



Home Energy Rebates (IRA Sections 50121 and 50122): ALRD Application Checklist

June 2024

VERSION 2

Published on June 27, 2024

Modification Note: This version updates text in accordance with the Version 2 modifications of the [Program Requirements & Application Instructions](#). This version makes clerical fixes, including reference corrections. Changes are highlighted in the text in **yellow**.

Instructions:

This is an optional document that is not required by the ALRD. A State may use this checklist to identify which application requirements are submitted in their ALRD 2 State Application.

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

Table Navigation Links:

- [Home Efficiency Rebates State Programs \(50121\)](#)
 - [Use of Funds and Rebate Eligibility](#)
 - [Consumer Experience](#)
 - [Maximizing Rebate Impact](#)
- [Home Electrification and Appliance Rebates State Programs \(50122\)](#)
 - [Use of Funds and Rebate Eligibility](#)
 - [Consumer Experience](#)
 - [Maximizing Rebate Impact](#)

Is this application for a Quick Start Program?

- Yes
 No

Note: For Quick Start applications, all application requirements must be included in the application.



When do you plan to launch the Rebates Program?

--

Required Plans Checklist

Required Plan	Date of Planned Submission
Utility Data Access Plan (50121 only)	
Education and Outreach Strategy	
Consumer Protection Plan	
Market Transformation Plan	
Community Benefits Plan	
Privacy and Security Risk Assessment	

Additional Application Package Checklist

Required Application Documents	Status
Standard Form 424	<input type="checkbox"/> Completed in PAGE
Standard Form 424A	<input type="checkbox"/> Completed in PAGE
Planned Activities	<input type="checkbox"/> Completed in PAGE
Budget Justification Workbook	<input type="checkbox"/> Uploaded to PAGE
Pre-Award Information Sheet	<input type="checkbox"/> Uploaded to PAGE
Narrative Document	<input type="checkbox"/> Uploaded to PAGE
Data and Tools Requirements 50121 Rebates: Pre-Launch Information Requirements	<input type="checkbox"/> Submitted to PO via email
Data and Tools Requirements 50122 Rebates: Pre-Launch Information Requirements	<input type="checkbox"/> Submitted to PO via email
If applicable, Other Forms (list below)	
	<input type="checkbox"/> Uploaded to PAGE
	<input type="checkbox"/> Uploaded to PAGE
	<input type="checkbox"/> Uploaded to PAGE

Table 1. Home Efficiency Rebates State Programs (50121)

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
Use of Funds and Rebate Eligibility				
3.1.1	1	Identify the specific types of allowable costs the state proposes within 1) administrative funds and 2) rebate funds. Provide an estimate of the total amount of administrative funds to be expended annually and the estimated annual project-related costs as a portion of the total rebate funds.		<input type="checkbox"/>
3.1.1	2	If states are requesting additional funds for project-related activities, describe and justify each activity and associated budget in the budget justification worksheet DOE will review and determine if allowable.		<input type="checkbox"/>
3.1.1	3	Describe how the state will manage and ensure that rebate minimums and administrative maximums are adhered to over the duration of the program.		<input type="checkbox"/>
3.1.1	4	Confirm that the state will have a process for handling returns of rebated items as applicable in the Consumer Protection Plan.		<input checked="" type="checkbox"/>
3.1.2	5	Identify the maximum rebate amounts that will be offered within the allowances of the Home Efficiency Rebates requirements.		<input type="checkbox"/>
3.1.2	6	Identify the allowable project costs for determining rebate levels when based on project cost.	<input type="checkbox"/>	
3.1.2	7	List the documentation requirements related to project costs from homeowners, contractors, and/or aggregators.	<input type="checkbox"/>	
3.1.2	8	Describe how homeowners and multifamily building owners will be informed of additional program funding available from non-federal funds and grants.	<input type="checkbox"/>	
3.1.2	9	Identify the date after which upgrade projects must be completed for the	<input type="checkbox"/>	

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
		purposes of being eligible for a rebate under the state program.		
3.1.2	10	Identify whether, for low-income multifamily buildings, the state will calculate the “per dwelling unit” rebate amount (a) at the less than 80% AMI amount for all units or (b) based on the ratio of LMI to non-LMI units.		<input type="checkbox"/>
3.1.2	11	Describe how the state plans to value energy savings based on time, location, or greenhouse gas emissions. The application must demonstrate a strategy for either prioritizing, or requiring in program rules: <ul style="list-style-type: none"> • Retrofits that will have a disproportionate benefit based on the time or location of energy savings; or • A targeted approach to prioritize reduction in greenhouse gas emissions. Valuing savings as part of this plan does not replace or count towards the requirements to demonstrate a minimum percentage energy savings for the household on a modeled or measured basis.	<input type="checkbox"/>	
3.1.2	12	Describe how the state plans to ensure and verify ENERGY STAR certification at the time of installation for heating, cooling, and water heating products.	<input type="checkbox"/>	
3.1.2	13	Indicate whether the state requests authorization to offer higher rebate amounts than those listed in Tables 2 and 3 for low-income households. If requested: <ul style="list-style-type: none"> • Describe the state approach for balancing higher rebate amounts (serving fewer households) with the required allocation to serve low-income households. • Propose the maximum rebate amount that would be available to low-income households both in 		<input type="checkbox"/>

