation Blueprint.

[RESPONSE SHOULD DESCRIBE THE SYSTEMS TO BE PUT IN PLACE TO ALLOW EFFECTIVE PROCESSING OF REBATES. TRIBES SHOULD INCLUDE THE FOLLOWING INFORMATION IN THEIR RESPONSE:

- DESCRIPTION OF SYSTEMS USED TO PROCESS REBATES
- HOW THEY WILL ENSURE ABILITY TO APPLY REBATES AS PART OF INVOICE
- CLARITY ON DETAILS FOR REBATE ISSUANCE AND INVOICING
- HOW TRIBE WILL BE SENDING DATA TO DOE (E.G., DOE-PROVIDED SPREADSHEET, REPORTING VIA API, OR OTHER APPROVED PROCESS)]

After receiving DOE's approval of its overall rebate program application, the Tribe will issue a request for proposal (RFP) and select an implementation contractor. In the RFP, the Tribe will ask for qualifications regarding rebate processing but not make this a functional requirement. The Tribe will issue a separate RFP for

³ Information about API reporting can be found here: <https://www.pnnl.gov/projects/rebate-tools>

rebate processing in the event that the selected implementation contractor does not meet the needs for carrying out this function.

The entity selected by the Tribe for rebate processing will be charged with designing a system that allows for processing of rebate claims and ensuring rebates are reimbursed within [ENTER LENGTH OF TIME NO GREATER THAN 12 WEEKS] of receipt of a valid rebate request from qualified contractors, who will apply the rebate as an instant discount at the point of installation. The system will employ secure methods for storing and managing rebate data, where data will be collected and retained as per the program requirements.

When a rebate request is submitted by a qualified contractor/installer, the Tribe or its program implementation contractor will review the rebate request submission to ensure it has all the required data points, proper documentation, and that all program requirements are met (e.g., proof-of-income at the correct income level, first time appliance purchase, etc.). They will notify the applicant of the approval to proceed with the project and the available rebate amount. Upon project completion the contractor/installer will apply the rebate to the customer invoice and will then utilize the rebate system to document all the necessary data and documentation (invoices, photographs, etc.) details of the installed product and costs. After the rebate processor confirms all requirements were met, they will execute a request to the payment processing system to issue a payment to the qualified contractor. The Tribe's rebate processing system will provide all the required rebate transaction data to DOE via [IDENTIFY THE REPORTING SELECTION CHECKED ABOVE], which will be submitted to DOE every six months during semiannual reporting.

[ONLY TRIBES THAT PLAN TO PROVIDE REBATES THROUGH RETAIL PARTNERS SHOULD INCLUDE THE FOLLOWING PORTION OF THIS SAMPLE RESPONSE:]

The Tribe's RFP for rebate processing will also require the rebate processing entity to develop a retail rebate pathway for eligible entities and eligible entity representatives. This pathway will include a web portal, where households/building owners or eligible entity representatives can apply and qualify directly for a rebate. Once the rebate recipient is qualified, the rebate processing entity will generate a coupon to use with a participating retail store. This will allow the qualifying household/building owner or eligible entity representative to have the rebate amount deducted at point of purchase of the equipment eligible for a rebate. The rebate will be applied prior to the customer making any payments.

The retail coupon will designate the type of qualifying product as well as the maximum rebate amount and percentage (whichever is lower) that can be applied to the purchase. Retailers will use the coupon to deduct the rebate amount from the purchase price and will then submit reimbursement requests/invoice through the web portal provided by the rebate processing entity. The rebate processing entity will review the reimbursement request from the retailer to ensure it has all the required data points, proper documentation, and that all applicable program requirements are met. The rebate processing entity will then execute a payment

to the retailer. The homeowner and building owner will be separately required to submit the remaining documentation required to confirm the installation of the product, including photographs and invoices/receipts from the retailer. The rebate processing entity will affirm all project data is captured and the rebate processing system will provide all the required rebate transaction data to DOE via [IDENTIFY THE REPORTING SELECTION CHECKED ABOVE], which will be submitted to DOE every six months during semiannual reporting.

17. Identify whether the Tribe will implement mail-in rebates for each, or any, qualified project category in addition to the point-of-sale pathway for the same qualified project category or categories. If yes, describe the systems that will be used for processing mail-in rebates.

