



ADMINISTRATIVE AND LEGAL REQUIREMENTS DOCUMENT (ALRD)

U.S. Department of Energy
State and Community Energy Program
Golden Field Office

State and Community Energy Programs (SCEP)
Inflation Reduction Act of 2022 Home Energy Rebates:
Home Electrification and Appliance Rebates Program for Indian
Tribes

CFDA Number: 81.041

VERSION 2

Modifications to this document are as follows and highlighted **yellow** in the text:

No.	Description of Modification	Location(s)
1	Clarifies that DOE will not be reviewing Consortium allocations to each participating Tribe.	Pg. 6

Issue Date: November 17, 2023 (Version 1)

March 25, 2024 (Version 1.1)

November 7, 2024 (Version 2)

Applications will be reviewed on a rolling basis and remain open until May 31, 2025. To ensure timely processing of awards, Grantees must submit complete Applications by the above deadline.



Registration/Submission Requirements

Registration Requirements: Allow at least 21 days to complete registrations.

If you have not already registered, there are several one-time actions you must complete to receive an award:

1. Obtain a Unique Entity Identifier (UEI) number from the [System for Award Management \(SAM.gov\)](https://sam.gov) website. Subawardees at all tiers must obtain UEI numbers and provide the UEI to the prime awardee before the subaward can be issued. For questions, consult additional training resources [here](#) (prepared by the Weatherization Assistance Program).
2. Register in the System for Award Management (SAM) at <https://sam.gov>. Applicants who are not registered with SAM should allow several weeks to complete this requirement. It is suggested that the process be started as soon as possible. **Prime awardees must update their SAM registration annually.** Please note, there are new requirements for registering in SAM. Entities registering in SAM must submit a notarized letter appointing their authorized Entity Administrator. Please see SAM website for updates, alerts, and FAQs. For questions, call 866-606-8220 or 334-206-7828.

NOTE: Due to the high demand of UEI requests and SAM registrations, entity legal business name and address validations are taking longer than expected to process. Entities should start the UEI and SAM registration process as soon as possible. If entities have technical difficulties with the UEI validation or SAM registration process, they should utilize the HELP feature on SAM.gov. SAM.gov will work entity service tickets in the order in which they are received and asks that entities not create multiple service tickets for the same request or technical issue. Additional entity validation resources can be found here: [GSAFSD Tier 0 Knowledge Base - Validating your Entity](#).

3. Register in FedConnect to receive and acknowledge your award at <https://www.fedconnect.net/>. See the Quick Start Guide at [https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect Ready Set Go.pdf](https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf). For additional questions, email support@fedconnect.net or call 1-800-899-6665.
4. Have a Login for the Performance and Accountability for Grants in Energy (PAGE) System at <https://www.page.energy.gov/> to submit your application. Tribe designated points of contact will receive follow-up information regarding the application process from DOE via email.

Tribes should contact their respective DOE Project Officer on Tribe-specific questions. A list of Project Officers with contact information will be made available at <https://www.energy.gov/scep/home-energy-rebate-programs-guidance>.

Electronic Signatures: Acknowledgement of award documents by the Grantee's authorized representative through electronic systems used by the Department of Energy, including FedConnect, constitutes the Grantee's acceptance of the terms and conditions of the award.

Acknowledgement via FedConnect by the Grantee’s authorized representative constitutes the Grantee's electronic signature.

IMPORTANT: The electronically signed Assistance Agreement with attached award documents distributed via FedConnect is the formal authorization and approval from the Contracting Officer. Grantees may not rely on PAGE as the formal authorization and approval. Award documents in the initial award and any modifications to the award must be reviewed and acknowledged by the Grantee in FedConnect.

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Part I Authority

Section 50122 of the Inflation Reduction Act (IRA) authorizes the Department of Energy to administer the Home Electrification and Appliance Rebates Program for Indian Tribes. Section 50122 provides that a portion of the federal financial assistance made available to a Tribe may be used for planning, administration, or technical assistance related to the Tribe’s home energy rebate program. Section 50122(c)(9) of the IRA provides that the grantee may not use more than 20% of the grant amount for planning, administration, or technical assistance.¹ The remainder of the funds must be used for rebates, statutorily required incentives, and costs directly attributable to delivery of the rebate and its associated project to eligible recipients. All Grant awards made under the Home Electrification and Appliance Rebates Program for Indian Tribes must comply with DOE and other federal regulations and procedures governing financial awards as outlined in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, **2 CFR Part 200** as amended by **2 CFR Part 910** and other procedures applicable to this regulation as DOE may, from time-to-time, prescribe for the administration of financial assistance.