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
		<p>terms of percentage of project cost and dollar amount for low-income households that:</p> <ul style="list-style-type: none"> ○ Receive an energy upgrade that is modeled to save at least 20% of energy. ○ Receive an energy upgrade that is modeled to save at least 35% of energy. 		
3.1.2	14	Provide details on what portion(s) of the total rebate will be provided to the homeowner/building owner compared with the contractor/aggregator. Describe what caps the state will place on contractor/aggregators in terms of savings exceeding the amount associated with the rebate provided to the homeowner (e.g., allowable percentage above the rebate provided to homeowner).	<input type="checkbox"/>	
3.1.2	15	Describe what systems will be put into place to reserve funds for each measured project, given the need to remit payment to the contractor/aggregator after 9-12 months of usage data post-energy upgrade is available.	<input type="checkbox"/>	
3.1.2	16	For the measured program path, describe how the state will calculate rebate levels based on average home energy usage in the state. ¹	<input type="checkbox"/>	
3.1.2	17	For the measured program path, describe the timeframe within which the state will provide rebates to eligible rebate recipients.	<input type="checkbox"/>	
3.1.3	18	Identify the portion of the rebate funds the state will reserve for low-income households and multifamily households.		<input type="checkbox"/>

¹ Per statute, the measured energy saving of the home or portfolio of homes must achieve 15% savings, but the calculation of the rebate is based on a 20% reduction of average energy use of a home in the state.

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
3.1.3	19	Describe how the state will define household income for verification purposes. (e.g., using prior year income).		<input type="checkbox"/>
3.1.3	20	For single-family households, how will claimants be able to establish their household income for income qualifications? States may select from the following options: (1) Documentation of household income (e.g., 1040) (2) Documentation of enrollment in a pre-qualifying program (3) Self-attestation of either income level or enrollment in a pre-qualifying program		<input type="checkbox"/>
3.1.3	21	For multifamily buildings, describe what combination of methods will be used to verify that at least 50% of dwelling units consist of households with incomes less than 80% AMI.	<input type="checkbox"/>	
3.1.3	22	Confirm: <ul style="list-style-type: none"> Claimant will be required to note the number of individuals who occupy the dwelling unit. Claimant will be required to sign a statement affidavit attesting to the validity of all information provided (e.g., enrollment documents, household income, number of full-time occupants) irrespective of the method of income qualification (e.g., categorical eligibility, self-attestation). State's intake system for users to provide income information will compare household income to 80% AMI values associated with that household's county and household size to determine rebate levels prior to signing statements regarding their income. 		<input type="checkbox"/>
3.1.3	23	Describe how the 80% AMI levels for each location will be kept up to date (use DOE-provided API, other) and linked to DOE systems. Confirm that these levels will	<input type="checkbox"/>	

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
		correspond to (a) the address of the home at which rebates will be applied and (b) the applicable number of household occupants.		
3.1.3	24	<p>Confirm that the state will:</p> <p>(1) review information provided to support income eligibility for all applicants applying for higher income-based rebate levels;</p> <p>(2) 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 IVES or other methods as applicable; calls to employers);</p> <p>(3) after six months and not longer than one year after program launch, report to DOE the percentage and number of applicants that received rebates but were subsequently found to not meet eligibility requirements; and</p> <p>(4) work with the state’s DOE Project Officer to institute additional safeguards or determine if a lesser level of review for applicants using self-attestation is justified depending on the percentage/number of rebates issued without meeting eligibility requirements.</p> <p>A state may propose in its application the types of information that it will provide to DOE to warrant reducing this requirement (e.g., allowing implementers to verify income of a subset of claimants through random sampling).</p>		<input type="checkbox"/>
3.1.3	25	Provide additional information as needed to demonstrate that the proposed approaches for income verification will address all types of households; not create undue burden for claimants; and include safeguards to minimize error and abuse in the process of verifying income.		<input type="checkbox"/>
3.1.3	26	Describe how the state will verify (confirm legitimacy) of income information for all	<input type="checkbox"/>	