Note: [Program Notice 26-3](#) Section 3.5.3 expands flexibility to implement mail-in rebates in addition to the grantee's statutory point-of-sale rebate retail pathway for each qualified project category.

- ☐ Defer response to Tribal Implementation Blueprint.
- ☐ Yes, the Tribe will implement mail-in rebates in addition to point-of-sale incentives. Describe systems below.
- ☒ No, the Tribe will not implement mail-in rebates and will only provide point-of-sale rebates.

[ONLY TRIBES THAT PLAN TO PROVIDE REBATES THROUGH MAIL-IN REBATES SHOULD CONSIDER THE FOLLOWING:]

The Tribe also plans to offer mail-in rebates after successfully standing up the point-of-installation pathway with qualified contractors. These mail-in rebates will be offered for [INSERT INCOME GROUPS] for these product categories [INSERT QUALIFIED PRODUCT TYPES]. The Tribe will develop a web portal, where applicants will be required to submit all the same pre-qualification documentation, product information, and pre-and-post installation photographs as applicants applying to receive rebates at the point-of-installation through a qualified contractor. The web portal will also provide a warning to homeowners and building owners that they may not qualify for an after-the-fact rebate if the applicant, product, and installation details do not meet the program qualifications. The applicants will also be required to agree to allow, if requested, an onsite inspector to visit the households as deemed necessary by the Tribe. Applicants will also be informed they can expect rebate reimbursements within 12 weeks of an approved application, which will be executed via an electronic payment or check by the rebate processing entity.

18. Describe how the Tribe will ensure processing of rebates within 12 weeks of receipt (e.g., through a processing company, through program implementers, or other entities or methods), subject to exceptions for barge or air shipment, equipment availability, and for projects involving large multifamily properties. Include information on corrective actions that the Tribe will implement in the event of lengthier processing times.

☐ Defer response to Tribal Implementation Blueprint.

[RESPONSE SHOULD DESCRIBE:

- HOW TRIBE WILL ENSURE PROCESSING TIME WITHIN REQUIRED DURATIONS (E.G., CONTRACT REQUIREMENTS, KEY PERFORMANCE INDICATORS SUCH AS SYSTEM RELIABILITY, FUND UTILIZATION, CONTRACTOR/AGGREGATOR PAYMENT TIME, ESCALATION RESOLUTION TIME, AND CUSTOMER SATISFACTION).
- CORRECTIVE ACTION IN EVENT OF LENGTHIER TIMES (E.G., TERMINATION OF CONTRACT OR FINANCIAL PENALTIES)
- HOW THE NEED FOR CORRECTIVE ACTION WILL BE DETERMINED (E.G., IF A CERTAIN NUMBER OF REBATES ARE PROCESSED LATE, A THRESHOLD OF CUSTOMER COMPLAINTS ARE REACHED, THERE ARE SPECIFIC PERCENTAGES OF ERRORS).]

The Tribe will use a(n) [ENTER ONE OF THE FOLLOWING OR OTHER TYPE OF ENTITY: IMPLEMENTATION CONTRACTOR OR REBATE PROCESSING COMPANY] to carry out rebate processing.

The Tribe will require rebate processing to occur within [ENTER LENGTH OF TIME NO GREATER THAN 12 WEEKS] of receipt of required and acceptable information. This timeframe will include time associated with delivery of all applicable modes of rebate payment (i.e., a check in the mail or direct deposit).

The Tribe will require the rebate processing entity to develop a method for tracking and reporting processing times [ENTER TIMEFRAME, E.G., IN REAL TIME OR WITH WEEKLY REPORTS].

To ensure accuracy of reporting, the rebate processing entity will be required to:

- Electronically stamp (date and time) applications upon submission
- Display submission dates in all work queue views
- Automate prompts when applications are at risk of falling behind the planned processing timeline
- Define key indicators to confirm the process is working

Should the processing times persistently exceed those stipulated above [ENTER SPECIFIC THRESHOLD FOR CORRECTIVE ACTION], the Tribe will require the processor to provide an explanation, develop a resolution plan, and if necessary, implement new methods or systems to speed up processing within 30 days of notification. If

the processor fails to meet the milestones outlined in the resolution plan, the Tribe will reserve the right to terminate the scope of work and engage another implementation company.