¹ 42 U.S.C. 18795a(c)(9).

Part II Award Information

A. TYPE OF AWARD INSTRUMENT

DOE will award formula grants for this funding.

B. ESTIMATED FUNDING

Funding Level: A Tribe may request up to 100% of total allocated funding for Home Electrification and Appliance Rebates (IRA Section 50122). In the cases where the Tribal entity is in receipt of Home Efficiency Rebate funds (IRA Section 50121) redistributed from the state to perform work, the funds must be tracked and managed separately. The Tribal entity is responsible for ensuring that Home Electrification and Appliance Rebates funds and Home Efficiency Rebate funds are not commingled.

The Grantee shall administer DOE funds received under these grants in accordance with Federal rules and regulations and Tribal policies and procedures. The Grantee is to manage Federal Funds in a prudent, effective, and efficient manner to accomplish program objectives. Grantees shall take the necessary steps to ensure that funds are expended within the grant project period.

C. PERIOD OF PERFORMANCE AND FUNDING RELEASE SCHEDULE

DOE anticipates making awards that will run a maximum of 7 years in length, consisting of one budget period ending not later than September 30, 2031. DOE will evaluate project performance, project schedule adherence, the extent milestone objectives are met, compliance with reporting requirements as outlined in the Federal Assistance Reporting Checklist (FARC), and overall contribution to the program goals and objectives. Allocated funding will be released, pending DOE review and approval, at the following project milestones.

Table 1

Total Award Below \$500,000				
Tranche #	Portion of Awarded Grant Funds Released	Required Deliverable(s) or Milestone(s)	LI Target*	LI Minimum†
1	100% funds	Negotiated and Approved grant application		

Table 2

Total Award Between \$500,000 and \$3,000,000				
Tranche #	Portion of Awarded Grant Funds Released	Required Deliverable(s) or Milestone(s)	LI Target*	LI Minimum†
1	35% funds	Negotiated and Approved grant application		
2	65% funds (100% total)	Approved Program Launch; Approved Implementation Blueprint; Approved review of consumer protection plan; Completed review of implementation	80%	40%

Table 3

Total Award Exceeding \$3,000,000				
Tranche #	Portion of Awarded Grant Funds Released	Required Deliverable(s) or Milestone(s)	LI Target*	LI Minimum†
1	30% funds	Negotiated and Approved grant application		
2	50% funds (80% total)	Approved Program Launch; Approved Implementation Blueprint	50%	35%
3	20% funds (100% total)	Approved review of consumer protection plan; Completed review of program implementation	80%	60%

* Targets indicate DOE’s expected performance towards expending low-income (LI) allocations. Applicants should strive to achieve or exceed targets.

† Minimums must be met to receive next tranche of funds.

The awardee is required to notify DOE of its intent to continue the program 90 days prior to using the next tranche’s funding for DOE review and approval. An awardee, with an award greater than \$500,000, that is not meeting the LI targets must explain to DOE’s satisfaction as to how it will improve program performance to meet the next tranche’s targets. DOE approval is required in order to move to the next tranche and for funds to be released. As a result of this evaluation, DOE may, at its discretion, authorize the following actions:

- (1) continue to fund the project, contingent upon the availability of funds appropriated by Congress for the purpose of this program;
- (2) place a hold on federal funding for the project, pending further supporting data or funding; or

(3) discontinue funding the project because of insufficient progress, change in strategic direction, or lack of funding.

If routine data reviews demonstrate Grantee is not meeting the expected terms of program performance and administration, DOE reserves the right to put a hold on the funds the Grantee can draw down under the Automated Standard Application for Payments (ASAP) System.

Part III Eligibility Information

A. ELIGIBLE APPLICANTS

In accordance with the IRA Section 50122(a)(1)(B), this funding is only available to Indian Tribes (referred to throughout this ALRD as “Tribes”), whether applying for and administering the funds as an individual Tribe, a consortium of Tribes, or through a Tribally-authorized third-party agent.² No other entity types may be considered for this funding.