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
		claimants (e.g., verification within two days through IRS, cross-check with enrollment databases of approved programs, calls to employers). A state may propose in its application the types of information that it will provide to DOE to warrant reducing this requirement (e.g., allowing implementers to verify income of a subset of claimants through random sampling).		
3.1.3	27	Identify how the state will resolve instances when rebates are provided to those who have falsified their incomes.	<input type="checkbox"/>	
3.1.3	28	<p>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.</p> <p>Additional topics to address include:</p> <ul style="list-style-type: none"> • 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 are made. 	<input type="checkbox"/>	
3.1.3	29	Describe how the state program will verify applicant information provided to substantiate income eligibility, including systems that will be used to verify, where applicable, that at least one member of a household has been enrolled in a program included within the Federal Programs Approved for Categorical Eligibility document or other state-proposed approved by DOE within the prior 12 months.	<input type="checkbox"/>	

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
3.1.3	30	Identify the federal or other programs by which the state plans to allow categorical eligibility.		<input type="checkbox"/>
3.1.3	31	If applicable, propose any additional federal or other programs to be considered for categorical eligibility. For any programs not already approved, describe how the program's eligibility aligns with the Section 50121 income requirements.	<input type="checkbox"/>	
3.1.3	32	Identify whether the state 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). If so, explain the state's proposal and describe the rationale.	<input type="checkbox"/>	
3.1.3	33	Identify whether the state requests authorization to allow categorical eligibility for a program in a way that is not consistent with the "level of categorical eligibility" listed in the document Federal Programs Approved for Categorical Eligibility . For each deviation requested, propose, and provide documentation to justify the requested change. Documentation must demonstrate that the state imposes income requirements equivalent to or less than 80% AMI.	<input type="checkbox"/>	
3.1.3	34	Provide a brief description of the procedures and penalties the state will provide to ensure that renters are not subject to unjustified rent increases.		<input type="checkbox"/>
3.1.3	35	Explain how the state will identify eligible contractors or aggregators and what tools will be used to pay the \$200 disadvantaged community incentive.	<input type="checkbox"/>	
3.1.4	36	Describe how the state program will define a disadvantaged community. If not using the default disadvantaged community definition (low-income households located in a disadvantaged		<input type="checkbox"/>

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
		<p>community identified by the CEJST), a state must explain how the proposed definition will meet the following three criteria as described in DOE Justice40 implementation guidance:²</p> <ul style="list-style-type: none"> • The communities of concern identified by the state tool or definition must conform to the definition of communities established in OMB guidance: <ul style="list-style-type: none"> ○ a group of individuals living in geographic proximity to one another that experiences common conditions. ○ a geographically dispersed set of individuals (such as migrant workers or Native Americans) that experiences common conditions. • The state tool or definition must consider two or more of the following indicators when identifying communities that should be classified as disadvantaged for the purposes of directing Federal investments under Justice40: <ul style="list-style-type: none"> ○ Low income, high and/or persistent poverty ○ High unemployment and underemployment ○ Racial and ethnic residential segregation, particularly where the segregation stems from discrimination by government entities ○ Linguistic isolation ○ High housing cost burden and substandard housing ○ Distressed neighborhoods 		

² See pages 8-9 of <https://www.energy.gov/sites/default/files/2022-07/Final%20DOE%20Justice40%20General%20Guidance%20072522.pdf> for more details.

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
		<ul style="list-style-type: none"> ○ High transportation cost burden and/or low transportation access ○ Disproportionate environmental stressor burden and high cumulative impacts ○ Limited water and sanitation access and affordability ○ Disproportionate impacts from climate change ○ High energy cost burden and low energy access ○ Jobs lost through the energy transition ○ Access to healthcare ● The communities of concern identified by the state tool or definition must be currently mapped in software or must be easily overlaid in GIS so that communities can be easily identified. 		
3.1.5	37	Describe what types of systems will be put into place to allow effective processing of rebates.	<input type="checkbox"/>	
3.1.5	38	Describe how the state will ensure processing of rebates within required timeframes (e.g., through a processing company, through program implementers, or other entities or methods). Include information on corrective actions that the state will implement in the event of lengthier processing times.	<input type="checkbox"/>	
3.1.5	39	Describe how the proposed processing system will be integrated with a system for processing rebates under Section 50122. Note if the state plans to use separate systems.	<input type="checkbox"/>	
3.1.5	40	If the state does NOT intend to use a federally provided web-based tool to determine whether a home is in a disadvantaged community, confirm that the state will provide the ZIP codes or a preferred more granular geography (e.g., census tract) with all disadvantaged		<input type="checkbox"/>