Section 3.1.7 Verify Income Eligibility

Note: Low-income households are defined as households with less than 80% Area Median Income (AMI). HUD calculates median family income levels for areas across the U.S. HUD has a website available [here](#) where users can view these calculations. Information about HUD's methods for calculating AMI statistics is available [here](#). HUD typically updates these values in March or April of each year. (See the [Program Requirements & Application Instructions](#) document Section 2.1.)

19. For single-family households (including upgrades for individual dwelling units within a multifamily building), describe what combination of methods will be used for claimants to be able to establish their household income for income qualification.

Note: [Program Notice 26-3](#) changed the requirements for self-attestation. If self-attestation is allowed for a household to initially apply for a rebate, Tribes must verify all rebate applications using self-attestation of income eligibility before issuing a rebate payment. In cases of emergency replacements, Tribes may verify income eligibility for households using self-attestation after a rebate payment is issued.

Tribes may select from the following options:

- ☒ Documentation of household income (for example, 1040)
- ☒ Documentation of enrollment in a pre-qualifying program
- ☒ Self-attestation of enrollment in a pre-qualifying program for initial application, with verification before a rebate payment is issued
- ☒ Self-attestation of income level for initial application, with verification by another income-eligibility method before a rebate payment is issued
- ☐ Defer response to Tribal Implementation Blueprint.

The Tribe will recognize any of the following documentation for income to establish that a household is eligible: 1040 from prior year, W2 forms, and wage statements/payroll. **[LIST ANY OTHER RELEVANT FORMS OF DOCUMENTATION THAT THE TRIBE WILL ACCEPT.]**

The Tribe also plans to offer categorical eligibility and will recognize proof of enrollment for the following programs listed in Federal Programs Approved for Categorical Eligibility document provided by DOE: **[INCLUDE ONLY THOSE PROGRAMS THAT THE TRIBE PLANS TO RECOGNIZE FROM THE FOLLOWING LIST. IF THE TRIBE IS INTENDING TO ALLOW WEATHERIZATION ASSISTANCE PROGRAM (WAP), LOW**

INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP), OR SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN (WIC) TO QUALIFY HOUSEHOLDS FOR HIGHER REBATES, PROVIDE ADDITIONAL INFORMATION TO DEMONSTRATE TRIBAL AREA MEETS THRESHOLDS NOTED BELOW.]

- Indian Housing Block Grant (IHBG)
- Low Income Home Energy Assistance Program (LIHEAP)
- Medicaid
- Supplemental Nutrition Assistance Program (SNAP)
- Head Start
- Lifeline Support for Affordable Communications (Lifeline)
- Food Distribution Program on Indian Reservations (FDPIR)
- National School Lunch Program – Free (NSLP)
- Housing Improvement Program (HIP)
- Housing Opportunities for Persons with AIDS
- Supplemental Security Income (SSI)
- Weatherization Assistance Program (WAP) [DEMONSTRATE 80% AMI < 200% FEDERAL POVERTY LEVEL (FPL) IF USING TO QUALIFY FOR HIGHER REBATES]
- Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) [DEMONSTRATE 80% AMI < 185% FPL IF USING TO QUALIFY FOR HIGHER REBATES.]
- Verified government or non-profit program serving Asset Limited Income Constrained Employed (ALICE) persons or households
- Public Housing (housing owned and operated by Public Housing Authorities)

Subject to DOE approval, for single-family households, the Tribe also proposes to recognize the following additional programs with equivalent income requirements.

[LIST ANY ADDITIONAL PROGRAMS THAT THE TRIBE PROPOSES TO RECOGNIZE ALONG WITH THE SPECIFIC INCOME REQUIREMENTS OF EACH PROGRAM.])

-
-
-

The Tribe will allow applicants to also self-attest to either meeting the income requirements or enrollment in one of the recognized programs. They will be required to either enter in their household income or specify which program(s) they are already enrolled in. For all rebate applications using self-attestation, the

Tribe will verify income eligibility prior to issuing a rebate (e.g., calls to employers, confirmation with Tribal, state, or federal agencies, etc.). In cases of emergency replacements, the Tribe will verify income eligibility after a rebate has been issued. The Tribe's process for verifying the validity of self-attestations is described in Question 25.