As defined in IRA Section 50122(d)(3), the term ‘Indian Tribe’ has the meaning given to the term in section 4 of the Indian Self-Determination and Education Assistance Act.³

For purposes of IRA Section 50122(a)(1)(B) program, a “Tribal Consortium” is two or more Indian Tribes that have designated a single Indian Tribe to act on their behalf as lead Indian Tribe of the Tribal Consortium. Indian Tribes that are eligible to participate in the Section 50122 Program may form a “Tribal Consortium.” (see Part III.D)

B. COST MATCHING

Cost match is not required for these awards.

C. PRE-APPLICATION STEP RECOMMENDED TIMELINE MAY 15, 2024: LETTER OF INTENT TO APPLY

As the first step, if interested in applying for these funds, Indian Tribes are asked to submit a Letter of Intent to Apply (example provided in **Appendix C of the Program Requirements and Application Guidelines document**), indicating its intent to apply for these funds and whether they intend to apply individually or as a Tribal Consortium, identifying the lead and member Tribes.

The Letter of Intent to Apply must be attached with a signed Head of Government Letter or Tribal Council Resolution as described immediately below in Part III.D.

The Letter with the attachment is recommended to be submitted to DOE via email to **IRAHomeRebates@hq.doe.gov** on or before May 15, 2024.

Tribes are not required to submit a letter of intent before submitting an application by the May 31, 2025, deadline. Tribes may decide to change whether they intend to apply individually or as a consortium after submitting a Letter; in such an event, DOE asks that a revised Letter be submitted. Non-submission of a letter of intent will not affect a Tribe’s ability to apply for an award.

² See 42 U.S.C. 18795a(a)(1)(B).

³ See 42 U.S.C. 18795a(d)(3), referencing 25 U.S.C. 5304(e).

The Letter is NOT the application, and the full application must be submitted via the PAGE online system by May 31, 2025, at <https://www.page.energy.gov/default.aspx>.

D. HEAD OF GOVERNMENT LETTER OR TRIBAL COUNCIL RESOLUTION

As a part of the full application, and separate and distinct from the Letter of Intent to Apply in Part III.C, applicants, whether applying individually or as a consortium, shall provide a “Head of Government Letter”, “Tribal Council Resolution” or other instrument of appointment by the Indian Tribe’s legally authorized entity and consistent with the Indian Tribe’s laws or customs, documenting their appointment as the sole entity within the Indian Tribe to apply for, receive, and administer the award as authorized by IRA Section 50122 and as described in this ALRD.

For Tribal Consortium applications ONLY: The consortium application package must include the following:

- “Tribal Council Resolution” or “Head of Government Letter” from each participating Indian Tribe designating the lead Indian Tribe to act on its behalf as lead Indian Tribe of the Tribal Consortium and receive their allocations; and
- “Tribal Council Resolution” or “Head of Government Letter” accepting the DE-FOA/ALRD-81.041 designation as the lead Indian Tribe for the Tribal Consortium. The letter should state that the lead Indian Tribe will apply for grant funding and administer the grant on behalf of all participating consortium Indian Tribes.

E. AUTHORIZATION OF THIRD-PARTY AGENT

An eligible Indian Tribe or a Tribal Consortium may authorize a third-party agent to prepare the grant application, submit the application, and manage the grant funds. If authorized by the Indian Tribe or Tribal Consortium, third-party agents may draw funds from the Automated Standard Application for Payments (ASAP) system, and deposit them into the designated bank account as needed to pay for allowable costs. The third-party agent may also submit the required reporting for the eligible Indian Tribe or Tribal Consortium pursuant to the FARC for the award. However, only the eligible Indian Tribe or the lead Indian Tribe of the Tribal Consortium may be the awardee. The eligible Indian Tribe and/or the lead Indian Tribe of the Tribal Consortium, as applicable, will ultimately be responsible for satisfying all grant requirements. **DOE will not be reviewing Consortium allocations to each participating Tribe. Tribes will need to independently track received benefits.** The application must be submitted in the name of the eligible Indian Tribe (or lead Indian Tribe if using a Tribal Consortium) and use the eligible Indian Tribe’s (or lead Indian Tribe’s) Unique Entity Identifier (UEI) in FedConnect. Reimbursements for allowable expenses under the grant may be paid directly to an awardee eligible Indian Tribe, an awardee lead Indian Tribe, or third-party agent if authorized by the Indian Tribe. However, the statutory limit of twenty percent of the grant allocation used for administrative costs still applies, whether the costs are incurred directly by the eligible Indian Tribe, the lead Indian Tribe, or by the third-party agent.⁴

⁴ See 42 U.S.C. 18795a(c)(9).