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
		communities as defined by the state to the DOE system.		
3.1.5	41	Confirm that the system will link to federally provided systems via API.		<input type="checkbox"/>
3.1.6	42	Certify that the state will submit a Privacy and Security Risk Assessment in the State Implementation Blueprint.		<input type="checkbox"/>
3.1.6	43	Explain how data will be protected, specifically addressing security measures and privacy measures.	<input type="checkbox"/>	
3.1.6	44	Include documentation of the processes to monitor, identify, and address security and privacy threats.	<input type="checkbox"/>	
3.1.6	45	Confirm that the state will require billing data release and describe how the state will gain access to billing data for program requirements and program evaluation.	<input type="checkbox"/>	
3.1.6	46	Confirm that the state will collect required data and cooperate in program evaluation processes as listed in Section 3.1.6.3.		<input type="checkbox"/>
3.1.6	47	<p>Confirm if the state is planning to conduct its own evaluation, and if so, what type(s) of evaluations. If the state plans to conduct evaluations on its programs, confirm that the state will:</p> <ul style="list-style-type: none"> • Cooperate with DOE to meet all the requirements listed in Section 3.1.6.3. • Submit an evaluation plan for DOE review within three months of program launch. • Provide results to DOE. 		<input type="checkbox"/>
3.1.6	48	If the state plans to conduct evaluations on its programs, describe the evaluation objectives, high level work plan, and timing of the evaluations and whether the state would request to be excluded from DOE-led evaluations.	<input type="checkbox"/>	

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
Consumer Experience				
3.2.1	49	Confirm that the state will develop and submit an Education and Outreach Strategy consistent with Section 3.2.1.	<input type="checkbox"/>	
3.2.2	50	Describe the processes and procedures for conducting home assessments that meet program requirements.	<input type="checkbox"/>	
3.2.2	51	Describe how home assessment data and results will be verified for accuracy.	<input type="checkbox"/>	
3.2.2	52	Describe what processes will be put in place for home assessments for multifamily buildings, including for energy used by common areas.	<input type="checkbox"/>	
3.2.3	53	Confirm that the state will develop and submit a Utility Data Access Plan consistent with the program requirements in Section 3.2.3.	<input type="checkbox"/>	
3.2.4	54	Confirm if the state will implement the modeled path, measured path, or both.		<input type="checkbox"/>
3.2.4.1	55	Identify what factor the state will use to calculate kWh equivalent, consistent with Section 3.2.4.1.	<input type="checkbox"/>	
3.2.4.1	56	Describe the energy savings objectives and overall approach for estimating energy savings for the modeled program path (if applicable).		<input type="checkbox"/>
3.2.4.1	57	Identify which upgrades may be included in the modeled savings estimate, including at least one major upgrade as defined in Section 2.1, including a brief description of if the state will or will not require the installation of envelope prior to other upgrades (if applicable).	<input type="checkbox"/>	
3.2.4.1	58	Identify which modeling tools the state proposes to authorize for its program. Identify whether any proposed tools have not yet received DOE approval (if applicable).	<input type="checkbox"/>	
3.2.4.1	59	Describe how the state will monitor the energy savings reliability of models and	<input type="checkbox"/>	

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
		tools for the modeled program path (if applicable).		
3.2.4.1	60	<p>If the state plans to allow modeling for homes for which BPI-2400 is not applicable or that are not eligible for BPI-2400, request alternative modeled path(s) by:</p> <ul style="list-style-type: none"> • Detailing for which exceptions the state plans to apply the alternative approach (e.g., multifamily, lack of delivered fuel bills, etc.) • Providing a detailed description of the method(s) that the state will use to estimate energy savings for each exception and how the state will ensure consistency between the alternative method and the results of BPI-2400 such as a realization rate adjustment to be used in reported savings estimates. • Commit to carrying out evaluations upon thresholds listed in Section 3.2.4.1. • Describe how the state will use any evaluation results or new information to update and adjust its alternate savings modeling method. 	<input type="checkbox"/>	
3.2.4.1	61	For multifamily, describe the methods used for modeling energy savings for multifamily buildings, including energy used in common areas (if applicable).	<input type="checkbox"/>	
3.2.4.2	62	Describe the energy savings objectives and overall approach for estimating and measuring energy savings at the home and portfolio of homes (if applicable).		<input type="checkbox"/>
3.2.4.2	63	Identify what factor the state will use to calculate kWh equivalent, consistent with Section 3.2.4.2.	<input type="checkbox"/>	
3.2.4.2	64	Identify what open-source advanced M&V software(s) the state requests to use and confirm that each meets program requirements for the measured path (if applicable).	<input type="checkbox"/>	