20. For multifamily building whole building or central upgrade projects, describe what combination of methods will be used to verify that at least 50% of the occupied dwelling units consist of households with incomes less than 80% AMI and to verify that at least 50% of the occupied dwelling units consist of households with incomes less than 150% AMI.

Note: [Program Notice 26-3](#) Section 3.5.2 clarifies that rebate eligibility for multifamily properties is not less than 50% of the occupied dwelling units having low-income or moderate-income households, based on area median income levels. [Program Notice 26-3](#) Section 3.5.2 also expands the definition of multifamily buildings to also include multiple buildings (e.g., apartment complexes).

☐ Defer response to Tribal Implementation Blueprint.

To qualify for low-income rebate amounts, multifamily building owners will be required to demonstrate that at least 50% of occupied dwelling units consist of households with incomes less than 80% AMI through either of the following methods:

[EXAMPLE 1:] Demonstrate that at least 50% of occupied units have households with incomes below 80% AMI, using the following documentation: 1040 from prior year, W2 forms, and wage statements/payroll.

[EXAMPLE 2:] Provide documentation demonstrating that at least 50% of households are enrolled in any of the following programs: INCLUDE ONLY THOSE PROGRAMS THAT THE TRIBE PLANS TO RECOGNIZE FROM THE FOLLOWING LIST. IF THE TRIBE IS INTENDING TO ALLOW WAP OR SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN (WIC) TO QUALIFY HOUSEHOLDS FOR HIGHER REBATES, PROVIDE ADDITIONAL INFORMATION TO DEMONSTRATE TRIBAL AREA MEETS THRESHOLDS NOTED BELOW.]

- Low Income Home Energy Assistance Program (LIHEAP)
- Medicaid
- Supplemental Nutrition Assistance Program (SNAP)
- Head Start
- Lifeline Support for Affordable Communications (Lifeline)
- Food Distribution Program on Indian Reservations (FDPIR)
- National School Lunch Program – Free (NSLP)

- Housing Improvement Program (HIP)
- Housing Opportunities for Persons with AIDS
- Supplemental Security Income (SSI)
- Weatherization Assistance Program (WAP) [DEMONSTRATE 80% AMI <200% FPL IF USING TO QUALIFY FOR HIGHER REBATES]
- Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) [DEMONSTRATE 80% AMI <185% FPL IF USING TO QUALIFY FOR HIGHER REBATES.]
- Verified government or non-profit program serving Asset Limited Income Constrained Employed (ALICE) persons or households

AND/OR

[EXAMPLE 3:] Provide documentation that demonstrates that one of the following categories applies to 50% of the units in the multifamily building:

- Indian Housing Block Grant (IHBG)
- Public Housing (housing owned and operated by Public Housing Authorities)
- Privately owned multifamily buildings receiving project-based assistance (Section 8, Section 202, Section 811)
- Privately-owned multifamily buildings that house residents receiving tenant-based assistance
- Section 42 Low Income Housing Tax Credit (LIHTC)

Multifamily building owners will be required to demonstrate that at least 50% of occupied dwelling units consist of households with incomes less than 150% AMI through either of the following methods:

[INCLUDE METHODS TO VERIFY THAT AT LEAST 50% OF OCCUPIED DWELLING UNITS CONSIST OF HOUSEHOLDS WITH INCOMES LESS THAN 150% AMI. SEE EXAMPLES ABOVE.]

21. Confirm the following:

- Claimant will be required to note the number of individuals who occupy the dwelling unit.
- Claimant will be required to sign a statement 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).
- Tribe's intake system for users to provide income information will compare household income to 80% and 150% AMI values associated with that

household's county and household size to determine rebate levels prior to signing statements regarding their income.

☒ Yes, the Tribe confirms the above statements.

22. If not planning to rely on the federally provided address-service API to keep the 80% AMI and 150% AMI levels for each location up to date, explain how the Tribe will keep the levels up to date.

☐ Defer response to Tribal Implementation Blueprint.

☐ The Tribe will use a federally provided address-service API from DOE to keep its 80% AMI and 150% AMI levels up to date.