Part IV Application and Submission Information

A. CONTENT AND FORM OF APPLICATION

The application must be submitted via the PAGE online system at <https://www.page.energy.gov/default.aspx>. It is the responsibility of the Grantee to verify successful transmission. DOE reserves the right to request additional or clarifying information for any reason deemed necessary. Applications will be reviewed for consistency with the program objectives. Please note that application package requirements outside of PAGE shall be submitted as attachments to the SF-424 Application. See Part VIII for application requirements.

For program requirements and funding allocations, please refer to [the Program Requirements and Application Guidelines document](#).

B. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) COMPLIANCE

DOE's decision whether and how to distribute Federal funds is subject to the National Environmental Policy Act (42 U.S.C. 4321, et seq.). NEPA requires Federal agencies to integrate environmental values into their decision-making processes by considering the potential environmental impacts of their proposed actions.

Part V Award Administration Information

A. AWARD DOCUMENTS

An Assistance Agreement issued by the Contracting Officer is the authorizing award document. The Assistance Agreement normally includes, either as an attachment or by reference: (1) Special Terms and Conditions; (2) Application package as approved by DOE (Budget, Planned Activities, etc.); (3) DOE assistance regulations at [2 CFR Part 200](#) as amended by [2 CFR Part 910](#); (4) National Policy Assurances To Be Incorporated As Award Terms; (5) Intellectual Property Provisions; (6) Federal Assistance Reporting Checklist, which identifies the Reporting Requirements; and (7) National Environmental Policy Act (NEPA) Determination. These documents are sent to the Recipient via FedConnect.

B. FUNDING RESTRICTIONS

Costs must be allowable, allocable, and reasonable in accordance with the applicable Federal cost principles referenced in 2 CFR 200. The cost principles for commercial organizations are in Federal Acquisition Regulation (FAR) Part 31. (Under [2 CFR Part 200](#) as amended by [2 CFR Part 910](#) regulations, the cost principles are contained in Subpart E-Cost Principles within [2 CFR Part 200](#).)

Rebates issued under these awards are not federal public benefits.

C. MONITORING AND REPORTING

Tribes must comply with DOE and other federal regulations and procedures governing financial awards as outlined in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200 as amended by 2 CFR Part 910. Federal regulations require DOE to monitor each grant recipient and grantees for each project, program,

sub-recipient, function, or initiative supported by federal funds to ensure compliance with all federal regulations.

The goal of grant monitoring is to maximize the effectiveness of awards, to confirm compliance with applicable federal and state regulations, and to ensure awards are on schedule and on budget. Monitoring also provides an opportunity for DOE to communicate with Tribes and Tribes with sub-recipients to provide assistance to help achieve our mutual energy goals. DOE will issue grant monitoring procedures in the near future.

Reporting requirements are identified on the Federal Assistance Reporting Checklist (FARC), attached to the award agreement.

D. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Requirements

- The administrative requirements for DOE grant awards are contained in:
 - **2 CFR Part 200** as amended by **2 CFR Part 910**
 - **2 CFR Part 25** - Universal Identifier and Central Contractor Registration
 - **2 CFR Part 170** - Reporting Subaward and Executive Compensation Information to comply with the Federal Funding and Transparency Act of 2006 (FFATA). Additional information regarding FFATA is found at **<https://www.fsr.gov>**.
- The Electronic Code of Federal Regulations is found at **www.ecfr.gov**.

2. National Policy Requirements

The National Policy Assurances to be incorporated as Award Terms are located at **<https://www.energy.gov/management/financial-assistance-forms-and-information-applicants-and-recipients>**.

Intellectual Property Provisions. The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at **<http://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>**.