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
3.2.4.2	65	Describe how the state will monitor and ensure that aggregator portfolios meet the program requirements and minimum savings thresholds for the measured program path (if applicable).	<input type="checkbox"/>	
3.2.4.2	66	If measuring energy savings within a period of less than 12 months, describe how the state will define and enforce the inclusion of peak seasons.	<input type="checkbox"/>	
3.2.4.2	67	Describe the state's processes for measuring savings for multifamily buildings, including for energy used by common areas (if applicable).	<input type="checkbox"/>	
3.2.5	68	Certify that the state will prepare and implement a Consumer Protection Plan in accordance with these requirements and that the state rebate program will not launch until receiving DOE approval.		<input type="checkbox"/>
3.2.6	69	Describe how each of the certification requirements will be met for single-family homes.	<input type="checkbox"/>	
3.2.6	70	Describe how each of the certification requirements will be met for multifamily buildings.	<input type="checkbox"/>	
3.2.6	71	Identify which third-party certificate(s) the state program will offer to homeowners that receive a rebated home energy upgrade.	<input type="checkbox"/>	
Maximizing Rebate Impact				
3.3.1	72	Certify that the state will prepare and implement a Market Transformation Plan within the first year after receiving the financial assistance award.		<input type="checkbox"/>
3.3.2	73	Identify whether the state plans to take proactive steps to encourage integration with other programs. If so, identify with which programs the state will actively seek to integrate. The state may include letters of support or other indicators of commitment from existing program partners. If the state does not plan to integrate the rebates into any existing		<input type="checkbox"/>

Program Requirements Section	Narrative Document Template Question Number	Application Requirement	Implementation Blueprint	Narrative Document Template
		<p>programs, note this as “not applicable” within the application. Applications should identify whether programs will be integrated in any or the following areas:</p> <ul style="list-style-type: none"> • Integration into existing program administration, website, systems, materials. • Adoption of existing program standards, QA, workforce standards, or other practices. • Braiding or co-funding of upgrades within individual households. • Other integration elements, as applicable. 		
3.3.2	74	Describe how the state program will support households, contractors, aggregators, and other stakeholders in understanding how the state program may leverage other program resources.	<input type="checkbox"/>	
3.3.2	75	Describe the method(s) the state will use to ensure the total combination of all immediate upfront funding sources (federal grants, federal loans, and non-federal funding) provided to a project does not exceed the total project cost.	<input type="checkbox"/>	
3.3.2	76	Describe how the state program will support contractors and retailers in preparing acceptable invoices that may be kept as program records.	<input type="checkbox"/>	
3.3.2	77	Describe how the state implementer(s) will produce invoice documentation in a timely manner upon request in the event of an audit by DOE, the DOE’s Inspector General, a state’s inspector general, or another entity.	<input type="checkbox"/>	
3.3.2	78	Describe how the state will ensure rebate recipients will be made aware of the portion of the funding received from the DOE Home Efficiency Rebates.	<input type="checkbox"/>	
3.3.3	79	Identify whether the application is for a Quick Start program. For Quick Start programs, identify the timeline for program launch.		<input type="checkbox"/>

Table 2. Home Electrification and Appliance Rebates State Programs (50122)

Program Requirements Section	Narrative Document Template Question	Application Requirement	Implementation Blueprint	Narrative Document Template
Use of Funds and Rebate Eligibility				
4.1.1	1	Identify the specific types of allowable costs the state proposes within 1) administrative funds and 2) rebate funds. Provide an estimate of the estimate total amount of administrative funds to be expended annually and the estimated annual project-related costs as a portion of the total rebate funds.		<input type="checkbox"/>
4.1.1	2	If states are requesting additional funds for project-related activities, describe each activity and associated budget as outlined in the budget justification worksheet.		<input type="checkbox"/>
4.1.1	3	Confirm that the state will have a process for handling returns of rebated items as applicable in the Consumer Protection Plan.		<input type="checkbox"/>
4.1.2	4	Describe how the state will manage and ensure that rebate minimums and administrative maximums are adhered to over the duration of the program.		<input type="checkbox"/>
4.1.2	5	Describe how states will monitor contractor costs and ensure that costs are not artificially inflated compared with market averages.		<input type="checkbox"/>
4.1.2	6	Identify the maximum rebate amounts that will be offered to eligible entities and eligible entity representatives if lower than the allowed amounts.		<input type="checkbox"/>
4.1.2	7	Identify the maximum allowable project costs for determining project cost rebate levels.		<input type="checkbox"/>
4.1.2	8	Describe the documentation requirements related to project costs from eligible entities and eligible entity representatives.		<input type="checkbox"/>
4.1.2	9	List the installation incentives the state will provide eligible entity representatives for each eligible product or service up to \$500 (in total).		<input type="checkbox"/>