☐ The Tribe will verify income entirely through categorical eligibility methods, and therefore the Tribe will not need to compare household incomes to 80% and 150% AMI levels.

☒ The Tribe will use a different system to keep its 80% AMI and 150% AMI levels up to date. More information on the Tribe's approach is included in the box below.

**[ONLY PROVIDE WRITTEN RESPONSE IF USING A DIFFERENT SYSTEM THAN THE
FEDERALLY PROVIDED API.]**

The Tribe will build an address service lookup (or has a preexisting service) that utilizes the same published AMI tables that DOE uses from the U.S. Department of Housing and Urban Development (updated annually). This service functions effectively the same as the DOE service, however it also has additional locally-relevant information that better enables the Tribe to execute their program.

Confirm that these levels will correspond to:

- The address of the home at which rebates will be applied
- The applicable number of household occupants

☒ Yes, the Tribe confirms the above statements.

23. Confirm that the Tribe will do the following:

- Review information provided to support income eligibility for all applicants applying for rebates.

☒ Yes, the Tribe confirms the above statement.

- Take steps to verify income eligibility for all applications (100%) that use self-attestation to support income eligibility (e.g., confirm enrollment in at least one program that the applicant asserted enrollment in; confirm household income via

IRS confirmation through the Income Verification Express Service (IVES) tool, if available; calls to employers; or other methods as applicable).

☒ Yes, the Tribe confirms the above statement.

- Each time applicants receive rebates and are subsequently found to not meet eligibility requirements, report to DOE within 30 days of discovery of the issue and explain how the Tribe will resolve the problem.

☒ Yes, the Tribe confirms the above statement.

24. Identify how the Tribe will resolve instances when rebates are provided to those who have falsified their incomes.

☐ Defer response to Tribal Implementation Blueprint.

As soon as the information is determined to be incorrect (with review time projected as [ENTER NUMBER: X] days), the Tribe or implementation contractor will do the following:

- (1) Inform the homeowner or building owner that 1) Their income eligibility information has been found insufficient or invalid, and they are no longer eligible for the requested rebate, and 2) In cases where additional information may establish their eligibility, they can reapply for consideration. The homeowner or building owner can petition for a re-review of their income within [ENTER TIMEFRAME, E.G., 30 DAYS].
- (2) If a homeowner or building owner does not successfully re-apply with acceptable proof of income, inform the rebate recipient that they must reimburse the Tribe (via a provided address or through a provided call-in number via credit card) within 30 days for any rebate amount incorrectly applied with any additional required information. If the homeowner or building owner does NOT provide this reimbursement to the Tribe within the allowable period, the Tribe will file the claim to a collection agency and the homeowner or building owner will be subject to additional penalties. The Tribe may impose an additional fine and will enlist a bill collection agency if repayment is not received within [ENTER NUMBER: X] days.
- (3) Inform the contractor/eligible entity representative that if they have already performed the work and applied the rebate to the invoice but have not yet received a reimbursement from the Tribe, it is the homeowner or building owner's responsibility to pay back the Tribe for the applied rebate. The Tribe will reimburse the contractor for the rebate applied at point of purchase provided the contractor/EER provides all information per the program's standard requirements.

- (4) If the rebate has already been provided and reported as redeemed to the DOE Rebate and Tracking Reporting Tool, the project will be updated in the Tool to be marked as “deleted” with a reason noted.

[INCLUDE THE TEXT BELOW IF THE TRIBE ALSO PLANS TO USE A RETAIL PATHWAY FOR REBATES WITH COUPONS THAT CAN BE REDEEMED AT A RETAIL STORE.]

For cases of falsified income for households or building owners who were issued a coupon for a retail store, as soon as income information is determined to be incorrect (with review time projected as [ENTER NUMBER: X] days), the Tribe or implementation contractor’s system retail coupon system will automatically do the following:

- (1) Cancel the reservation if the transaction has not been completed.
- (2) Inform the homeowner or building owner (and contractor/eligible entity representative where applicable) via one mode of any contact information provided (emails, home address) that the reservation and coupon has been cancelled and can no longer be applied.
- (3) Inform the homeowner or building owner that 1) Their income eligibility information has been found insufficient or invalid, and they are no longer eligible for the requested rebate, and 2) In cases where additional information may establish their eligibility, they can reapply for consideration. The homeowner or building owner can petition for a re-review of their income within [ENTER TIMEFRAME, E.G., 30 DAYS].
- (4) If applicable, inform the homeowner or building owner (and contractor/eligible entity representative where applicable) that the household is eligible for the lesser rebate percentage cap (50%) and a new coupon can be requested.
- (5) Inform the applicable retailer(s) that reservation was cancelled and the coupon should be marked invalid in their point-of-sale system.
- (6) If a homeowner or building owner does not successfully re-apply with acceptable proof of income and the rebate has already been applied (by retailer or eligible entity representative), the homeowner or building owner must reimburse the Tribe (via a provided address or through a provided call-in number via credit card) within 30 days for any rebate amount incorrectly applied with any additional requirement information. If the homeowner or building owner does NOT provide this reimbursement to the Tribe within the allowable period, the Tribe will file the claim to a collection agency and the homeowner or building owner will be subject to additional penalties. The Tribe may impose an additional fine and will enlist a bill collection agency if repayment is not received within [ENTER NUMBER: X] days.
- (7) Inform the retailer that if they have already applied the rebate at the point of sale, it is the homeowner or building owner’s responsibility to pay back

the Tribe for the applied rebate. The Tribe will reimburse the retailer for the rebate applied at point of purchase provided the retailer provides all information per the program's standard requirements.

- (8) If the rebate has already been provided and reported as redeemed to the DOE Rebate and Tracking Reporting Tool, the rebate transaction will be updated in the Tool as "deleted" with a reason noted.

25. If proposing to allow self-attestation as a means for initial income qualification, provide a detailed description of 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. Additional topics to address include:

- 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.
- Identify what level of falsified attestations will signal that the system needs to shut down either permanently or be restarted only after sufficient improvements.

☐ Defer response to Tribal Implementation Blueprint.

☐ N/A. The Tribe has chosen not to allow self-attestation.

[IF PLANNING TO USE SELF-ATTESTATION AS A MEANS FOR HOUSEHOLDS TO INITIALLY APPLY FOR REBATES, TRIBES SHOULD PROVIDE THE FOLLOWING INFORMATION:

- **DESCRIPTION OF HOW AND WHEN SELF-ATTESTATION WILL BE USED (E.G., WHICH PATHWAYS, CUSTOMER TYPES, PROJECTS, IN COMBINATION WITH OTHER OPTIONS)**
- **STATEMENTS, LANGUAGE, AND DETAILED INFORMATION REGARDING FOLLOW-UP STEPS THAT WILL BE USED FOR THIS PROCESS**
- **HOW CLAIMANT WILL BE WARNED OF LIABILITY ASSOCIATED WITH FALSIFYING INFORMATION (E.G., SIGNED PARTICIPATION AGREEMENT THAT INCLUDES INFORMATION ON FALSIFICATION RECOURSE)**
- **HOW SIGNED STATEMENTS OF SELF-ATTESTATION WILL BE SECURELY STORED]**

Self-attestation will only be used in cases of emergency replacements.

All applicants will be asked to confirm that they acknowledge the following:

If the information provided is invalid and warrants the homeowner, building owner, or tenant ineligible for this rebate, the rebate payment will not be approved. In cases of emergency replacement where the rebate is applied immediately the homeowner or building owner will be required to pay back

the Tribe if their income information is found to be invalid and may be subject to a claim from a collection agency.

The Tribe will also require all applicants to affirm that the information they provide is true and correct and that they understand that falsified information is subject to additional penalties.

The Tribe or its implementation contractor will retain the signed statements in accordance with proper data security standards until the applicant's eligibility has been verified.

The Tribe will use a third-party income verification vendor to verify self-attested income through the IRS, enrollment databases of approved programs, calls to employers, or other income verification services to verify 100% of applications that use self-attestation prior to issuing rebate redemptions. In cases of emergency replacement needs, the Tribe will allow income verification after the rebate is issued by developing an emergency self-attestation application form for impacted households to document the nature of the emergency (e.g., existing heater broke in the winter) and also attest that the household understands the verification process and rebate clawback process if the Tribe determines the household was not eligible.