3. Environmental Review in Accordance with National Environmental Policy Act (NEPA)

DOE's decision whether and how to distribute Federal funds is subject to the National Environmental Policy Act (42 U.S.C. 4321, et seq.). NEPA requires Federal agencies to integrate environmental values into their decision-making processes by considering the potential environmental impacts of their proposed actions.

4. The Justice40 Initiative

This program advances the goals of the Justice40 Initiative, the details of which can be found here: **<https://www.whitehouse.gov/environmentaljustice/justice40/>**

Part VI Questions/Agency Contacts

A. QUESTIONS

Questions and comments concerning this document shall be submitted not later than 10 calendar days prior to the application due date. Questions submitted after that date may not allow sufficient time to respond. All questions regarding this announcement must be submitted to the contact identified below. Questions regarding the specific application submission must be submitted to the Project Officer for your Organization. For questions regarding DOE Project Officer Assignments, please contact Mary Hubbard at the email address below.

B. AGENCY CONTACT

Name: Mary Hubbard, DOE Monitoring and Delivery Supervisor

E-Mail: mary.hubbard@hq.doe.gov

Part VII Other Information

A. INTERGOVERNMENTAL REVIEW

This program is NOT subject to **Executive Order 12372** (Intergovernmental Review of Federal Programs) and the regulations at **10 CFR Part 1005**.

B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE

DOE reserves the right, without qualification, to reject any or all applications received in response to this ALRD and to select any application, in whole or in part, as a basis for negotiation and/or award.

C. COMMITMENT OF PUBLIC FUNDS

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by someone other than the Contracting Officer, either explicit or implied, is invalid.

D. LOBBYING RESTRICTIONS

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

E. EXPENDITURE RESTRICTIONS

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to support or oppose union organizing.

F. MODIFICATIONS

Modifications to this Administrative and Legal Requirements Document will be processed and disseminated via email and posting on <https://www.energy.gov/scep/tribal-home-electrification-and-appliance-rebates>.

G. PROPRIETARY APPLICATION INFORMATION

DOE will use data and other information contained in applications strictly for evaluation purposes. Applicants should not include confidential, proprietary, or privileged information in their applications unless such information is necessary to convey an understanding of the proposed project.

Applications containing confidential, proprietary, or privileged information must be marked as described below. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under the Freedom of Information Act (FOIA) or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose.

The cover sheet of the application must be marked as follows and identify the specific pages containing confidential, proprietary, or privileged information:

Notice of Restriction on Disclosure and Use of Data: Pages [list applicable pages] of this document may contain trade secrets or commercial or financial information that is privileged or confidential, and is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan agreement between the submitter and the Government. The Government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source.
[End of Notice]

The header and footer of every page that contains trade secrets or commercial or financial information that is privileged must be marked as follows: "May contain trade secrets or commercial or financial information that is privileged or confidential and exempt from public disclosure."

In addition, each line or paragraph containing trade secrets or commercial or financial information that is privileged or confidential must be enclosed in brackets.

The above markings enable DOE to follow the provisions of **10 CFR 1004.11(d)** in the event a FOIA request is received for information submitted with an application. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under a FOIA request or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose.

Please be aware that all information provided to DOE (including confidential proprietary or confidential commercial information) is subject to public release under the Freedom of Information Act. (5 U.S.C. § 552(a)(3)(A)(2006), amended by OPEN Government Act of 2007, Pub. L. No. 110175, 121 Stat. 2524). When a FOIA request covers information submitted to DOE by an applicant, and the cognizant DOE FOIA Officer cannot make an independent determination regarding the public releasability of this information, the cognizant DOE FOIA Officer will contact

the submitter and ask for comment regarding the redaction of information under one or more of the nine FOIA exemptions. However, the cognizant DOE FOIA Officer will make the final decision regarding FOIA redactions. Submitters are given a minimum of 7 days to provide redaction comments and if DOE disagrees with the submitter's comment, DOE will notify the submitter of the intended public release no less than seven (7) days prior to the public disclosure of the information in question." (**10 CFR § 1004.11**).

H. PROTECTED PERSONALLY IDENTIFIABLE INFORMATION

In responding to this ALRD, Applicants must ensure that Protected Personally Identifiable Information (PII) is not included in the application documents. PII is defined by the Office of Management and Budget (OMB) and DOE as:

Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual.