Program Requirements Section	Narrative Document Template Question	Application Requirement	Implementation Blueprint	Narrative Document Template
4.1.2	10	Describe the approach for ensuring that eligible entities will not receive federal rebates or grants for the same QEP.		<input type="checkbox"/>
4.1.2	11	Confirm that the state will provide information via API or DOE-provided spreadsheet to the DOE central database to ensure that rebates limited to a single or a combination of products are tracked and managed, and no duplicate rebates are awarded.		<input type="checkbox"/>
4.1.2	12	Describe the approach for providing rebates to multifamily building owners and qualified households who live in multifamily units.	<input type="checkbox"/>	
4.1.2	13	Identify the date after which upgrade projects must be completed for the purposes of being eligible for a rebate under the state program.	<input type="checkbox"/>	
4.1.2	14	Describe how eligible rebate recipients will be informed of additional program funding available from non-federal funds and grants.	<input type="checkbox"/>	
4.1.3	15	Identify the portion of the rebate funds the state will reserve for low-income and low-income multifamily households.		<input type="checkbox"/>
4.1.3	16	Provide a brief description of the procedures and penalties the state will provide to ensure that renters are not subject to unjustified rent increases.	<input type="checkbox"/>	
4.1.3	17	Describe how the state program will define a disadvantaged community. If not using the default disadvantaged community definition of low-income households located in a disadvantaged community identified by the CEJST, a state must explain how the proposed definition will meet the following three criteria as described in DOE Justice40 implementation guidance: ³ <ul style="list-style-type: none"> The communities of concern identified by the state tool or definition must conform to the definition of communities established in OMB guidance: 		<input type="checkbox"/>

³ See pages 8-9 of <https://www.energy.gov/sites/default/files/2022-07/Final%20DOE%20Justice40%20General%20Guidance%20072522.pdf> for more details.

Program Requirements Section	Narrative Document Template Question	Application Requirement	Implementation Blueprint	Narrative Document Template
		<ul style="list-style-type: none"> ○ a group of individuals living in geographic proximity to one another that experiences common conditions. ○ a geographically dispersed set of individuals (such as migrant workers or Native Americans) that experiences common conditions. • The state tool or definition must consider two or more of the following indicators when identifying communities that should be classified as disadvantaged for the purposes of directing federal investments under Justice40: <ul style="list-style-type: none"> ○ Low income, high and/or persistent poverty ○ High unemployment and underemployment ○ Racial and ethnic residential segregation, particularly where the segregation stems from discrimination by government entities ○ Linguistic isolation ○ High housing cost burden and substandard housing ○ Distressed neighborhoods ○ High transportation cost burden and/or low transportation access ○ Disproportionate environmental stressor burden and high cumulative impacts ○ Limited water and sanitation access and affordability ○ Disproportionate impacts from climate change ○ High energy cost burden and low energy access ○ Jobs lost through the energy transition ○ Access to healthcare • The communities of concern identified by the state tool or definition must be currently mapped in software or must be easily overlaid in GIS so that 		

Program Requirements Section	Narrative Document Template Question	Application Requirement	Implementation Blueprint	Narrative Document Template
		communities can be easily identified by stakeholders.		
4.1.3	18	Identify the tool(s) the state will provide for eligible entity representatives to identify households that qualify for the installer incentive available for work in disadvantaged communities.	<input type="checkbox"/>	
4.1.3	19	Confirm that state'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.		<input type="checkbox"/>
4.1.3	20	If the state does NOT intend to use a federally provided web-based tool to determine whether a home is in a disadvantaged community, confirm that the state will provide the ZIP codes or a preferred more granular geography (e.g., census tract) with all disadvantaged communities as defined by the state to the DOE system.		<input type="checkbox"/>
4.1.4	21	Confirm that the state will develop and submit a Community Benefits Plan prior to program launch.		<input type="checkbox"/>
4.1.5	22	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 federally provided systems via API.	<input type="checkbox"/>	
4.1.5	23	Describe how the state will ensure processing of rebates within four weeks of receipt (e.g., through a processing company, through program implementers, or other entities or methods). Include information on corrective actions that the state will implement in the event of lengthier processing times.	<input type="checkbox"/>	
4.1.5	24	Describe how the proposed processing system will be integrated with a system for processing rebates under Section 50121. Note if the state plans to use separate systems.	<input type="checkbox"/>	
4.1.6	25	Describe how the state will define household income for verification purposes.		<input type="checkbox"/>