26. Describe how the Tribal program will verify, where applicable, that at least one member of a household has been enrolled in a program within the Federal Programs Approved for Categorical Eligibility document, or other programs proposed by the Tribe and approved by DOE, within the prior 12 months.

☐ Defer response to Tribal Implementation Blueprint.

[RESPONSE SHOULD INCLUDE:

- **HOW INCOME ELIGIBILITY WILL BE VERIFIED BY TRIBE, INCLUDING WHAT SYSTEMS, PROCESSES, OR PROCEDURES WILL BE USED FOR VERIFICATION.**
- **HOW TRIBE WILL CONFIRM CATEGORICAL ELIGIBILITY (WHERE APPLICABLE)]**

The implementation contractor or other third-party vendor the Tribe selects to oversee the income eligibility process will be required to review all of an applicant's documentation to substantiate income or verify enrollment in a qualifying program. They will be required to visually review all submitted information. If the documentation is insufficient or unclear, they will be required to consider the application as a case of self-attestation and then follow the review process associated with those applications. In addition to visual review of documentation, the Tribe plans to integrate automation into the process where possible (e.g., use of screening technology to review standard information like 1040 forms, enrollment cards for specific programs) to confirm whether the

information provided in the documentation meets requirements. Where needed, the implementer will call agencies that administer programs approved for categorical eligibility to confirm a household member's enrollment.

27. 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 (Section 3.1.7 of the [Program Requirements & Application Instructions](#) document).

- ☐ N/A. The Tribe will not propose additional federal or other programs to be considered for categorical eligibility.
- ☐ Defer response to Tribal Implementation Blueprint.

Subject to DOE approval, the Tribe also proposes to recognize the following additional programs with equivalent income requirements. [LIST ANY PROGRAMS THAT THE TRIBE PROPOSES TO RECOGNIZE ALONG WITH THE SPECIFIC INCOME REQUIREMENTS OF EACH PROGRAM.]

28. Identify whether the Tribe requests authorization to allow use of categorical eligibility determinations based on program participation outside of a one-year period (e.g., proof of enrollment within the past 12 months).

- ☒ Yes, the Tribe requests authorization to allow use of categorical eligibility determinations based on program participation outside of a one-year period.
- ☐ No, the Tribe will only allow for categorical eligibility determinations based on program participation within a one-year period.
- ☐ Defer response to Tribal Implementation Blueprint.

If yes, explain the Tribe's proposal and describe the rationale.

[RESPOND ONLY IF THE TRIBE PROPOSES A TIME PERIOD LONGER THAN 12 MONTHS:]

The Tribe proposes that applicants provide proof of enrollment in a qualifying program within [ENTER LENGTH OF TIME (E.G., 2 YEARS)] of the date of their rebate application. Many low-income programs do not update their enrollment information annually; and some households (given relocations or other factors) may not have up-to-date enrollment documentation. Therefore, the Tribe proposes to accept documentation that demonstrates a household's enrollment within this longer period of time.

Section 3.1.8 Data Collection and Evaluation

29. Confirm that the Tribe will collect required data listed in Section 3.1.8 of the [Program Requirements & Application Instructions](#) document.

☒ Yes, the Tribe confirms the above statement.

Consumer Experience

Section 3.2.2 Fraud, Waste, and Abuse Mitigation

30. Confirm that the Tribe will prepare and implement a Fraud, Waste, and Abuse Mitigation Plan in accordance with the requirements in Section 3.2.2 of the [Program Requirements & Application Instructions](#) and [Program Notice 26-3](#). While DOE recommends incorporating all elements into their Fraud, Waste, and Abuse Mitigation Plan as listed in Section 3.2.2., Indian Tribes with a funding allocation below \$1 million are only required to create a plan incorporating the requirements included in the “Data Review,” “Virtual Inspection,” and “Contractors and Other Partners” sections.

Note: A Tribe must prepare and submit a Fraud, Waste, and Abuse Mitigation Plan to DOE for review and approval at least 90 days before their intended program launch as part of the Tribal Implementation Blueprint.

☒ Yes, the Tribe confirms the above statement.

For more information, visit: energy.gov/cmei/scep/home-energy-rebates-program

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U.S. DEPARTMENT
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Office of Critical Minerals
and Energy Innovation