This definition of PII can be further defined as: (1) Public PII and (2) Protected PII.

Public PII: PII found in public sources such as telephone books, public websites, business cards, university listing, etc. Public PII includes first and last name, address, work telephone number, email address, home telephone number, and general education credentials.

Protected PII: PII that requires enhanced protection. This information includes data that if compromised could cause harm to an individual such as identity theft.

Listed below are examples of Protected PII that Applicants must not include in their application.

- Social Security Numbers in any form
- Place of Birth associated with an individual
- Date of Birth associated with an individual
- Mother's maiden name associated with an individual
- Biometric record associated with an individual
- Fingerprint
- Iris scan
- DNA
- Medical history information associated with an individual
- Medical conditions, including history of disease
- Metric information, e.g., weight, height, blood pressure
- Criminal history associated with an individual
- Employment history and other employment information associated with an individual

- Ratings
- Disciplinary actions
- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal
- Financial information associated with an individual
- Credit card numbers
- Bank account numbers
- Security clearance history or related information (not including actual clearances held)

Part VIII Submitting an Application

A. ALRD RESPONSE

Indian Tribes interested in applying for the allocation of Section 50122 funds are required to submit an application in PAGE as described in Part IV of this document. For any issues with the PAGE system at the time of submission, please contact the assigned Project Officer or DOE via email at IRAHomeRebates@hq.doe.gov for further instruction.

B. APPLICATION OVERVIEW

Each application package will consist of:

- Completed SF424
- Completed SF424A
- Completed Planned Activities
- Completed narrative document addressing the application requirements found in the Program Requirements and Application Guidelines document
- Completed Application Checklist
- Completed pre-award information sheet
- Completed budget justification workbook detailing how requested funds will be spent

Tribes are allowed to request up to the total funding from each formula allocation of Section 50122 under this ALRD. DOE will provide technical assistance to the Tribes on completing an application package including required forms. Tribes that would like to receive assistance can notify DOE by email to IRAHomeRebates@hq.doe.gov or by checking the appropriate box on the Letter of Intent to Apply, or via a phone number that DOE will provide in the near future.

DOE is committed to supporting Tribes in designing and implementing successful rebate programs to benefit their members. To support Indian Tribes, DOE will provide the following resources and support in early 2024:

- Technical assistance (via telephone calls, video meetings, etc.) in completing and submitting applications
- A sample application that Indian Tribes can use as a guide to complete their application, including the narrative section and the budget justification workbook
- Technical assistance in designing programs that fulfill these requirements
- For rebate processing and tracking, a centralized system that Indian Tribes (and their program implementers) can use **or modify**, if applicable and they so choose, to facilitate these processes as well as reporting

Additional supporting documents will be made available at [Tribal Home Electrification and Appliance Rebates | Department of Energy](#).

C. STANDARD FORM 424

A completed and signed Standard Form 424 (SF424) containing current information must be submitted. Please ensure all sections have been updated to reflect any changes, including changes to the person to be contacted on matters involving the application and the authorized representative.

- Section 2 of this Form asks for Tribes to select the type of application. All Tribes should mark "New".
- Section 18 of this form should reflect only the new funds being requested.

The list of certifications and assurances referenced in Field 21 may be found [here](#).

Once **the SF424 is completed**, add an attachment to the document with the name, title, phone number and email address for both the Principal Investigator and the Business Officer. The Principal Investigator and the Business Officer may be the same person. The Principal Investigator and the Business Officer must be from the Indian Tribe or lead Indian Tribe applying for rebate funds, and these roles may not be performed by an authorized third-party agent. **The information on this document must be re-validated every year.**

D. STANDARD FORM 424A

Standard Form 424A should match the Standard Form 424 and the Budget Justification Workbook. Each of these items should be completed following the guidelines set out below.

- D.1. Standard Form 424A: Applications must include a budget for the total federal funds requested. It should be completed as follows:
- Section A: Budget Summary Lines 1-4, Columns (a) through (g). On line 1, enter the amount of total DOE funds requested. Only columns a, b, e, and g should have data. There should be no other entries listed.
 - Section B: Budget Categories. There should only be one column for the federal funding source. The total in column g, Section A, must equal the total of all columns in Section B.