Program Requirements Section	Narrative Document Template Question	Application Requirement	Implementation Blueprint	Narrative Document Template
4.1.6	26	For single-family households, how will claimants be able to establish their household income for income qualification? Sates may select from the following options: (1) Documentation of household income (for example, 1040) (2) Documentation of enrollment in a pre-qualifying program (3) Self-attestation of either income level or enrollment in pre-qualifying program		<input type="checkbox"/>
4.1.6	27	For multifamily buildings, describe what combination of methods will be used to verify that at least 50% of dwelling units consist of households with incomes less than 80% AMI. For multifamily buildings, describe what combination of methods will be used to verify that at least 50% of dwelling units consist of households with incomes less than 150% AMI (but not less than 80% AMI).		<input type="checkbox"/>
4.1.6	28	Confirm: <ul style="list-style-type: none"> Claimant will be required to note the number of individuals who occupy the dwelling unit. Claimant will be required to sign a statement an affidavit attesting to the validity of all information provided (e.g., enrollment documents, household income, number of full-time occupants) irrespective of the method of income qualification (e.g., categorical eligibility, self-attestation). 		<input type="checkbox"/>
4.1.6	29	Describe how the 80% AMI and 150% AMI levels for each location will be kept up-to-date and linked to DOE systems. Provide additional information if proposing NOT to use a federally provided link or API. Confirm that these levels will correspond to (a) the address of the home at which rebates will be applied and (b) the applicable number of household occupants.	<input type="checkbox"/>	
4.1.6	30	Confirm that the state will (1) review information provided to support income eligibility for all applicants applying for rebates;	<input type="checkbox"/>	

Program Requirements Section	Narrative Document Template Question	Application Requirement	Implementation Blueprint	Narrative Document Template
		<p>(2) 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 IVES; calls to employers);</p> <p>(3) after six months and not longer than one year after program launch, report to DOE the percentage and number of applicants that received rebates but were subsequently found to not meet eligibility requirements; and</p> <p>(4) work with the state's DOE Project Officer to institute additional safeguards or determine if a lesser level of review for applicants using self-attestation is justified depending on the percentage/number of rebates issued without meeting eligibility requirements.</p> <p>A state may propose in its application the types of information that it will provide to DOE to warrant reducing these requirements (e.g., allowing implementers to verify income of a subset of claimants through random sampling).</p>		
4.1.6	31	Provide additional information as needed to demonstrate that the proposed approaches for income verification will address all types of households; not create undue burden for claimants; and include safeguards to minimize error and abuse in the process of verifying income.	<input type="checkbox"/>	
4.1.6	32	Describe how the state will verify (confirm legitimacy) of income information for all claimants (e.g., verification within two days through IRS, cross-check with enrollment databases of approved programs, calls to employers). A state may propose in its application the types of information that it will provide to DOE to warrant reducing this requirement (e.g., allowing implementers to verify income of a subset of claimants through random sampling).	<input type="checkbox"/>	
4.1.6	33	Identify how the state will resolve instances when rebates are provided to those who have falsified their incomes.	<input type="checkbox"/>	
4.1.6	34	If proposing to allow self-attestation as a means for initial income qualification, provide	<input type="checkbox"/>	

Program Requirements Section	Narrative Document Template Question	Application Requirement	Implementation Blueprint	Narrative Document Template
		<p>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:</p> <ul style="list-style-type: none"> • 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 be shut down either permanently or be restarted only after sufficient improvements 		
4.1.6	35	Describe how the state 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 state-proposed program approved by DOE, within the prior 12 months.	<input type="checkbox"/>	
4.1.6	36	Identify the federal or other programs by which the state plans to allow categorical eligibility.		<input type="checkbox"/>
4.1.6	37	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.	<input type="checkbox"/>	
4.1.6	38	Identify whether the state 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). If so, explain the state's proposal and describe the rationale.	<input type="checkbox"/>	
4.1.6	39	Identify whether the state requests authorization to allow categorical eligibility for a program in a way that is not consistent with the "level of categorical eligibility" listed in the document Federal Programs Approved for Categorical Eligibility . For each deviation requested, propose, and provide documentation to justify the requested	<input type="checkbox"/>	

Program Requirements Section	Narrative Document Template Question	Application Requirement	Implementation Blueprint	Narrative Document Template
		change. Documentation must demonstrate that the state imposes income requirements equivalent to or less than 80% AMI.		
4.1.7	40	Explain how data will be protected, specifically addressing security measures and privacy measures.	<input type="checkbox"/>	
4.1.7	41	Include documentation of the processes to monitor, identify, and address security and privacy threats.	<input type="checkbox"/>	
4.1.7	42	Confirm that the state will submit a Privacy and Security Risk Assessment in the State Implementation Blueprint.		<input type="checkbox"/>
4.1.7	43	Confirm that the state will collect required data and cooperate in program evaluation processes as listed in Section 4.1.7.2.		<input type="checkbox"/>
4.1.7	44	Confirm that the state will require billing data release and describe how the state will gain access to billing data for program requirements and program evaluation.		<input type="checkbox"/>
4.1.7	45	Confirm whether the state is planning to conduct its own evaluation, and if so, what type(s) of evaluations. If the state plans to conduct evaluations on its programs, confirm that the state will: <ul style="list-style-type: none"> • Cooperate with DOE to meet the requirements listed in Section 4.1.7.2. • Submit an evaluation plan for DOE review within three months of program launch. • Provide results to DOE. 		<input type="checkbox"/>
4.1.7	46	If the state plans to conduct evaluations on its programs, describe the evaluation objectives, high level work plan, and timing of the evaluations and whether the state would request to be excluded from DOE-led evaluations.	<input type="checkbox"/>	
Consumer Experience				
4.2.1	47	Confirm that the state will develop and submit an Education and Outreach Strategy consistent with Section 4.2.1.	<input type="checkbox"/>	
4.2.2	48	Describe how the state will verify that rebates are provided only for qualified electrification		<input type="checkbox"/>