D.2. Budget Justification: The Budget Justification consists of an explanation of the object class categories listed in line 6, Section B, of Standard Form 424A. In preparing the Budget Justification, the Tribes should address the following as requested for each budget category.

- **Planning**: Identify all activities related to the planning and preparation of the Home Electrification and Appliance Rebates program by activity title and estimated costs.
- **Administration**: Identify all staff positions to be supported by title and the amounts of time (e.g., % of time) to be expended on development of the Home Electrification and Appliance Rebates program, the base pay rate, and the total direct personnel compensation. Personnel must be direct costs to the project and not duplicative of personnel costs included in the indirect pool that is the basis of any indirect rate applied for this project.
- **Technical Assistance**: Identify all activities related to technical assistance to develop the Home Electrification and Appliance Rebates program. Provide a brief description of the TA and the estimated cost of the activity.
- **Fringe Benefits**: If fringe cost rates are approved by a federal agency, identify the agency and date of latest rate agreement, and include a copy of the rate agreement with the application. If fringe cost rates are not approved by a federal agency, explain how total fringe benefit costs were calculated. Your calculations should identify all rates used along with the base they were applied to (and how the base was derived), and a total for each (along with the grand total). If there is an established computation methodology approved for Tribal use, provide a copy with the SF424 Application.
- **Contractual**: Any authorized third-party agents, including sub-recipients, vendors, contractors and consultants, and their estimated costs should be identified as they are expected to support planning, administration and/or technical assistance tasks. Additionally, any authorized third-party agents, including sub-recipients, vendors, contractors and consultants, and their estimated costs should be identified if they are expected to execute the rebates program on behalf of the prime grantee Use "TBD" ("To Be Determined") if the entity is unknown. Provide a brief description of the work to be performed or the service to be provided and reference the individual market title the work or service falls under. Include the basis of cost for each item listed (competitive, historical, quote, catalog, etc.).
- **Other Direct Costs**: The total rebate budget planned to be executed should be included here in addition to any other appropriate other direct costs for the program.

E. PLANNED ACTIVITIES

The Planned Activities tab in PAGE must be completed as part of the application. Applicants who are awarded more than \$500,000 are required to estimate, to the best of their ability, key metrics they plan to achieve as part of their Tranche 1 funding. As the award progresses, this section will be updated to reflect additional planned targets the grantee expects to achieve for each Tranche.

F. NARRATIVE ELEMENT

An application must describe how the application addresses the requirements in the Program Requirements and Application Guidelines document. DOE will publish a sample application in 2024 to help applicants write this narrative.

G. APPLICATION CHECKLIST

A completed application checklist is required. A template will be made available in early 2024 with instructions on how to complete the document.

H. BUDGET JUSTIFICATION WORKBOOK

A completed budget justification workbook is required. A template will be made available in early 2024 with instructions for how to complete the document. These budgets should match the total DOE requested funds from the Standard Form 424A and Standard Form 424.

Applicants must complete each tab of the Budget Justification Workbook for the project, including all work to be performed by the prime recipient and its subrecipients and contractors. Tribes that would like to receive assistance can notify DOE by email to IRAHomeRebates@hq.doe.gov or by checking the appropriate box on the Letter of Intent to Apply. Applicants should include costs associated with implementing the program requirements and with required annual audits and incurred cost proposals in their proposed budget documents. Such costs may be reimbursed as a direct or indirect cost. The “Instructions and Summary” tab included with the Budget Justification Workbook will auto-populate as the applicant enters information into the Workbook. Applicants must carefully read the “Instructions and Summary” tab provided within the Budget Justification Workbook.

Applicants must also provide a separate budget justification workbook for each subgrantee that is expected to perform work estimated to be more than \$500,000.

I. OTHER FORMS AS APPLICABLE

Please refer to the Requirements document for any additional forms that may be required as part of the application package.

Part IX Reference Material

Home Electrification and Appliance Rebates Program for Indian Tribes Program Requirements and Application Instructions: <https://www.energy.gov/scep/articles/home-electrification-and-appliance-rebates-program-indian-tribes-program-requirements>

Federal Programs Approved for Categorical Eligibility:
<https://www.energy.gov/scep/articles/ira-50121-50122-home-energy-rebates-categorical-eligibility-list>