Program Requirements Section	Narrative Document Template Question	Application Requirement	Implementation Blueprint	Narrative Document Template
		<p>projects, including that each of the following conditions are met for each project:</p> <ul style="list-style-type: none"> • Project includes the purchase and installation of a qualifying product, as described in Section 4.2.2; • The qualifying product is installed as part of new construction; or to replace a non-electric appliance; or as a first-time purchase with respect to that appliance; and • The installation occurs at a single-family home or eligible multifamily building. 		
4.2.2	49	Describe how the state will collect and retain documentation to demonstrate how each criterion in Section 4.2.2 was met for each installation.	<input type="checkbox"/>	
4.2.2	50	If applicable, identify any additional types of "materials to improve ventilation" ⁴ that the state plans to make eligible for rebates.	<input type="checkbox"/>	
4.2.3	51	Describe how eligible entity representatives will be determined to be eligible for installation incentives, and how and when incentives will be paid.	<input type="checkbox"/>	
4.2.3	52	Confirm that the state program will provide a clear incentive schedule commensurate with the scale of the upgrades installed not to exceed the maximum allowable values.		<input type="checkbox"/>
4.2.3	53	Describe what tool(s) the state will provide for eligible entity representatives to identify households that qualify for an installer incentive for substantial installation located within a disadvantaged community.	<input type="checkbox"/>	
4.2.3	54	Confirm that the program will automatically provide the incentive to eligible entity representatives in an amount not to exceed \$500 per dwelling unit or multifamily building in a 12-month period.		<input type="checkbox"/>
4.2.4	55	Determine and describe a pre-defined set of home pre-condition(s) and/or scope of work	<input type="checkbox"/>	

⁴ 42 U.S.C. 18795a(d)(6)(A)(i)(VII).

Program Requirements Section	Narrative Document Template Question	Application Requirement	Implementation Blueprint	Narrative Document Template
		scenario(s) that will constitute unacceptable risk of raising utility bills.		
4.2.4	56	Identify if the state will allow remote or virtual assessments in place of field-based assessments in cases of limited home assessments and if so, describe process.	<input type="checkbox"/>	
4.2.4	57	Describe what processes will be put in place for home energy assessments for multifamily buildings, including for energy used by common areas.	<input type="checkbox"/>	
4.2.5	58	Confirm that the state will prepare and implement a Consumer Protection Plan in accordance with these requirements.		<input type="checkbox"/>
Maximizing Rebate Impact				
4.3.1	59	Confirm that the state will prepare and implement a Market Transformation Plan within the first year after receiving the financial assistance award.		<input type="checkbox"/>
4.3.2	60	Identify whether the state plans to take proactive steps to encourage integration with other programs. If so, identify with which programs the state will actively seek to integrate. The state may include letters of support or other indicators of commitment from existing program partners. If the state does not plan to integrate the rebates into any existing programs, note this as "not applicable" within the application. Applications should identify whether programs will be integrated in any or the following areas: <ul style="list-style-type: none"> • Integration into existing program administration, website, materials. • Adoption of existing program standards, QA, workforce standards, or other practices. • Braiding or co-funding of upgrades within individual households. • Other integration elements, as applicable. 		<input type="checkbox"/>
4.3.2	61	Describe how the state program will support households, contractors, and other stakeholders in understanding how the state	<input type="checkbox"/>	

Program Requirements Section	Narrative Document Template Question	Application Requirement	Implementation Blueprint	Narrative Document Template
		program may leverage other program resources.		
4.3.2	62	Describe the method(s) the state will use to ensure the total combination of all immediate upfront funding sources (federal grants, federal loans, and non-federal funding) provided to a project does not exceed the total project cost.	<input type="checkbox"/>	
4.3.2	63	Describe how the state program will support contractors and retailers in preparing acceptable invoices that may be kept as program records. The state must also describe how its implementer(s) will produce this documentation in a timely manner upon request in the event of an audit by DOE, the DOE's Inspector General, a state's inspector general, or another entity.	<input type="checkbox"/>	
4.3.2	64	Describe how the state will ensure rebate recipients will be made aware of the portion of the funding received from the DOE Home Electrification and Appliance Rebates.	<input type="checkbox"/>	
4.3.3	65	Identify whether the application is for a Quick Start program. For Quick Start programs, identify the timeline for program launch.		<input type="checkbox"/>